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

**10.3 Performance Management**

At the beginning of the Postdoctoral Scholar’s appointment, the PI/Supervisor shall establish clear written expectations (Post-Doc and Advisor Expectations [template](http://www.grad-college.iastate.edu/post_doc/pi-resources.php)), at a minimum, detailing the Postdoctoral Scholar’s: (a) reporting duties (frequency, level of detail, format, etc.); (b) expected level of performance; and (c) expected professional conduct. The Postdoctoral Scholar is thereafter responsible for meeting or exceeding these expectations. The PI/Supervisor is responsible for on-going monitoring of the Postdoctoral Scholar’s performance of duties and conduct.

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

Reviewing the IDP on an annual basis is a good practice. At an administrative level, Annual Reviews are strongly recommended, not required. The Graduate College provides an [annual review template](http://www.grad-college.iastate.edu/post_doc/pi-resources.php) that builds on the progress of the IDP.

If a Postdoctoral Scholar is unsatisfactorily performing their 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 standard procedure requires the PI/Supervisor to develop an action plan. \*Add Form

An 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 list of University resources which may be helpful to the Postdoctoral Scholar (*e.g.*, CELT, online training, EAP, etc.); and (d) a defined timeline in which the steps and improvements must be satisfactorily made. The Department Chair and the Graduate College Dean shall be copied on the action plan.

The academic units are responsible for keeping copies of these documents.

If the action plan is not successful after a period of sixty (60) business days, a written Notice of Unsatisfactory Performance may be issued to the Postdoctoral Scholar.

**10.4 Dismissal**

**10.4.1. Dismissal Due to Unsatisfactory Performance**

If a PI/Supervisor determines dismissal of the Postdoctoral Scholar is warranted due to an unsatisfactory review and performance deficiencies with the Action Plan, the PI/Supervisor shall contact the Dean of the Graduate College for review/approval of the request prior to issuing a Notice of Dismissal. At this time the PI/Supervisor will submit a Request Summary Dismissal form with supporting documentation to the Dean. \*Add Form

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. Potential harm includes loss of scholarship capacity through risk to equipment and facilities, as well as a significant reduction of productivity of the colleagues. The Department Chair, College Dean, and Graduate College Dean shall be copied on the Notice. At the time of a dismissal, the Postdoctoral Scholar will turn in all ISU keys and property, etc. and also has an obligation to leave notebooks and data in a state 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 their Department Chair allegations pertaining to any misconduct committed by a Postdoctoral Scholar.

The PI/Supervisor also has the responsibility to immediately report allegations or suspicions pertaining to possible [research misconduct](http://www.policy.iastate.edu/policy/research/misconduct) (to the university’s Research Integrity Officer); criminal activity (to ISU Police); or suspected sexual misconduct, harassment, or discrimination (to the Office of Equal Opportunity), in addition to the PI/Supervisor’s Department Chair. The department chair will inform additional parties and offices, as appropriate, i.e., College Dean, Graduate College, Graduate College Dean, the Senior Vice President and Provost, etc.

Depending on the severity of the alleged actions, interim actions may be considered by the Graduate College Dean, pending the outcome of an investigation.

The Graduate College will facilitate the formal investigation of alleged misconduct by a Postdoctoral Scholar. A Postdoctoral Scholar who has committed misconduct may be dismissed by their PI/Supervisor, with approval of the Graduate College Dean, upon a finding of misconduct after the conclusion of a formal investigation. The Graduate College is responsible for investigating by either an ad hoc committee or the Graduate Council. 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, acts of violence or threats of violence, harassing or discriminatory conduct, sexual harassment, theft, conviction of criminal acts, research misconduct, plagiarism, and other behavior or conduct of a serious nature.

Only after Graduate College substantiates the alleged misconduct and a request for dismissal is approved by the Graduate College Dean, the Graduate College shall issue a written notice of dismissal, with a copy provided to the PI/Supervisor, 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, etc. They have an obligation to leave notebooks, records, and data in a state that will allow continuation of the project.

**10.5 Appeals Process for Postdoctoral Scholar Dismissal**

A Postdoctoral Scholar who has been dismissed based on either performance deficiencies and/or misconduct has the right to appeal the dismissal via the Grievance Policy outlined in the handbook Chapter 10, section 10.7.

If no appeal is submitted within 10 business days, the Postdoctoral Scholar Resignation Action of the Electronic Personnel Action (EPA) will be initiated by the PI/Supervisor’s department/center.