



COLLEGE OF ARTS & SCIENCES

TEXAS TECH

College Operating Policy and Procedure

CAS OP 5.3: Third-Year Review – Continuing Appointment

DATE: August 20, 2025

PURPOSE: The purpose of this College Operating Policy/Procedure (COP) is to standardize and ensure the fair evaluation of all non-tenure-acquiring faculty in the College of Arts & Sciences (CAS) during their third year of employment at rank, in anticipation of that faculty member's possible application for continuing appointment (CA) during their sixth year of employment at rank, and in full accordance with Texas Tech University Operating Policy 32.38: Third-Year Review of Tenure-Track Faculty (hereafter "TTU OP 32.38"), from which the Third-Year Review for Continuing Appointment process is modeled.

In addition to reviewing OP 32.38, information related to third-year review policies in CAS relevant to tenure-track faculty can be found in COP 5.2: Third-Year Review – Tenure-Track Faculty.

POLICY/PROCEDURE:

I. Overview:

- a. Unless an exception is otherwise noted in a Provisional Employment Proposal, official offer letter, or other formal, written agreement between a faculty member, CAS and/or the Office of the Provost, all non-tenure-acquiring faculty – in accordance with TTU OP 32.38 – are required to undergo a comprehensive evaluation commonly known as a Third Year Review (TYR) during the spring semester of the faculty member's third full year of full-time employment at rank.
- b. This TYR provides the faculty member (hereafter "Candidate") and the Candidate's department an opportunity to determine whether the Candidate is making satisfactory progress toward CA.

II. Departmental Procedures, Guidelines, and Timeline:

- a. Department Chairs (DC) should initiate the TYR process prior to the beginning of the fall semester of the Candidate's third full year of employment at rank. This process includes:
 1. notifying the Dean of CAS (or Dean's representative) of their intent to conduct the TYR.
 2. appointing a TYR committee, in accordance with TTU OP 32.34, which defers on procedure to TTU OP 32.38.
 - i. This committee should consist of at least three tenured and/or CA faculty members.
 - ii. If the department does not have at least three tenured and/or CA faculty members for this committee, the DC, in consultation with the Candidate and the Dean of CAS, will appoint faculty members from other departments within CAS.
- b. The Candidate, in consultation with the DC and their TYR committee, is encouraged to develop and submit their dossier to the TYR Committee prior to the beginning of the spring semester of the Candidate's third full year of employment at rank and, in accordance with TTU OP 32.38, no later than January 31.
- c. Materials included in a TYR dossier should accurately reflect the candidate's duties and job description as outlined in the original hire letter. In most cases that will result in the inclusion of the following:
 1. updated Curriculum Vitae consistent with the requirements set forth by the CAS template used for tenure and promotion dossiers, from which all CA dossiers in CAS are modeled.
 2. candidate's original Provisional Employment Proposal, (with salary redacted)
 3. self-statement on research and/or creative activity (2 pages max), if applicable based on FTE research assignment
 4. self-statement on service, not to exceed one page (2 pages max).
 5. self-statement on teaching, not to exceed one page (2 pages max).
 6. student evaluation scores and representative comments for each course taught.

7. copies of all Peer Teaching Evaluations to date (see CAS OP 7.1.)
8. copies of all Annual Faculty Reports and Chair Evaluations to date.
9. additional materials as allowed and/or in accordance with the department's bylaws.
- d. The TYR committee must complete its evaluation and submit a written report to the DC no later than the end of February.
- e. This report, and the Candidate's dossier, must then be made available to all tenured faculty in the department no later than March 1.
- f. On or before March 8, the tenured faculty in the department will vote regarding the Candidate's progress toward CA.
 1. Departments may choose to conduct the vote electronically (e.g., via Microsoft Forms or a similarly secure online platform), but must do so transparently, consistent with the spirit and processing associated with traditional paper balloting.
 2. The final vote total, along with all written ballot comments submitted by the tenured faculty, will subsequently be forwarded to the Candidate.
- g. The ballot must include the following questions and answer options:
 1. "Is the Candidate making satisfactory progress towards continuing appointment?"
 - i. Yes
 - ii. No
 - iii. Recuse ("If 'recuse,' explain.")
 2. Ballots should also provide voting faculty with the option to write comments.
- h. Faculty members choosing to recuse themselves must justify that decision with, and receive approval from, their DC prior to submitting a ballot. Such requests must be based on an effort to comply with the spirit of TTU's various "Conflict of Interest" guidelines.
- i. Upon completion of this vote, the DC will tally all ballots in the presence of at least one additional tenured or CA faculty member.
- j. In view of the vote total, the DC will make an independent assessment of the Candidate. That assessment will be shared with the Candidate in a formal letter and forwarded to the Dean of CAS no later than March 15.

III. College Procedures, Guidelines, and Timeline:

- a. On or before April 1, the CAS Office of the Dean will verify that the Candidate's department has followed all processes and procedures appropriately.
- b. The department is required to maintain a copy of the Candidate's dossier, the TYR Committee Report, and the DC's letter on file, along with a record of the final vote total and a copy of all ballot comments submitted.
 1. The Candidate's TYR Committee Report will eventually be included in the Candidate's CA dossier.
 2. Departments are not required to submit the Candidate's dossier to the CAS Office of the Dean.
 3. However, the CAS Office of the Dean reserves the right to request and review the Candidate's dossier and all other related materials during its deliberations, as needed.
- c. On or before April 15, the Dean of CAS, after reviewing all pertinent information, will provide an independent evaluation of the Candidate to both the DC and the Candidate.
 1. A satisfactory evaluation may contain general observations and/or suggestions aimed at assisting the Candidate in their efforts to achieve a positive outcome in their future application for CA.
 2. An unsatisfactory evaluation may also contain general observations and/or suggestions aimed at assisting the Candidate, but it may also recommend remediation or even non-reappointment (see Section IV.)
 3. In the case of remediation, the DC 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 submitting their future application for CA.
 4. The Candidate and the DC will sign and date this letter and a copy will be sent to the Dean of CAS.

IV. Non-Reappointment and Appeal:

- a. Notices of non-reappointment, and appeals of that decision, will be made in conformity with deadlines stated in TTU OP 32.02: Faculty Non-Reappointment, Dismissal, and Tenure Revocation.
- b. In cases of non-reappointment where an appeal is either denied or not submitted, the faculty member will be eligible for one terminal year of employment to be completed the following academic year.

V. Exceptions:

- a. Departments may petition the Dean of CAS for allowable exceptions to these guidelines, provided they do not contradict University Operating Policies.