

Texas Tech University
WHITACRE COLLEGE OF ENGINEERING
Operating Policy and Procedures
[Approved by Executive Committee:03/15/2023]

WCOE OP 10.03: Third-Year Review

Date: 03/15/2023

Purpose: The purpose of this Whitacre College of Engineering Operating Policy is to ensure standardization in conducting the third-year review for tenure-eligible faculty. The third-year review should aid faculty members in developing their full potential.

Review: This Operating Policy will be reviewed every two years by the Whitacre College of Engineering Promotion Tenure Committee with any recommendations for revision being sent to the dean. Faculty feedback will be solicited. Revisions will require approval by the WCOE Executive Committee.

University OPs related to faculty review

- OP 32.01 Promotion and Tenure Standards and Procedures
- OP 32.28 Third-Year Review of Tenure-Track Faculty
- OP 32.32 Performance Evaluations of Faculty
- OP 32.05 Faculty Grievance Procedures
- WCOE OP 10.01 Tenure and Promotion
- WCOE OP 10.02 Annual Review and Expectations
- WCOE OP 10.06 Mediation of Faculty Disputes

POLICY/PROCEDURE

This Operating Policy and its procedures abide by the provisions set out in the Texas Tech University Third-Year Review of Tenure Track Faculty OP 32.28, Performance Evaluations of Faculty Operating Policy OP 32.32 and the Texas Tech University Regents' Rules.

The Texas Tech University Whitacre College of Engineering provides undergraduate and graduate programs within a college committed to quality education and nationally recognized research and public service. Therefore, it is essential that its faculty be dedicated to achieving excellence in teaching, research and service in order to preserve and continually improve the vitality of the college. In this spirit, when the Whitacre College of Engineering hires tenure-eligible faculty it is with the expectation that tenure will be achieved and that the faculty

member will be successful. To facilitate this outcome it is the expectation of the College that tenure-eligible faculty will be mentored and guided through the tenure period and the Annual Review (WCOE OP 10.02), the Third-Year Review (OP 10.03), OP 32.28 Third-Year Review of Tenure-Track Faculty and the Tenure and Promotion Application (WCOE OP 10.01) aiding this process.

1. Timing

The probationary period begins in September of the calendar year of a faculty member's initial appointment to a tenure-eligible rank at Texas Tech University. All time accrued in full-time service at Texas Tech University in a tenure-eligible rank will be counted in the probationary period. The probationary period may be modified according to the university's Operating Policy (OP 32.28). The timeframe for conducting the third-year review will be during the sixth long semester (spring term).

2. Third-year Review Document

The faculty member under review will prepare a dossier as outlined in Section 9 of the WCOE OP 10.01 on Promotion and Tenure. The evaluation criteria, recommendations form, dossier cover letter, outside reference letters and applicant's goals are not needed. All Annual Faculty Reports and Peer Teaching Evaluations will also be included in the dossier for consideration by the review committees.

3. Review Procedure

The third-year review process includes the candidate, department chair, a third-year review department committee knowledgeable of the candidate's teaching, research and service, and the dean. The candidate will prepare the dossier to be shared with the other entities involved in this process. The responsibilities and deadlines for all involved parties are outlined in sections 4 through 7 of this OP. The third-year review document should include the peer-observation summaries (WCOE OP 10.01, Attachment APP-F)

4. Candidate's Responsibilities

The candidate shall

- Review the Faculty Handbook, TTU OP 32.01, TTU OP 32.05, TTU OP 32.32, WCOE OP 10.01, and WCOE 10.02, WCOE OP 10.06 and departmental expectations.
- Submit final material for dossier to the department chair by January 20. Please see the dossier format and supporting documents described in item 9.
- Meet with the department chair to review comments of the third-year review report by March 15.
- The candidate will be given an opportunity to respond to the contents of the third-year review report in writing to the Chair if they wish. The candidate's response must be submitted within a week of the meeting with the department chair. Chair will provide a copy of the response to the Dean.

