**Graduate College Handbook Chapter 10 - Performance Management, Dismissal, Appeal**

**10.3 Performance Management**

At the beginning of the appointment of a Postdoctoral Scholar, the Principal Investigator (PI)/Supervisor shall establish clear expectations in writing ([template](http://www.grad-college.iastate.edu/post_doc/pi-resources.php)), at a minimum, for: (a) reporting duties (frequency, level of detail, format, etc.); (b) level of performance; and (c) professional conduct. The Postdoctoral Scholar is thereafter responsible for meeting (or exceeding) these expectations. The PI/Supervisor is responsible for following up and providing feedback on a regular basis with the Postdoctoral Scholar to ensure s/he is meeting expectations.

A practical first step is for the PI/Supervisor to work with a new Postdoctoral Scholar to establish an Individual Development Plan (IDP) within the first three months of the appointment. The [Individual Development Plan](http://www.grad-college.iastate.edu/current/professional_development/idp/) **is an interactive, web-based tool that** serves as a constructive means of communication between the PI and Postdoctoral Scholar, and it also provides a planning process that identifies both professional development needs and career objectives for the Postdoctoral Scholar.

A written, annual review is required for all Postdoctoral Scholars who are continuing beyond the initial one-year appointment. The Graduate College provides an [annual review template](http://www.grad-college.iastate.edu/post_doc/pi-resources.php) for this purpose.

If a Postdoctoral Scholar is unsatisfactorily performing his/her duties, the PI/Supervisor shall promptly attempt to address these issues via informal coaching and mentoring. The PI/Supervisor shall document such efforts.

If informal coaching and mentoring does not improve the performance, the PI/Supervisor shall develop an Action Plan. The Action Plan shall include: (a) a detailed description of all relevant performance deficiencies and prior attempts to address the performance deficiencies; (b) specific steps and improvements which the Postdoctoral Scholar must satisfy; (c) a defined timeline in which the steps and improvements must be satisfactorily made; and (d) a list of University resources (*e.g.*, CELT, online training, EAP, etc.) which may be helpful to the Postdoctoral Scholar. A copy of the completed Action Plan shall be sent to the respective Department Chair and to the Graduate College Dean. The PI/Supervisor shall meet with the Postdoctoral Scholar to present/discuss the Action Plan. Regular meetings between the PI/Supervisor and Postdoctoral Scholar are expected during the period of the Action Plan. The PI/Supervisor is responsible for documenting progress (or lack thereof) during the period of the Action Plan.

If the Action Plan is not successful after a period of sixty (60) days, a written Notice of Unsatisfactory Performance may be given to the Postdoctoral Scholar and the dismissal process may begin (see below for the required procedure for Notice of Dismissal).

**10.4 Dismissal**

**10.4.1. Dismissal due to Unsatisfactory Performance**

If a PI/Supervisor determines dismissal of the Postdoctoral Scholar is appropriate due to performance deficiencies and after the minimum sixty (60) days Action Plan period, the PI/Supervisor shall first consult with the Department Chair and then contact the Dean of the Graduate College for review/approval of the request prior to issuing a Notice of Dismissal.

A Notice of Dismissal shall be given with a minimum of one month’s notice, unless the Postdoctoral Scholar’s continued presence on campus poses potential harm to the University as determined based upon a review by the Graduate College Dean. The Department Chair, and Graduate College Dean shall be copied on the Notice of Dismissal.

At the time of a dismissal, the Postdoctoral Scholar will turn in all ISU keys and property. The Postdoctoral Scholar has an obligation to leave with the PI/Supervisor all notebooks and data in a condition that will allow continuation of the project.

The Postdoctoral Scholar has the right to appeal the dismissal (see below for Appeals Process).

**10.4.2. Dismissal due to Misconduct**

The PI/Supervisor shall immediately report to his/her Department Chair any and all allegations pertaining to misconduct alleged to have been committed by a Postdoctoral Scholar.

The PI/Supervisor also has the responsibility to immediately report allegations pertaining to possible [research misconduct](http://www.policy.iastate.edu/policy/research/misconduct), criminal activity, unlawful harassment or discrimination, or sexual misconduct alleged to have been committed by a Postdoctoral Scholar to the appropriate office, such as the Equal Opportunity Office for any allegations regarding unlawful harassment or discrimination, or sexual misconduct.

A Postdoctoral Scholar who has committed misconduct may be dismissed by the PI/Supervisor upon a formal investigation and with approval of the Graduate College Dean. The PI/Supervisor shall notify the Department Chair and contact the Graduate College to begin the process as soon as the alleged misconduct is reported or becomes known. As used herein, misconduct may include, but is not limited to, research misconduct, acts of violence or threats of violence, harassing or discriminatory conduct, sexual harassment, theft, conviction of criminal acts, plagiarism, and other behavior or conduct of a serious nature. After the alleged misconduct is investigated and a request for dismissal is approved, the PI/Supervisor shall provide a written Notice of Dismissal to the Postdoctoral Scholar (with a copy provided to the Department Chair, the College Dean, and the Graduate College Dean).

At the time of a dismissal, the Postdoctoral Scholar will turn in all ISU keys and property. The Postdoctoral Scholar has an obligation to leave with the PI/Supervisor all notebooks and data in a condition that will allow continuation of the project.

The Postdoctoral Scholar has the right to appeal the dismissal (see below for Appeals Process).

**10.5 Appeals Process for Postdoctoral Scholar Dismissal**

A Postdoctoral Scholar who has been dismissed based on either Unsatisfactory Performance or Misconduct has the right to appeal the dismissal via the formal grievances option outlined in the Graduate College Handbook.

If no appeal is submitted within ten (10) business days, the Postdoctoral Scholar waives the right to appeal, and the dismissal will be processed by the PI/Supervisor’s employing unit.