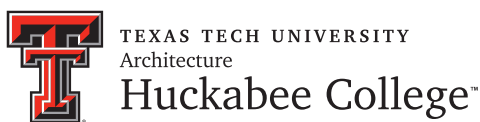


[Original HCOA OP approved by faculty vote, 09/08/2014. Minor revision to voting procedure approved by faculty vote, 9/16/2015. Major revisions to bring into accord with new TTU OP 32.38 approved by faculty vote, 11/30/2018. Major revisions to bring into accord with revised TTU OP 32.38 approved by faculty vote, 10/21/2022.]



Operating Policy and Procedure

OP 103.05 Tenure-Track Third-Year Review Policy

DATE: October 21, 2022

PURPOSE: This operating policy and procedure sets forth definitions and establishes procedures for the third-year review of tenure-track faculty within the Huckabee College of Architecture (College) as set forth in Texas Tech University Operating Procedure TTU OP 32.38: Third-Year Review of Tenure-Track Faculty, February 12, 2021.

REVIEW: The Huckabee College of Architecture Operating Policy and Procedures Committee (OP Committee) will review this college policy by February 1 of every odd-numbered year. Any substantive revisions will be presented to tenured and tenure-track faculty for vote and forwarded to the dean of the Huckabee College of Architecture.

COMMITTEE CHARGE:

- A. To assure that the Huckabee College of Architecture Operating Policy and Procedures do not contradict the current Texas Tech University Operation Policy and Procedures. The committee is responsible to monitor on a regular basis any changes in Texas Tech University Operation Policy and Procedures that may affect the Huckabee College of Architecture Operating Policy and Procedures.
- B. To invite, solicit and compile suggested revisions and amendments to the Huckabee College of Architecture Operating Policy and Procedures from tenured and tenure track faculty in the Huckabee College of Architecture.
- C. The committee will draft and prepare Huckabee College of Architecture Operating Policy and Procedures amendments and changes and submit any amendments or changes to the tenure/tenure track Huckabee College of Architecture faculty for an approval prior the end of each spring semester. A simple majority will determine acceptance of any amendments or changes to the Huckabee College of Architecture Operating Policy and Procedures.
- D. The majority of the voting members of the faculty and the dean ratified the following college operating policy on September 8, 2014.

DEFINITIONS: See OP 103.01 for definition of terms common to college tenure and promotion policies.

Candidate refers to the tenure-track faculty member under review.

College Third-year Review Committee refers to the candidate's Huckabee College of Architecture third-year review committee.

College Tenured Faculty Committee refers to the tenured faculty of the Huckabee College of Architecture.

Department Chairperson refers to the chairperson of the Huckabee College of Architecture. In the event there is no sitting chairperson, the Associate Dean of Academics will serve this role.

Presiding Administrator refers to the Huckabee College of Architecture's Associate Dean of Research and Innovation, responsible for the administration of the tenure policies

PSVP refers to the Provost and Senior Vice President.

Dean refers to the Dean of the Huckabee College of Architecture.

1. Goals

- a. This policy strives to ensure equity and ethical evaluation of tenure-track candidates by aiding the dean and college faculty in assessing the trajectory of distinction within a candidate's record of teaching, research, and service. This process also provides an opportunity for the candidate to better understand their assessment by the college and respond with any necessary adjustments prior to the tenure review.
- b. Texas Tech University has adopted a statement of ethical principles that calls on all members of the university community to accept responsibility for promoting shared ethical principles. All academic appointments and tenure judgments and recommendations rest upon honest evaluation of the faculty member's performance of their teaching, research, and service. Consistent with University OP 40.01 and University OP 10.12, such judgments and recommendations are to be made without regard to race, religion, gender, sexual orientation, age, national origin, or disability, as defined by the Americans with Disabilities Act, as amended.