5. Chair's Responsibilities

The department chair shall

- Notify the candidate in writing of the intent to seek a third-year review by January 10 of the sixth long semester of the probationary period.
- Form a third-year review committee by the first week in February. The third-year review committee will consist of a minimum of three tenured faculty members knowledgeable of the candidate's teaching, research and service. The committee members would normally be expected to be from the department but will include another external member from the college.
- Three outcomes for the review are envisaged. :1) a satisfactory review represents progress towards, but does not guarantee, tenure. 2) A review may recommend that remedial measures are required. 3) Should progress towards tenure be so unsatisfactory that a positive outcome is unlikely the department chair may recommend termination of the candidate and will work with the Dean as appropriate.
- Tenured faculty from the candidate's department should have the opportunity to review the committee's report and give additional feedback to the faculty member under review by a procedure set by the department.
- The chairperson of the department will approve the committee's report or, in the case of a disagreement with the report, make an independent assessment of the faculty member under review.
- The department chair will discuss the review committee's report and recommendations with the candidate within two weeks of the third-year review committee meeting.
- The chair writes a letter of recommendation regarding the proposed action for the candidate in the department. The letter will contain recommendations for the candidate to prepare for tenure and promotion. Recommendations should consider departmental and college tenure and promotion guidelines. These recommendations should be as specific as possible. The department chair should avoid using language that can be interpreted in multiple ways and contexts. The department chair will complete his/her letter by March 15.
- The department chair's letter and third-year review report will go in the candidate's file, and will be forwarded to the Dean
- The department chair will advise the dean in writing of the third-year review outcome by March 15. The department chair will include the third-year review committee's report and the chair's recommendation to the candidate in the submission to the Dean.

6. Third-year Review Committee

The third year review committee members shall:

- Consist of a minimum of 3 tenured faculty members with rank above that of the candidate.
- Select a chairperson from their membership and all members will review the candidate's dossier and record their vote on Attachment WCOE-A 3YR. At the end of the department review the committee member ballots will be collected and sent to the Dean's office to be kept on file.

- Meet to discuss the candidate's dossier. Submit a report summarizing the results of the review process and capturing the reasons for the committee members' vote per the ballot (Attachment WCOE-B 3YR).
- Submit the report to the department chairperson by February 28.
- Attachment WCOE-B 3YR will serve as the committee's written report or as a cover sheet if additional comments or recommendations are submitted. All written comments from committee member's ballots will be transcribed to a separate report (Appendix A).

7. College- Level Evaluation

a. 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.

b. The dean of the college will make an independent evaluation. The dean will review the dossier and, taking into account the committee report and the chairperson's assessment, will prepare a written statement of the outcome of the third-year review. The dean's letter, 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 faculty member under review and the department chairperson by April 15 of the sixth long semester of service. In the event of a disagreement between the third-year review committee and the chairperson, the dean will provide a manner of resolution of the disagreement.

When the review committee and the chairperson find that the faculty member under review is not making satisfactory progress toward tenure, the dean, in consultation with the chairperson, may recommend remediation or non-reappointment. 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.

8. Appeal Procedure

- a. If the decision is made to issue a letter of non-reappointment, the candidate will be provided an opportunity to appeal the outcome directly to the Office of the PSVP. The candidate 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. The appeal process will be governed by procedures set in the University OP 32.02 Faculty Non-reappointment, Dismissal, and Tenure Revocation;
- b. The Office of the PSVP will evaluate the appeal of the faculty member under review in consultation with the parties involved in the review and any other advisors deemed appropriate. The Office of the PSVP will provide a written response to the appeal by no later than the end of the next fall semester

9. Sample Third Year Review Dossier and Supporting Documents

Attachments and annotations are in italics. Note that each section should be preceded by a title page.

Title Page (*Attachment APP-A 3YR Title Page*)

Table of Contents (*Attachment APP-D 3YR Table of Contents*)

Evaluation Criteria (*Attachment APP-B 3YR Evaluation Criteria*)

Committee Ballot Summary of Votes (*Attachment WCOE-B-3YR -Summary report*

Department Committee acts as a cover sheet if Department Committee submits written comments

Section 1: Dean's Letter

Section 2: Chair's Letter

Section 3: Vita (*Include Chairperson's Ratings of Publications/Creative Activities*)

Section 4: Basic Information

Original Letter of Hire – *May also include Start-up Package Information*

Basic Information (*Attachment APP-G-3YR Basic Information*)

Section 5: Summary of Peer Observation of Teaching
(*Attachment APP-F Peer Observation Form*)

Section 6: Applicant's Summary of Teaching Effectiveness

Numerical Summary of Student Evaluations

Student Comments (*Optional*) *Note: If student comments are included it must include all comments from all courses in the last three years.*

Section 7: Applicant's Summary of Research/Creative Activities

Start-up Agreement (*If Start-up Package is already cited in Original Letter of Hire refer to Section 4*)

List of Grants (*If Grants are already cited in the Vita refer to*

Section 3)

Section 8: **Applicant's Summary of Service Activities**

Section 9: **Annual Faculty Reports**

All Annual Faculty Reports in chronological order from first year review to most recent review

Appendix A: **Summary of Comments on Department and Committee Ballots**

SUPPORTING DOCUMENTS *(not included in Dossier)*

PEER OBSERVATION GUIDANCE DOCUMENT AND FORMS (Attachment APP-E)