INTERIM REPORT OF POST-TENURE REVIEW POLICIES AT THE UNIVERSITIES

Action Requested: Receive the interim report of post-tenure review policies at the universities.

Executive Summary: The Board of Regents Policy Manual §6.17 requires that an annual report on tenure status be presented to the Board. The annual report was presented at the April 2010 Board of Regents meeting. Subsequently, the Board Office was directed to work with the universities to prepare a presentation on post-tenure review policies. This report is presented as an interim report because the University of Iowa and Iowa State University are in the process of reviewing their post-tenure review policies. At the University of Northern Iowa, evaluation procedures are considered a mandatory subject of bargaining under Iowa Code §20.9; the bargaining team will begin work this fall on a new contract for the United Faculty. Each institution will make a brief presentation.

At the three universities, post-tenure review policies include an annual performance review. At the University of Iowa, there is a periodic post-tenure peer review which results in acknowledgement of outstanding performance or recommendations that enhance and improve performance. At Iowa State University, the post-tenure review policies include a rigorous peer review which occurs on a seven-year cycle or more frequently, as needed; the review assesses the quality of tenured faculty performance in teaching, research, and extension/professional practice. While the institutions handle peer review differently, all have the goal of improving performance; all also have unfitness policies.

A review of policies of approximately 20 peer institutions revealed that some institutions have no post-tenure review other than an annual review; some use a negative annual review to trigger a peer review; and all have peer reviews that are formative, offering developmental assistance and suggestions. The Regent universities have policies which are comparable to national peers.

Board of Regents Strategic Plan. The Interim Report of Post-Tenure Review Policies addresses the Board of Regents Strategic Plan priority of “educational excellence and impact.”

Background:

Definition of tenure.

- Tenure is a contractual employment status under which faculty appointments are continued indefinitely. At most institutions, tenured faculty members are subject to dismissal only for cause or financial exigency.

- Tenure is typically awarded to a faculty member in a tenure-track position who serves a probationary period that lasts approximately seven years. After a series of annual retention proceedings, the awarding of tenure requires an affirmative recommendation based on an extensive evaluation process that typically involves reviews by peers in the field and reviews at the department, college, and university levels.

- Each year, the Board of Regents formally confers tenure upon individual faculty members at the recommendation of the universities.
Post-tenure review and faculty vitality.

Teaching is fundamental to the mission of the Regent universities and the evaluation of teaching effectiveness is crucial to a tenure decision. Student and faculty peer evaluations are significant components of determining teaching effectiveness.

The institutions offer a variety of programs, including professional development assignments, travel support for participation in academic conferences, teaching support centers, summer research grants, and technology enhancement opportunities to maintain and enhance faculty vitality.

All of the institutions have implemented post-tenure review policies. Some of the results of the reviews have included recommendations for professional development assignments, revised portfolios that increase a faculty member's effort in an area of strength, new position responsibility statements which provide greater alignment of faculty members' efforts with department goals, and plans for phased retirement.

Attachments A-C include summaries of institutional policies on tenure and post-tenure review.
UNIVERSITY OF IOWA

Evaluation of Instructional Performance

Evaluation of teaching effectiveness is crucial to a tenure decision because teaching is fundamental to the mission of the University. University policy specifies that only after teaching effectiveness has been ascertained should an individual's scholarly and professional contributions be evaluated.

Methods used to evaluate teaching include assessments by both students and faculty peers. There is extensive use of instruments to obtain student opinions about teaching. Most of the opinion forms are assembled and scored through the auspices of the University Evaluation and Examination Service (EES), although many departments and colleges have developed their own instruments. Students are also given the opportunity to write comments on the EES forms. Faculty members can use the results of their students' evaluations to improve their teaching. The identity of students is kept confidential.

