



College Operating Policy and Procedure

**COP 1.5: Third Year Review**

**DATE:** January 11, 2024

**PURPOSE:** The purpose of this College Operating Policy/Procedure (COP) is to standardize and ensure the fair evaluation of all tenure-track/continuing appointment faculty during the third year of employment at rank, in anticipation of the faculty member's possible application for tenure/promotion/continuing appointment during the sixth year of employment at rank.

**POLICY/PROCEDURE:**

**I. Overview:**

- a. In the tenure-track/continuing appointment faculty member's sixth long semester, a comprehensive evaluation (the third-year review) of his or her performance will be undertaken.
- b. This evaluation is an opportunity to determine whether the faculty member is making satisfactory progress toward tenure/continuing appointment and promotion.
- c. If the faculty member is hired at mid-year (November through May), the next fall semester will commence their first semester for purposes of the third-year review.

**II. Procedures, Guidelines, and Timeline:**

- a. During the fall (fifth long) semester, the department chairperson is required to notify the college about upcoming third-year review case(s).
- b. The candidate will submit the third-year review dossier to the chairperson **by January 31** of the sixth long semester of service. See list of dossier contents below.
- c. By the **first week of February**, the department's third-year review committee should have access to the candidate's dossier and should begin their review.
  1. According to OP 32.38, each department is required to have a third-year review committee—this could be a department T&P committee, or a committee appointed by the chairperson.
  2. If the department does not have at least three tenured faculty for this committee, the chairperson, in consultation with the candidate and the dean, will appoint faculty members from other departments within the college.
- d. The committee's review of the candidate's third-year review dossier should be concluded by the **last day of February**, and the committee's written recommendation will become part of the dossier to be forwarded to the candidate, tenured faculty of the department, and the chairperson.
- e. **Between the last day of February and March 15** the tenured faculty in the department will cast a vote.
  1. The ballot question will be: Is the candidate making satisfactory progress towards tenure and promotion or towards continuing appointment and promotion?
  2. The following three choices are to be offered on the ballot as possible answers:
    1. **Yes**
    2. **No**

### 3. *Recusal*

- f. The departmental third-year review committee chairperson will tally the votes in the presence of another tenured faculty member. The outcome of the ballot along with written comments from the tenured faculty will be forwarded to the candidate and the chairperson of the department.
- g. **By March 15**, the chairperson of the department will make an independent assessment of the candidate, including the vote tally, which will be shared with the candidate, included in the dossier, and forwarded to the college for further evaluation. All departmental components of the third-year review process should be completed **by March 15th**.
- h. **April 1**— The dean's office will check to ensure that the process at the departmental level has been followed, that all documents (the dossier, the committee report, and the chairperson's assessment) are present, and will share its finding with the dean and the chairperson no later than April 1 of the sixth long semester.
- i. **April 15**— The dean of the college will make an independent evaluation and provide a recommendation based on input received.
- j. The dean's recommendation, which may contain general observations and suggestions for helping the faculty member achieve a positive outcome in the tenure/continuing appointment and promotion process, and will be shared with the candidate and the department chairperson by no later than April 15th of the sixth long semester of service.
- k. If a faculty member under review is found to be making **unsatisfactory** progress toward tenure/continuing appointment and promotion, the dean, in consultation with the chairperson, may recommend remediation or non-reappointment.
  - 1. In the case of remediation, the chairperson is required to provide a letter to the faculty member that carefully explains the progress in research, teaching, and service the faculty member is expected to make prior to tenure/continuing appointment and promotion review.
  - 2. The faculty member and the chairperson will sign and date this letter and a copy will be sent to the dean.
  - 3. The third-year committee report, the vote tally, faculty comments, and the chairperson's letter must be retained in the faculty member's file in the department.
  - 4. The third-year committee report and the chair's letter will be included in the dossier at the time of tenure/continuing appointment review, and the Arts & Sciences Tenure and Promotion Committee may later request the other materials to aid in its deliberations.
- l. In the case of a decision of non-reappointment, the faculty member under review will be eligible for a terminal year of employment in the following academic year.
  - 1. 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).
  - 2. The third-year committee report, the vote tally, faculty comments, and the letter of non-reappointment must be retained in the faculty member's file in the department.
  - 3. (Notices of non-reappointment will be made in conformity with deadlines stated in the university's policy OP 32.02).
- m. If the decision is made to issue a letter of non-reappointment, the faculty member under review will be provided an opportunity to appeal the outcome directly to the Office of the PSVP.
  - 1. The faculty member under review is expected to submit a written statement, which includes a clear reasoning for the appeal, by the last day of their sixth long semester of service.
  - 2. The appeal process will be governed by procedures set in OP 32.02, Faculty Non-reappointment, Dismissal, and Tenure Revocation

**III. Dossier Requirements:**

- a. The tenure/continuing appointment-track faculty member will make available the following materials (please include only those materials that fit the particular appointment):
  1. The vitae should meet the requirements set forth by the College of Arts & Sciences T&P dossier format.
  2. A copy of the faculty member's original offer letter.
  3. The faculty member's brief self-statement on teaching, not to exceed one page.
  4. Student teaching evaluations (quantitative) for each class and comments from the student evaluations from each year.
  5. Copies of at least three 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.
  6. Copies of teaching materials (such as exams or assignment sheets) the faculty member or department may wish the review committee to see.
  7. The faculty member's brief self-statement on research/creative activity, not to exceed one page.
  8. The faculty member's brief self-statement on service, not to exceed one page.
  9. Copies of all annual reports to date and copies of all Chair evaluations to date.
  10. 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.

**IV. Exceptions:**

- a. Departments/units may petition the Dean for allowable exceptions to these guidelines.