

College of Arts and Science Procedures for the Third-Year Review of Faculty in Tenure-Track Positions

(Last revised December 2012)

Introduction

When the College of Arts and Sciences hires a tenure-track faculty member, it is with the expectation that the individual will become tenured and serve the university throughout a long and productive career. The tenured faculty are directly involved in determining whether or not the criteria for tenure are met prior to its award. Therefore, it is to the advantage of both the tenure-track faculty member and the department to see that timely evaluations are made of a tenure-track faculty member's performance, and that any deficiencies identified be made known to the untenured faculty member in time for correction prior to the expiration of the probationary period.

The department chairperson recommends to the dean the initial employment of a tenure-track faculty member. In making such recommendations, the chairperson should consider the advice of the faculty, especially the tenured faculty. Careful attention should be given to the candidates for a position on the faculty to ensure that potential for effective teaching, successful research/creative activity, and appropriate service warrants appointment to the faculty.

Before the new faculty member begins his/her duties, he/she should be counseled by the chairperson or a designated representative as to the responsibilities of his/her position. These responsibilities should be summarized in written form for the new faculty member, with a copy placed in the faculty member's departmental file and a copy forwarded to the dean's office for inclusion in the college files. Each new faculty member should be informed that he/she is expected to teach and advise students effectively and to keep abreast of and contribute to his/her discipline through research/creative activity and other appropriate scholarly and professional endeavors. Unless specified otherwise in the initial letter of employment, tenure-track faculty members are expected, among their other responsibilities, to teach graduate students and to seek outside funding for their research/creative activities. As the faculty member's tenure-track progresses, membership on committees at various levels, together with other types of service, will be expected. All faculty members must either be provided copies of or given access to departmental, college, and university policies related to faculty duties.

It is the joint responsibility of the chairperson and the tenure-track faculty member to meet yearly to discuss the faculty member's progress during his/her probationary period. The chairperson's assessment of the faculty member's progress also must be provided in writing each year, including comments both positive and negative, as appropriate. In preparing the annual

assessment, the chairperson may consider the views of the tenured faculty members in the department. This may be done through consultation with the executive committee of the department or through other means as described in the department's handbook or policy statements. The annual evaluations and the report of the third-year review committee indicated below must be retained as a part of the tenure-track faculty member's file. These materials will subsequently be included in the dossier for tenure and promotion.

During any year of a tenure-track appointment, a faculty member may be judged to be making unsatisfactory progress toward tenure on the basis of the annual reports or other sources of information. In any year, a terminal contract or notice of non-reappointment may be issued to an untenured faculty member by the department chairperson in conformity with deadlines stated in the non-reappointment policy (OP 32.02). The university is not required to give a non-tenured faculty member a reason for a decision of non-reappointment beyond the department chairperson's notification.

Overview of Third Year Review Procedures

In the tenure-track faculty member's sixth long semester, a comprehensive evaluation of his or her performance will be undertaken (*i.e.*, the third-year review). This evaluation is to be considered an opportunity to advise the tenure-track faculty member whether it is felt that satisfactory progress is or is not being made toward tenure. Even if progress is deemed to be satisfactory at this time, there is, nevertheless, no guarantee of the ultimate award of tenure. If progress is deemed to be unsatisfactory in the third-year review and the tenure-track faculty member has been given an opportunity to respond to the unsatisfactory performance rating, then there are two alternatives available to the department: (1) a determination will be made to give the tenure-track faculty member a terminal contract, or (2) the department chairperson will provide, in writing, comments from the faculty and, if deemed appropriate by the chair and dean, specific requirements setting forth the conditions for continued employment and deadlines for completing these conditions.

Specific Procedures and Timetables for Third Year Reviews

- 1) The third-year review committee will be appointed by the chairperson or departmental executive committee and will consist of at least three tenured members. In departments with fewer than three tenured faculty members, external members will be appointed by the dean in consultation with the chairperson. This committee will be appointed by the first day of classes in the tenure-track faculty member's sixth long semester.
- 2) The tenure-track faculty member will make available to the third-year review committee his or her materials as described below in the section on Dossier Requirements. These materials will be due on the same day that annual reviews are due as specified in O.P. 32.32.
- 3) The appointed committee will review carefully the tenure-track faculty member's teaching, research/creative activity, and service to evaluate whether satisfactory progress

is being made toward meeting the department's, college's, and university's expectations for the award of tenure. The committee will prepare, sign, and date a written report summarizing its evaluation.

4) On or before February 15th, the review committee's report will be made available to both the tenure-track faculty member and to the tenured faculty members in the department. The faculty member will be given the opportunity to respond to the report, and his or her signed and dated response, if any, will be made available to the tenured faculty on or before the last working day in February.

5) In considering the review committee's report, the faculty member's response to the report (if any), and the faculty member's dossier, the tenured members of the department will follow procedures parallel to those followed by the department at the time of tenure review. If consistent with the procedure followed by the department in reviewing an application for tenure, the tenured members of the department and any appointed members will meet as a committee to discuss the report and to make themselves aware of the tenure-track faculty member's progress. If, at the time of consideration of tenure, a different procedure is followed by a given department, then that procedure should be followed at the third-year review. For example, if a department, at the time of consideration for tenure, does not engage in a group discussion but simply makes credentials available for review, then that department should not engage in group discussion at the third-year review.

