

*Office of the Dean*

**SUBJECT:** Third-Year Review of Faculty in Tenure-Acquiring Positions

**DATE:** April 2022

**PURPOSE:** The purpose of this Operating Policy/Procedure is to establish the basis for and the procedures used for the third-year review of tenure-accruing faculty in the College of Human Sciences. Related OPs: [32.02](#), [32.20](#), [32.38](#)

**REVIEW:** This policy will be reviewed when changes to the university policy or related university OP are made.

## **POLICY**

When the College of Human Sciences employs a faculty member in a tenure-accruing position, it is with the expectation that the individual will become tenured and serve the university in a long and productive career. The departmental tenured faculty will assist in determining whether or not the criteria for tenure are met prior to its award. Thus, it is to the advantage of both the faculty member and the department to see that timely evaluation is made of a tenure-track faculty member's performance beyond the annual faculty review so that deficiencies identified be made known to the untenured faculty member in time for correction prior to the expiration of the probationary period.

In the faculty member's sixth long semester, a comprehensive evaluation of his/her performance will be undertaken (the third-year review). The department chairperson will notify the faculty member of this evaluation by September 15 of the preceding fall semester. A timeline summarizing the third-year review process is available. This third-year evaluation is to be considered an opportunity to advise the faculty member whether it is felt that satisfactory progress is or is not being made toward tenure. If progress is deemed to be satisfactory at this time, there is, nevertheless, no guarantee of ultimate tenure.

The faculty third-year review dossier along with the results of the third-year review, including the tally of ballots and written comments, will be included in the faculty member's electronic file maintained by the Dean's Office. The department should also retain the material until the tenure process is complete as a part of the faculty member's file. The third-year review committee report and the chairperson summary report will be included in the faculty member's tenure dossier.

During any year of a tenure-acquiring 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 [OP 32.02](#).

## PROCEDURE

Specific procedures for third-year reviews are presented in a flowchart and are detailed in the remainder of this document.

1. Department-level evaluation
  - a. Each department or independent program in the college directs its own third-year review guided by college policies. For more information on those policies, contact the department directly.
  - b. The third-year review will be conducted as directed by [OP 32.38](#). The Third-Year Review Committee and its chair will be selected from tenured faculty members in accordance with university and departmental policies. If the department faculty numbers are insufficient to provide a suitable review panel, the department chairperson, in conjunction with the dean or designee, will appoint additional tenured faculty members from within the college for the purposes of this review.
  - c. The faculty member under consideration will make available to tenured departmental faculty his/her dossier materials as described below in the section on Dossier Requirements. These materials will be due January 20.
  - d. The department Promotion and Tenure Committee will serve as the review body for third-year reviews. This committee will carefully review the faculty member's teaching, scholarship (research/creative activity), and service to evaluate whether satisfactory progress is being made toward meeting the department, college, and university expectations for tenure. The review committee will vote by written ballot. Comments regarding the third-year faculty member's progress should also be included, and such comments should be provided on a separate page enclosed with the ballot. Ballots and comments are to be unsigned. The department chairperson (or designee) and a witness will count the ballots submitted by the department faculty members. The certified count of the ballots will be recorded on the Statement as to Ballot Counts. Votes are recorded on the Third-Year Report Summary form. Results of the third-year review including the ballot tally and comments should be retained by the department.
  - e. **The vote at this stage is not a vote on tenure and should not be construed as promise of approval or rejection at the time of consideration of tenure.**
  - f. The chairperson will then write a chair summary document. Sample chairperson summary documents (positive and negative) are available from the Associate Dean for Academics and Faculty. This assessment will be recorded on the Third-Year Report Summary form, shared with the candidate, and included in the dossier. The third-year review dossier will then be submitted to the college for further review.
  - g. See department instructions for specific guidelines.

2. College-level Process
  - a. The Dean's Office will review the assessment process to assure that department policies have been followed and all documents are present and will share its findings with the dean and chairperson no later than April 1.
  - b. See college instructions for specific guidelines.
3. Evaluation by the Dean
  - a. The dean will make an independent evaluation and provide a written recommendation based on inputs received. A written recommendation from the dean about the outcome of the third-year review should be shared with the candidate and the department chairperson prior to April 15th of the sixth long semester of service. The dean's evaluation will be included in the faculty dossier.
  - b. The dean may recommend continuation, a program of remediation, or non-reappointment. In the case of a decision of non-reappointment, the candidate will be eligible for a terminal year of employment in the following academic year ([OP 32.20](#)).

#### **DOSSIER PREPARATION**

The tenure-track faculty member will make available the following materials in the dossier. See faculty instructions for specific guidelines.

1. Sample title page
2. Annual Reports (including the chair evaluation) for the first three years of employment.
3. A vita that includes information on education, professional appointments, teaching, research, and service. The vita may include whatever additional information the department may specify in its policy statements and whatever additional information about honors and awards or other professional contributions the tenure-track faculty member wishes to include.
4. Peer teaching evaluations for the first three years.
5. The department chairperson's summary assessment.
6. The dean's summary assessment
7. Any additional documentation that the candidate believes should be considered in assessing their progress toward tenure, such as statistical summaries of teaching evaluations by students, publications, funding proposals, etc.

## **DOCUMENTS INCLUDED**

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

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

[OP 32.20](#) Notice of Non Renewal for Non Tenured Tenure-Track Faculty and Non Tenure-Track Faculty

[Third-Year Notification](#)

[Timeline](#)

[Flowchart](#)

[Preparing a Dossier for Third-Year Review – Faculty](#)

[Preparing a Dossier for Third-Year Review – Department](#)

[Preparing a Dossier for Third-Year Review – College](#)

[Department Committee Ballot](#)

[Statement as to Ballot Counts](#)

[Third-Year Review Summary Report Form](#)

*Approved by Faculty Council April 2022*