The Procedural Guidelines for Tenure and Promotion Decision-Making require colleges to develop processes for peer review of faculty teaching. Colleges require peer evaluation of classroom teaching by senior faculty members and a thorough review of course materials. College guidelines for peer review of teaching are tailored to the different types of teaching in the college, including large classroom, small seminar or laboratory teaching, and clinical teaching. The student and peer evaluations provide substantial information to help faculty members improve their teaching and help senior faculty members and administrators to make promotion and tenure decisions. An important resource for faculty seeking to improve their teaching is the Center for Teaching which offers group workshops, individual assessments and assistance, and other learning opportunities for faculty members, teaching assistants, and others on campus. Faculty members are also evaluated extensively and systematically regarding their scholarship and service contributions.

Post-Tenure Review

The University of Iowa’s post-tenure review policy has been in place since 1989.

“Each academic unit is charged with developing and implementing a plan for peer review of each tenured full professor in the unit. Such peer review should be done periodically, at least once every five years. The review should address the quality of the faculty member’s performance in the areas of teaching, scholarship, and service and should result in recommendations that help to enhance that performance. The plan is to include (1) selection of the peer review committee; (2) committee procedures and timelines; (3) materials to be reviewed; (4) distribution and use of the committee’s written report; and (5) mechanisms for the faculty member to respond.”

The policy permits variations in how faculty members allocate their time among teaching, research, and service to maximize their effectiveness and better achieve unit goals and the University’s mission. The University also has a review process for tenured associate professors. To supplement these policies, each college has developed a review schedule, a list of required materials for the review, and specific procedures, as well as guidelines, for how the committee’s recommendations are communicated and mechanisms for faculty members under review to respond. The review of the faculty works in tandem with faculty development programs and the post-tenure effort allocation policy implemented in 1997 to enhance faculty vitality. By Spring 2010, 85% of all eligible tenured faculty had been reviewed within the designated time period.
IOWA STATE UNIVERSITY

Policies and Procedures Relating to Tenure

The system of academic tenure at Iowa State University emphasizes (1) recruitment of the most highly qualified candidates available, (2) creation of an opportunity for scholarly performance in teaching, research/creative activity, and extension/professional practice, (3) continuing evaluation of performance on the basis of areas of responsibility, and (4) positive evaluation of performance resulting in the award of tenure. The awarding of tenure requires an affirmative decision, based upon an explicit judgment of qualifications resulting from continuous evaluation of the faculty member during the probationary period in light of the applicable criteria. After the award of tenure, faculty members undergo annual reviews and post-tenure review.

In 1998, the Board of Regents approved a new document describing performance criteria and evaluative processes for faculty review at the University. The document describes the interrelationships among teaching, research/creative activities, and extension/professional practice as mutually supportive endeavors. Faculty must show excellence in scholarship (this includes scholarly contributions to teaching, research/creative activity, and/or extension/professional practice), must perform effectively in all categories of responsibility, and must show institutional service at a level commensurate with their rank. Promotion and tenure review also includes an evaluation of the faculty member’s ability to sustain scholarly contributions. These policies are reviewed annually by a joint Faculty Senate/Executive Vice-President and Provost task force.

Annual Evaluation of Faculty

Evaluation of faculty is based on the Position Responsibility Statement (PRS), a statement of expected duties and outcomes for each faculty member. The use of the PRS allows for variations in assigned work responsibilities and adjustments to develop the skills of the faculty.

Faculty members are reviewed annually with respect to their responsibilities and expectations for the coming year are determined. These annual evaluations include evidence of teaching performance and evidence of productivity in research/creative activities, extension/professional practice, and institutional service, as appropriate. Evidence concerning teaching performance may include student evaluations (both formal and informal) and visits to classes and peer evaluation.

Post-Tenure Review

The current Post-Tenure Review Policy was approved by the Board of Regents in June 1999. It ensures that all faculty who are tenured undergo a post-tenure review at least once every seven years. Exceptions to this policy may be granted. For instance, if a faculty member has taken a leave of absence, or if, as part of the annual review process, there is a less-than-satisfactory evaluation, the post-tenure review period may be shortened. During 2008-2009, 102 tenured faculty members were reviewed per this policy; this represents 10.3% of all tenured faculty. During 2009-2010, 104 more reviews will be concluded.

