

**Texas Tech University
Department of Curriculum and Instruction**

Third-Year Review Guidelines and Procedure

(Approved by tenure-track and tenured faculty
in the Department of Curriculum and Instruction on December 9, 2021)

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I. PURPOSE

According to [OP 32.38](#), the purpose of the third-year review process is intended to be primarily a department-level mentoring process to help guide tenure-track faculty to successful tenure and promotion at Texas Tech University. This requires an honest and constructive review of each faculty member's strengths and weaknesses, which will yield both formative and summative assessments of the faculty member's progress toward tenure and promotion.

The purpose of this document is to provide department-level guidelines and procedures concerning third-year review of members of the faculty in the Department of Curriculum and Instruction (hereafter C&I). Each untenured faculty member on tenure track will undergo a third-year review process, which includes a written assessment and recommendation regarding the faculty member's progress toward tenure and promotion. To help guide the faculty candidate to navigate a third-year review successfully, this document delineates department-level standards and procedures for third-year review. It also identifies the role of Third-Year Review Committee of C&I. C&I's Third-Year Review Standards and Procedures comply with [OP 32. 38: Third-Year Review of Tenure-Track Faculty](#).

II. REVIEW

This document will be reviewed by the C&I Third-Year Review Committee as needed in response to changes that may occur in OP 32.38 and/or in COE's Promotion and Tenure Policy and Procedures. Revisions to this document must be approved by a majority of tenured and tenure-track faculty in C&I.

III. BACKGROUND

- C&I consists of a community of scholars who are devoted to excellence in teaching, research, and service, fulfilling the department's mission and vision.
- C&I faculty who are employed in a full-time tenure-track position with Texas Tech University are covered by this document.¹
- Evaluation of each faculty member's performance for their teaching, research and creative activity, and service responsibilities rests upon the honest and fair judgments of voting members based on this document for Third-Year Review.
- The third-year review, a comprehensive evaluation of the faculty candidate's performance will be undertaken in February of the faculty candidate's sixth long semester (spring term).²

IV. COMPOSITION AND ROLE OF THE THIRD-YEAR REVIEW COMMITTEE

¹ Faculty under third-year review may choose to undergo evaluation based on newly changed requirements or based the requirements in place at the time of hire, as stated in OP 32.38.

² For a faculty candidate hired at mid-year (November through May), the next fall semester will commence their first semester for the third-year review, as stated in OP 32.38.

The C&I Promotion and Tenure Committee (C&I P&T Committee) will also serve as the Third-Year Review Committee and the Annual Review Committee. This committee shall consist of three full-time tenured faculty members who will serve three-year terms. The committee members will be elected by C&I faculty vote. The eligibility of the membership of this committee should be tenured faculty at the rank of associate professor or full professor. The faculty candidate may appoint a fourth member if the candidate believes that a fourth member is needed. The fourth member who has the rank higher than the faculty candidate may be chosen from any department in the College or the University. Every other year, one of the tenured faculty members will rotate off the committee and a replacement will be elected by C&I faculty vote. The chair of the committee will be selected by the members of the committee and serve for a two-year term.

The role of C&I Third-Year Review Committee includes:

- a. Serving as the Annual Review Committee for the department³: The committee will evaluate and write an annual performance review letter for each tenure-track assistant professor, regarding their achievements and recommendations in the areas of teaching, research, and service. The committee will discuss the letter with the faculty candidate and then submit it to the department chair following the schedule established by the College of Education.
- b. Evaluating and writing a third-year review letter for each faculty candidate for a third-year review, regarding their achievements for the past three years and recommendations in the areas of teaching, research, and service. The committee will discuss the letter with the faculty candidate, and then submit it to the department chair.
- c. Providing mentorship for assistant professors being considered for tenure and/or promotion as needed.
- d. Reviewing and proposing changes to the department's Third-Year Review standards and procedures as needed. This review should evaluate the department standards to accommodate the changes that may occur in college and university third-year review standards and/or promotion and tenure policies and guidelines.

