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# College of Design's Guide to: Preliminary Reviews

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This document is to guide College of Design Faculty Members and Department Chairs through the University Preliminary (Third-Year) Review Process

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The purpose of this document is to assist tenure-eligible faculty preparing for their preliminary [third year] review. The materials contained in this document have been collected from the following sources:

Guidelines for Preliminary Review of Tenure-Eligible Faculty on the Senior Vice President and Provost’s website  
Iowa State University Faculty Handbook  
College of Design Governance Document

All review and evaluation procedures will follow accepted university guidelines as specified in the Faculty Handbook, College of Design Governance Document, and applicable departmental governance documents. In the absence of specific guidelines or in case of a conflict, university and/or college policies will take precedence.

Faculty are advised to read sections pertaining to preliminary reviews in the Faculty Handbook, the College of Design Governance Document, and in their department’s governance document.

This document is a work in progress. If you have concerns, edits, etc., please contact the Senior Associate Dean.

## Purpose of a Preliminary Review

The preliminary (third-year) review of pre-tenured faculty is an important aspect of Iowa State's protocol for the evaluation of faculty and their advancement toward promotion and tenure. The purpose of this review is to provide constructive, developmental feedback regarding progress in meeting departmental criteria for promotion and/or tenure. This review also informs the decision to reappoint during the probationary period.

Chapter 5 of the ISU Faculty Handbook details faculty responsibilities as well as criteria for evaluation and review. Section 5.1.1.3 of the ISU Faculty Handbook and section 4.3 of the College of Design Governance Document describe the Preliminary Review of Probationary Faculty.

## Process for a Preliminary Review

### Timeline

It is the department chair's responsibility to notify and begin working with faculty members who will be going through a preliminary review during the faculty member's annual review in the spring before the review year. It is then the responsibility of the faculty member to hand-in their Preliminary Review packet to the Administrative Specialist for their respective area by the following January 20<sup>th</sup>. The Administrative Specialist will then work with the respective department chair to begin the departmental review. A complete calendar of events is listed at – [Additional Resources, Calendar](#)

### Review Materials

The faculty member is responsible for providing the following information for the review process:

1. All Position Responsibility Statements (PRS) since initial appointment
2. A current vita organized according to the college's Promotion and Tenure Vita Guidelines
3. Evidence of progress in areas of responsibility included in the PRS as specified in the faculty member's department's governance document.

Review materials can be submitted electronically via a CyBox folder that is set up by the HR Liaison and maintained by the Administrative Specialist, or in a bound paper form (at the discretion of the faculty member and the department chair). If the faculty chooses to have their review materials uploaded into a CyBox folder, please speak with the HR Liaison and Administrative Specialist by December 1<sup>st</sup>, so proper arrangements can be made.

### Department Review Committee and Evaluation Letter

The departmental review committee is responsible for reviewing the faculty member's preliminary review materials and preparing an evaluation letter addressed to the department chair. The letter should not be a review of the process, recitation of the CV, or a summary statement. The evaluation should point out, discuss, and analyze strengths and weaknesses in the case. It is a best practice to put concerns up front and deal with them directly and clearly.

The evaluation letter should include the names and ranks of the faculty members who reviewed the case.

## Department Chair's Review and Evaluation Letter

### Review and Letter

The department chair is also responsible for reviewing the faculty member's preliminary review materials and the department review committee's evaluation. Following this review, the department chair is responsible for writing an evaluation letter addressed to the faculty member that provides clear and constructive feedback about their accomplishments, that sets forth expectations toward meeting the standards for promotion and tenure, and that clearly identify areas where performance improvement is needed. The letter from the department chair should also include one of the following statements:

- Reappointment with no reservation
- Reappointment with no strong reservation, but with specific issues that need to be addressed
- Reappointment with reservation and specific steps to be taken (may entail a one- or two-year renewal with an additional review scheduled before the mandatory tenure review)
- Non-reappointment with specific reasons

Reasoning for the reappointment decision should be detailed in the letter.

### Meeting

Upon completion of the evaluation letter, the department chair shall hold a one-on-one meeting with the faculty member to discuss the outcomes of the review, the evaluation letter, and the reappointment decision. During this meeting, the department chair is responsible for highlighting the faculty member's strengths and weakness as well as areas of improvement needed for subsequent reviews. At this time, the department chair is also required to provide a copy of the evaluation letter to the faculty member.

### Action Plan

If required, an action plan will be put in place for faculty members who are not meeting the expectations of the department or their PRS. The department chair and faculty member should work together to determine the areas of focus for the action plan and set achievable goals to help increase the likelihood of a successful promotion and tenure process. The action plan must be submitted to the dean and will be forwarded with the review materials to the Office of the Senior Vice President and Provost.

At the conclusion of the department review, the Administrative Specialist will work with the HR Liaison to transfer the Preliminary Review Packet and evaluation letters to the College for the Dean's review and submittal to the Senior Vice President and Provost.

### Submission to the Senior Vice President and Provost Office

Upon completion of the review process, the HR Liaison will compile the following documents into one PDF to be forwarded to the Office of the Senior Vice President and Provost.

1. Coversheet – detailing the outcome of the evaluation process and terms of the renewal (prepared by HR Liaison)
2. Faculty Member's PRS
3. Faculty Member's Vita
4. Department Review Committee Evaluation Letter
5. Department Chair Evaluation Letter

6. Action Plan (if necessary)

The HR Liaison will then prepare an updated LOI for the faculty member, detailing the terms of the renewal contract. This LOI must be accepted and signed by the faculty member before May 15<sup>th</sup>.

## Additional Resources

### Calendar

During the annual review in the spring prior to the review year	Department Chair notifies faculty member of upcoming review.
December 1 <sup>st</sup>	Determination date for paper or electronic copy
January 20 <sup>th</sup>	Faculty member submits Preliminary Review Packet to HR Liaison
February 1 <sup>st</sup>	Departmental Review begins, and write a letter of evaluation, addressed to the department chair
March 1 <sup>st</sup>	Department Chair review begins, and writes a letter of evaluation, addressed to the faculty member
April 1 <sup>st</sup>	Dean begins review for informational purposes, and writes a summary memo of the review process and final outcomes to the Provost
May 1 <sup>st</sup>	Final decision is forwarded to the Provost Office, for informational purposes

\*\* If due date fall on a weekend or holiday, the information is due the Friday prior to the due date.