In the past, criticism of the policy had focused on the administration’s inability to require a change in the PRS, or the distribution of effort, through the post-tenure review process. A new policy implemented in 2007 provides for mediation regarding any disagreement in the PRS modification for an individual faculty member. The mediation outlet will assure a fair process for the faculty member and yet allow the department chair to manage more effectively the demands and priorities of the department.

The post-tenure review process is useful for tenured faculty overall, but many department chairs report a desire to develop a meaningful way to reward quality performance, and to sanction less-acceptable performance. A Faculty Senate task force is reviewing the current policy and a proposal for policy revision will likely be reviewed during the 2010-2011 academic year. A strong post-tenure review is seen as a good way to manage scarce resources.
Universities of northern iowa

Policies and procedures relating to tenure

The University of Northern Iowa faculty are unionized and represented by UNI-United Faculty. General evaluation procedures are defined in Article Three of the 2009-2011 Master Agreement and tenure policies and procedures are specified in Appendix F. The standard for promotion and tenure is a documented record of accomplishment in teaching, scholarship and/or creative achievement, and professional service. While the degree of accomplishment in each of these areas may vary, documented teaching effectiveness is essential and primary. A tenure candidate’s scholarship and service will only be considered after a positive judgment is made about teaching.

Because academic disciplines vary widely in determining the specifics of accomplishment in teaching, scholarship, and service, each academic department is expected to develop its own specific criteria for tenure and promotion evaluations. In 2008, a committee, which included a faculty member from each college, a department head, dean, and member of United Faculty, was convened to review the departmental criteria to judge scholarly and creative work in the tenure process. The committee recommended that each department review and revise the criteria being used to evaluate teaching, scholarship/creative activities, and service. This work is currently underway. The expected outcome will be clearer, more consistent criteria across all departments and colleges.

Evaluation of instructional performance

Article Three of the Master Agreement provides specific procedures for evaluation of teaching. Probationary faculty members are evaluated annually by a departmental Professional Assessment Committee (PAC) and their department head. The college dean and the Provost review the files and the evaluations of the PAC and department head in making their own judgments about faculty performance. Departmental PACs develop their own procedures for evaluating teaching but generally include review of teaching materials, classroom observation, and review of student assessments of teaching. Tenured faculty members who apply for promotion in rank are also evaluated by the PAC.

Student assessments of teaching for probationary, term, and full-time temporary faculty members are conducted in all courses during each spring semester. Tenured faculty members are required to conduct student assessments of teaching every three years during the spring semester. The student assessment instrument measures student satisfaction with a faculty member’s instruction and an evaluation of a faculty member’s effectiveness.

In addition to annual and tenure and promotion reviews, each faculty member’s teaching performance is evaluated annually for purposes of awarding merit pay.

Post-tenure review

Under the evaluation provisions of Article Three of the Master Agreement, there are three mechanisms for post-tenure review of faculty members. First, a tenured assistant or associate professor may apply for a promotion review to either associate or full professor. Second, every tenured faculty member is evaluated by his/her department head each year for assignment of merit pay. Merit pay is awarded on the basis of performance in the areas of teaching, research, and service, weighted according to the faculty member’s work load. Department heads distribute evaluation standards each fall and in the spring faculty members receive evaluation letters explaining how they were evaluated using the departmental standards. Third, department heads may conduct other evaluations, including collection and review of student assessment data for any and all semesters and an assessment by the departmental PAC. During Spring 2010, the Provost and Associate Provost for Faculty Affairs met with the college deans to begin development of a procedure for utilizing the “other evaluations” provision of the Master Agreement for a systematic and comprehensive post-tenure review.