V. DEPARTMENTAL PROCEDURE FOR THIRD-YEAR REVIEW

- a. Faculty under third-year review may choose to undergo evaluation based on newly changed requirements or based on the requirements in place at the time of hire.
- b. Evaluation begins in the first year of a tenure-track faculty member's employment at Texas Tech University. Each faculty member will submit an Annual Faculty Report to the chairperson ([OP 32.32, Performance Evaluations of Faculty](#)). Based on this report and the Annual-Year Review Committee's annual evaluations, the department chairperson will provide a written assessment of the performance of each faculty member. The faculty candidate and chairperson will meet to discuss the annual review performance and must sign the written letter prior to submission to the Dean. The annual review letters from the Annual Review Committee and the chairperson will be included in the faculty candidate's third-year review dossier.
- c. The faculty candidate has primary responsibility for preparation and submission of a

³ This Third Year Review guidelines will serve as the Annual Review guidelines.

dossier to the chairperson and the department's third-year review committee (see

Appendix A & B), in January of the sixth long semester of the probationary period.⁴ The third-year review begins in February and will be completed by April 15 of the spring term of the third year when the candidate receives a formal notification from the Dean of the college.

- d. The third-year review committee will fairly evaluate the dossier and issue a written assessment of the faculty candidate's progress toward tenure and promotion with recommendations. The committee will discuss the letter with the faculty candidate before submitting it to the chairperson and becoming part of the candidate's third-year review dossier.
- e. The department chairperson will make the candidate's dossier available to tenured faculty in C&I. Tenured faculty will provide honest and constructive feedback of the faculty candidate's progress toward tenure and promotion including the faculty candidate's strengths and weaknesses (see Appendix C).
- f. The chairperson, while taking the committee's written report and the tenured faculty's feedback into consideration, will write an overall assessment letter of the faculty candidate's progress toward tenure and promotion. The faculty candidate and chairperson shall meet to discuss the Third-Year Review performance letter, and the chairperson will submit the final letter to the dean of the college by March 15 of the sixth long semester.
- g. The faculty candidate and the department chairperson will receive the Dean's letter by April 15 of the sixth long semester of employment, which contains general observations and suggestions for helping the faculty member achieve a positive outcome in the promotion and tenure process.
- h. In the event that the faculty candidate is not making satisfactory progress toward tenure and promotion, the Dean, in consultation with the chairperson, may recommend remediation or non-reappointment (see OP 32.38 for more detail).

VI. GENERAL GUIDELINES FOR THIRD-YEAR REVIEW

The following section provides the C&I Department's expectations of the faculty candidate for their third-year review in the areas of research, teaching, and service. The faculty candidate is expected to be engaged in most of the activities listed under each category to show promise of growth in teaching, research and creative activity, and service.

1. Teaching

Teaching refers to activities that contribute to student learning directly and indirectly, which include teaching courses, designing courses and curricula, program revision and development, advising and directing theses and dissertations, serving as committee member for graduate students, evaluating comprehensive and qualifying exams, creating instructional materials, service-learning, counseling students, to name a few.

⁴ Please note that the faculty candidate may receive an extension due to unforeseen circumstances, e.g., COVID. An extension may be granted after a discussion with the department chairperson and the approval from the Dean and the Provost. The Associate Dean for Research will be notified of the candidate's extension upon approval.

The following are departmental expectations for teaching. Please note that the faculty candidate is not expected to demonstrate every teaching activity listed here. In addition, the faculty candidate can provide other teaching activities that are not listed here.

- a. Demonstrating a record of teaching effectiveness through course content and delivery, student learning outcomes;
- b. Achieving positive teaching evaluations and peer reviews;
- c. Seeking opportunities to improve teaching through self-reflection as well as participation in professional development workshops;
- d. Teaching courses face-to-face, online, or hybrid, aligned with the faculty candidate's expertise and departmental needs;
- e. Producing syllabi that show pedagogical rigor and up-to-date knowledge of the candidate's teaching topic;
- f. Demonstrating the use of innovative and creative pedagogical methods in face-to-face, online, and/or hybrid courses;
- g. Developing and implementing study abroad programs, where appropriate;
- h. Revising old courses/programs or developing new courses/programs to better align with current literature, program goals, and/or institutional needs, when needed;
- i. Chairing master's theses and/or doctoral dissertations and/or serving as a committee member for graduate students.