2. College Third-Year Review Committee

- a. The presiding administrator, in consultation with the candidate, will select a college third-year review committee of three tenured faculty members not holding administrative positions, and will assign the chairperson of this committee. The committee chairperson will be responsible for organizing meetings, receiving submissions from the candidate, and issuing documents on behalf of the committee. If the presiding administrator and the candidate are unable to agree upon committee members, the dean will mediate. Members of the candidate's tenure-track advisory committee do not serve on the third-year review committee.
- b. The committee will be established no later than the third week of October of the candidate's fifth long semester.

3. Evaluation by College Third-Year Review Committee

- a. The review will commence during the fifth long semester of the candidate's third year of employment with the university. The presiding administrator will notify the candidate of this review no later than the second week of October of the fifth long

semester. An initial meeting between the committee and candidate will occur no later than the fourth week of November to discuss the process and procedure of the review and establish a timetable for the submission and review of materials.

- b. The candidate will submit a third-year review dossier by January 20 of the sixth long semester. Upon receipt of the candidate's third-year review dossier, the committee will review the dossier and make a written assessment and recommendation regarding the candidate's progress toward tenure and promotion.
- c. The presiding administrator will deliver the candidate's completed annual performance evaluation for the preceding year to the candidate no later than the first week of February of the sixth long semester, as per university OP 32.38, § 1 d. This will be added to the candidate's dossier and considered in the committee's evaluation. During the review process the committee may meet with the candidate to discuss its recommendations and, if necessary, to get clarifications from the candidate.
- d. The committee's evaluation will be completed by the third week of February of the sixth long semester.
- e. The chairperson of the committee will present the third-year review report signed by members of the committee to the candidate 48 hours before having a meeting with the candidate, which will commence no later than the fourth week of February of the sixth long semester. The candidate will sign the report as evidence that the chairperson of the committee has met to review the findings of the report with the candidate. The signature does not bind the candidate to agreement with the committee's report, only their presence and participation in the meeting.
- f. If the candidate does not agree with the findings in the report, an additional meeting will be held with the candidate, the presiding administrator, and the committee to discuss the report. This meeting will take place prior to any further action and no later than the first week of March of the sixth long semester. After the meeting, the committee may submit an amended report. If the candidate still believes their concerns have not been satisfactorily addressed through this meeting, the candidate may file a written response to the dean within 20 days of the meeting that will be added to the review file.

4. Review and Vote of College Tenured Faculty Committee

- a. Following the completion of the preceding review process, the presiding administrator will make the candidate's dossier, the committee report, and the candidate's response (if any) available for review by the College Tenured Faculty Committee by the first week of March of the sixth long semester. The presiding administrator will call a meeting of the College Tenured Faculty Committee following a ten working day review period to discuss the performance of the faculty member under review and to vote in support or non-support of their satisfactory progress towards tenure. The department chairperson does not attend the meeting or participate in the faculty vote.
- b. In the meeting, the College Tenured Faculty Committee will discuss the merits of the candidate's dossier. No meeting minutes are taken of the meeting, and the content of the meeting is confidential to the attendees. Following discussion, the College Tenured Faculty Committee will cast votes, either by unsigned paper ballots or by a secure and anonymous university-administered electronic voting process. Votes will be recorded and reported separately from comments.
- c. The ballot question will be "Is the candidate making satisfactory progress towards

tenure and promotion?" Faculty will answer "Yes," "No," or "Abstain."

- d. Additional signed written comments regarding the faculty member's progress and suggestions for moving forward are encouraged and will be submitted with the paper or electronic ballot.
- e. Any faculty member unable to attend the meeting of the College Tenured Faculty Committee may cast a vote with an absentee ballot. However, the absentee ballot must be submitted prior to the meeting. Votes or comments will not be accepted after the meeting.
- f. If voting is by paper ballot, the presiding administrator will collect and tally the ballots in the presence of another tenured faculty member and will inform the College Tenured Faculty Committee of the results of the vote during the meeting. If there is an electronic ballot, the presiding administrator will notify the College Tenured Faculty Committee of the result through e-mail as soon as the results are known. The presiding administrator will add the ballots and the written comments to the candidate's third-year review dossier.