6) By March 15th and subsequent to the customary third year review procedure as specified in the department's handbook or policy statements, the tenured faculty will vote by written ballot as to whether or not the tenure-track faculty member is making satisfactory progress toward tenure. The ballot question will be the following:

At this point in time, is [first and last name of person being reviewed] making satisfactory progress toward tenure as a faculty member in this department?

The following three choices are to be offered on the ballot as possible answers:

Yes, No, or Abstain.

Comments regarding the third year faculty member's progress may also be invited, and such comments may be provided on a separate page enclosed with the ballot. Ballots and comments are to be unsigned. The vote at this stage is not a vote on tenure and should not, of course, be construed as promise of final approval or rejection at the time of consideration of tenure.

a) Should the faculty member receive a vote indicating satisfactory progress toward tenure, he/she must be informed promptly of that fact by the chairperson and should be encouraged to continue his or her satisfactory performance. Within the next month (by April 15), the department chairperson should convey to the faculty member comments both positive and negative expressed by the tenured faculty. The tally of the ballots and any written comments must be retained in the faculty member's file in the department. The tally and the

comments will not be included automatically as part of the faculty member's tenure dossier, but the Arts and Sciences Tenure and Promotion Committee may later request copies of these materials to aid in its deliberations at the time of tenure review.

b) Should the faculty member receive a vote indicating that, in the opinion of the tenured faculty, the candidate is not progressing satisfactorily toward a favorable tenure decision, he/she must be informed promptly of that fact by the chairperson, and then a decision must be made whether or not to terminate the appointment. In reaching a decision to recommend termination of a tenure-track appointment as a result of the third year review to the dean, the chairperson will first consult with tenured members of the department by conducting a ballot vote. The faculty member involved should be invited to submit to the tenured faculty any written evidence or statement desired and/or to appear before a meeting of the tenured faculty if he/she so wishes. If the faculty member so requests at this stage, the chairperson is to show him/her any written comments that were provided with the ballots. Any additional materials from the third year faculty member (materials that are signed and dated or that have a signed and dated cover sheet) must be provided and/or the meeting with the tenured faculty must be requested no later than March 30th. A vote on whether or not to recommend termination of the appointment will be taken on or before April 15th. The ballot question for this vote will be the following:

Should [first and last name of person being reviewed] continue as a tenure-track faculty member in this department or should [first and last name of faculty member's] employment as a tenure-track faculty member in this department be terminated?

The following three choices are to be offered on the ballot as possible answers:

Continue employment, Terminate employment, or Abstain.

Comments may also be invited, and such comments can be provided on a separate page enclosed with the ballot. Both ballots and comments are to be unsigned.

The results of this vote by the tenured faculty will constitute a faculty recommendation that will be conveyed promptly by the chairperson to the dean, who in consultation with the chairperson will make the decision regarding termination or continuation. If a decision is made to terminate the faculty member's employment, a letter of non-reappointment will be issued by the chairperson before the end of the semester (to be defined as the day all final grades are due). Alternatively, if progress is deemed unsatisfactory but a decision to terminate employment is not made, the chairperson will by the end of the semester (to be defined as the day all final grades are due) convey to the faculty member a written account of comments both positive and negative expressed by the tenured faculty and, if deemed appropriate by the chair and the dean, specific, written requirements setting forth the conditions for continued employment and the deadlines for completing the conditions. In this case, the tallies of both

ballots, as well as any comments and any written requirements for continued employment must be retained in the faculty member's file in the department. The tallies, the comments, and any written requirements for continuation will not be included automatically as part of the faculty member's tenure dossier, but the Arts and Sciences Tenure and Promotion Committee may later request copies of these materials to aid in its deliberations at the time of tenure review.

(c) Notices of non-reappointment, if any, will be made in conformity with deadlines stated in the university's policy (OP 32.02).

Dossier Requirements for Third Year Reviews

The tenure-track faculty member will make available the following materials:

- Basic information in the same format required in dossiers for tenure and promotion consideration (see the Basic Information section in Attachment B of O.P. 32.01).
- A copy of the faculty member's original offer letter.
- The vita should meet the requirements set forth by the College of Arts & Sciences (website and Digital Measures).
- The faculty member's brief self-statement on teaching, not to exceed one page.
- Student teaching evaluations (quantitative) for questions 1 and 11 for each class and comments from the student evaluations by year.
- Copies of at least three annual peer teaching evaluations as required by OP 32.01. The department should specify in its handbook or policy statements the arrangements for all peer visits, including information about the manner and timing and number of such visits.
- Copies of syllabi and other teaching materials (such as exams or assignment sheets) the faculty member or department may wish the review committee to see.
- The faculty member's brief self-statement on research/creative activity, not to exceed one page.
- Copies of publications, grant applications, or other materials that document the faculty member's research/creative activity. Departments may specify if they wish to see all such materials or only selected examples.
- The faculty member's brief self-statement on service, not to exceed one page.
- Copies of all annual reports to date and copies of all chair's evaluations to date.
- Any other materials specified in the department's handbook or policy statement plus other pertinent materials, if any, the candidate might wish the review committee to see.

This revision of the policy shall become effective immediately.