2. Research and Creative Activity

Research and creative activity refer to a "contribution that directs to the enhancement and expansion of Texas Tech University's research and scholarship as well as that advances the discipline or the state of the art" (OP 32. 01, p. 5). This includes publications, conference presentations, grant applications and reports. Textbooks and innovative instructional materials having significant value beyond TTU may be considered research and creative activity.

The following are departmental expectations for research. Please note that the faculty candidate is not expected to demonstrate every research activity listed here. In addition, the faculty candidate can provide other research activities that are not listed here. The faculty candidate is expected to demonstrate their potential to grow as an *emerging* scholar in their field by having a combination of the research activities.

- a. Publishing and/or having manuscripts under review in peer-reviewed and/or non-peer-reviewed journals, book chapters, or book proposals;
- b. Producing publications that are single-authored, lead authored, and/or co-authored;
- c. Providing evidence of pursuing both the quality and the quantity of research productivities;
- d. Participating in peer-reviewed and/or non-peer-reviewed local, regional, national and international conferences;
- e. Submitting grant proposals to external, federal, internal, and local agencies;
- f. Mentoring and collaborating with students in research.

3. Professional Service

Professional service refers to “professional contributions to the department, college, university, discipline at large, and as appropriate, to the broader community. It also includes outreach and engagement that are discipline-related activities in service to the immediate community, to the state and region, and to society at large” (OP 32.01, p. 6)

The following are departmental expectations for professional service. The faculty candidate is expected to demonstrate their commitment to an organization they belong to. Please note that the faculty candidate is not expected to be involved with every level of service activity listed here. In addition, the faculty candidate can provide other service activities that are not listed here.

- a. Serving on departmental committees;
- b. Serving on college committees;
- c. Serving on university committees;
- d. Serving on committees of professional organizations;
- e. Reviewing manuscripts/proposals for professional journals/conferences; and/or
- f. Serving on other assigned duties.

4. Outreach and Engagement (if applicable)

Community engagement is valued as it links our institution to the public with the potential to make a difference in the communities. Outreach and engagement refer to **academic activities** conducted for, in, and in partnership with the community (local, regional, national, or global). Outreach “involves a one-way relationship between members of the university and members of the community with the university providing educational, consultancy or other services and the community being the recipient. Engagement, on the other hand, involves mutually beneficial, reciprocal partnerships with the community” (Visit the Office of University Outreach and Engagement: <https://www.depts.ttu.edu/provost/outreach-engagement/about/community-engagement/>).

The following are examples that may constitute outreach and engagement:

- a. Service-Learning
- b. Online and off-campus classes
- c. Study abroad with engagement components
- d. Non-credit classes and programs
- e. PreK-12 school programs and pre-college programs
- f. Public programs and events
- g. Programs with non-profit agencies, civic groups, and/or healthcare organizations

If the faculty candidate is involved with outreach or/and engagement with the community, the faculty candidate’s achievements will be evaluated based on the level of engaged

scholarship of research, teaching, and service (see the definition of engaged scholarship [here](#)). It is important that the faculty candidate clearly situates their work in relation to community-engaged scholarship, explaining how their academic work is done for and with the public.

The following are departmental expectations for engaged scholarship (adapted from [here](#)) for the candidate who intends to pursue outreach and engagement. Please note that the faculty candidate is not expected to be involved with every engaged scholarship activity listed here. In addition, the faculty candidate can provide other engaged scholarship activities that are not listed here. The faculty candidate is expected to demonstrate their potential to grow as an *emerging* engaged scholar.