5. Evaluation by Department Chairperson

- a. The chairperson will approve the committee's report and the faculty vote. In the case of disagreement with either the committee's report or the faculty vote, the chairperson will make an independent assessment of the candidate by March 15 of the sixth long semester, which will be shared with the candidate and included in the dossier.

6. Process and Document Review

- a. The Associate Dean of Research and Faculty Development will check to ensure that the process provided in this operating policy has been followed, that all documents (the dossier, the committee report, tenured-faculty vote and comments, and the chairperson's assessment) are present, and will report to the dean and the chairperson no later than April 1 of the sixth long semester.

7. Evaluation by Dean

- a. The dean will review the dossier and, taking into account the committee report, the tenured-faculty vote and comments, and the chairperson's assessment, will prepare a written statement of the outcome of the third-year review. The dean's written statement, which may contain general observations and suggestions for helping the faculty member achieve a positive outcome in the promotion and tenure process, will be shared with the candidate and the department chairperson by April 15 of the sixth long semester of service.
- b. In the event there is a disagreement between the committee report, the faculty vote, and/or the chairperson's assessment, the dean will address this disagreement in their own written statement of the outcome of the third-year review.
- c. In the case of an unsatisfactory final third-year review assessment, the dean will (a) issue a one-year terminal contact, or (b) provide written assessment and recommendation to the candidate with suggestions for improvement and/or requirements for performance, including conditions for continued employment with deadlines for completing these conditions.

- d. The dean will inform the candidate and the chairperson of the outcome of the third-year review no later than April 15 of the sixth long semester.
- e. The dean's written statement will be included in the candidate's tenure and promotion dossier, along with the third-year review committee's written assessment, the vote and comments of the College Tenured Faculty Committee, and the chairperson's written assessment.

8. Criteria for Evaluation

- a. The candidate will be reviewed on their progress in teaching, research, and service. This review will be based on the criteria set forth in university OP 32.01, university OP 32.32, and college OP 103.02.

9. Documentation

- a. The candidate will submit a dossier documenting accomplishments in teaching, research and service as well as including their annual reports, and annual advisory letters prepared by the candidate's tenure-track advisory committee. The dossier will follow the promotion and tenure dossier format defined in university OP 32.01. The dossier will include:
 - i. Vita with the administrator's rating of publications and creative activities.
 - ii. Candidate's letter of appointment.
 - iii. Annual advisory letters from the candidate's tenure-track advisory committee.
 - iv. Summaries of teaching effectiveness, research, and service.
 - v. Documentation of teaching effectiveness, research, and service.
 - vi. Annual faculty reports and the candidate's annual college performance evaluations.
 - vii. Student course evaluations for courses taught by the candidate.
 - viii. Additional evidence of teaching, research, and service requested by the third-year review committee.

10. University and College Operating Policies and Related Documents

[University OP 32.01, Promotion and Tenure Standards and Procedures](#)

[University OP 32.01A, Texas Tech University Statement of Ethical Principles](#)

[University OP 32.01B, Promotion and Tenure Dossier Format](#)

[University OP 32.02, Faculty Non-reappointment, Dismissal, and Tenure Revocation](#)

[University OP 32.38, Third-Year Review of Tenure Track Faculty](#)

[University OP 32.32, Performance Evaluations of Faculty](#)

[University OP 40.01, Equal Employment Opportunity Policy and Affirmative Action Program](#)

[University OP 10.12, Sexual Orientation Non-discrimination Policy](#)

College OP 103.02 – Promotion and Tenure Standards and Procedures. College OP 103.02A – Attachment A: Appointment Letter Example.

College OP 103.02B – Attachment B: Faculty Review Calendar Example. College OP 103.03 – Tenure-

track Advisory Committee.

College OP 103.06 – Comprehensive Performance Evaluation. College OP 103.10 – College Tenured
Faculty Committee