- a. Clearly delineating the candidate's scholarship on engaged teaching, engaged research, and/or engaged service;
- b. Creating new knowledge for the discipline through engaged scholarship;
- c. Increasing opportunities for interdisciplinary collaborations;
- d. Enhancing innovative teaching and impactful research practices for mutual benefits;
- e. Leveraging resources.

APPENDIX A

Preparing a Third-Year Review Dossier⁵

1. One-page cover letter to the department in which the faculty candidate writes the purpose of the letter, the specific OP version that the faculty candidate follows, and a summary of their achievements in the three areas of research, teaching, and service. The letter can be concluded with a statement of goals about what the faculty candidate aims to achieve in the next two years before going up for tenure and promotion.
2. Original offer letter (the candidate should redact the information on salary and moving expenses from the letter, but not startup).
3. Current curriculum vitae with current rank of the journals as discussed with the department chair in addition to other pieces of information about publications including acceptance rate, impact factor, citation rate, etc. if available.
4. Summaries of the faculty candidate's teaching, research and creative activity, and service. Each summary should be one page. Each summary is the faculty candidate's personal narrative that showcases their accomplishments for the past three years. These summaries will show the department's tenured faculty how the candidate is making progress toward tenure and promotion in relation to department, college, and university expectations.
5. Three years of the candidate's annual reports, annual review letters provided by the department's annual review committee and the department chairperson.
6. Supporting documents to provide evidence for the faculty candidate's progress toward excellence in research, teaching, and service. Evidence must include three peer reviews for teaching and no more than three copies/reprints of publications representative of the candidate's research.

⁵ A dossier should be prepared in one PDF document unless notified otherwise.

APPENDIX B
A Sample of Table of Contents for a Third-Year Review Dossier

- Cover Letter
- Original Letter of Appointment (salary and moving expense information should be removed)
- Curriculum Vitae (with journal rankings)
- Summary of Teaching Effectiveness
 - Narrative Summary (1 page)
 - Student Evaluations
 - Peer Evaluations
 - Other Evidence (Optional)
- Summary of Research and Creative Activity
 - Narrative Summary (1 page)
 - Manuscripts
 - Example 1: Title
 - Example 2: Title
 - Example 3: Title
 - Grant Activities
 - Other Evidence (Optional)
- Summary of Outreach and Engagement (if applicable)
 - Narrative Summary (1 page)
 - Other Evidence
- Summary of Service
 - Narrative Summary (1 page)
 - Other Evidence (Optional)
- Summary of Goals (1 page)
- Chair Letter
- Third-Year Review Committee Letter
- Appendix
 - Annual review reports (Most recent 3 years of faculty annual reports)
 - Annual review letters from the annual review committee
 - Annual review letters from the department chairperson
- Official Policy
- OP 32.38 Third-Year Review of Tenure-Track Faculty

APPENDIX C
Faculty Feedback Form for Third-Year Review⁶

1. Is the faculty candidate making satisfactory progress toward tenure and promotion?
2. What is your overall evaluation of the faculty candidate?
3. What recommendations would you offer the faculty candidate to make a positive tenure review more likely?
4. What concerns do you have regarding the faculty candidate's progress towards promotion and tenure?
5. What additional support from the department or college do you recommend in order to address the concerns you noted above?

APPENDIX D
Helpful Tips to Make Satisfactory Progress

1. Avoid a pattern of unsatisfactory teaching outcomes.
2. Aim high but understand that it is acceptable to have a mix of top-tier, middle level, and low-tier journals. Avoid having a majority of journal publications appear in low tier journals. Journal rankings will be identified with the department chair every year during the annual review process.
3. Have a clear research agenda and trajectory, keeping target publication outlets in mind.
4. Make an effort to have first-authored and/or single-authored publications along with collaborating with others as a second or third author.
5. Contribute to graduate education by serving as master's and/or dissertation chair, and/or committee member.
6. Make an effort to submit grant applications for funded/sponsored projects as PI or co-PI.
7. Develop a mentoring relationship with a senior faculty member inside or outside the department.

⁶ Please note that every faculty feedback will be shared anonymously with the faculty candidate.