College of Arts & Sciences Tenure and Promotion Dossier Format
Checklist & Required Order of Documents

The dossier is to be submitted to the dean’s office as a PDF document.

The dossier consists of 18 sections. A blank, colored page should separate each section. *Dossiers that do not adhere to format will be returned.*

☐ 1. Cover page
   ☐ Statement of Access to Policies and Dossier
   ☐ Candidate Election of Tenure Policy
☐ 2. Recommendations and Signatures Page
☐ 3. Dean’s Letter
☐ 4. Chairperson’s Letter
☐ 5. Departmental Tenure and Promotion Review Committee Report (if available)
☐ 6. Statement of Ballot Counts
☐ 7. Candidate’s Curriculum Vitae
☐ 8. Information on Selection and Qualification of External Reviewers
☐ 9. Letters from External Reviewers
☐ 10. Candidate’s Original Letter Offer
☐ 11. Basic Information
☐ 12. Summary of Teaching Effectiveness
☐ 13. Summary of Research and Creative Activities
☐ 14. Summary of Professional Service
☐ 15. Annual Reports, Chair Evaluations, and Third-year Review

Appendices
☐ 16. Unsigned Ballot Comments
☐ 17. Peer Evaluations*
☐ 18. Departmental Tenure and Promotion Guidelines
*These items will not be forwarded to the Provost’s Office.

An electronic copy of this dossier to be provided to the Provost will be compiled under the supervision of the Associate Dean for Faculty Affairs.

**The department should retain a complete copy of the dossier.**
Application for Promotion to Rank and/or Tenure

Faculty Member, Ph.D.

Academic Rank

Department of Academic Studies

College of Arts & Sciences

October Year
Candidate’s Statement of Access to

Policies and the Dossier

Faculty Member, Ph.D.

I have had access to the following documents pertinent to tenure and promotion at Texas Tech University:

- University Operating Policy 32.01
- The College of Arts and Sciences Guidelines for Tenure and Promotion
- The Department of Academic Studies tenure and promotion standards and procedures.

I have also reviewed the contents of this dossier and approve of the material being submitted.

Attest:

______________________________
Candidate’s Signature

______________________________
Date
Candidate Election of Tenure Policy

<table>
<thead>
<tr>
<th>Last Name</th>
<th>First Name</th>
<th>Middle Name(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Consideration for:  Tenure ☐  Promotion ☐

Candidate elects to be evaluated by the following tenure policy (select one):

☐ Tenure policy in effect at time of hire
☐ Tenure policy in effect at time of last promotion (promotion dossiers only)
☐ Tenure policy that is currently in effect
**Recommendations & Signatures**

<table>
<thead>
<tr>
<th>Last Name</th>
<th>First Name</th>
<th>Middle Name(s)</th>
</tr>
</thead>
</table>

Consideration for:  
Tenure  
Promotion  

## Recommendations

<table>
<thead>
<tr>
<th>Evaluator</th>
<th>Tenure</th>
<th>Promotion</th>
</tr>
</thead>
</table>
| Department Committee  
(ballot count) | Approve _________ | Approve _________ |
| | Disapprove _________ | Disapprove _________ |
| | Abstention _________ | Abstention _________ |
| Department Chairperson*  
(signature) | Approve _________ | Approve _________ |
| | Disapprove _________ | Disapprove _________ |
| College or School Committee  
(ballot count) | Approve _________ | Approve _________ |
| | Disapprove _________ | Disapprove _________ |
| Dean of College or School  
(signature) | Approve _________ | Approve _________ |
| | Disapprove _________ | Disapprove _________ |
| Dean, Graduate School  
(signature) | Approve _________ | Approve _________ |
| | Disapprove _________ | Disapprove _________ |
| | Abstention _________ | Abstention _________ |
| Provost & Senior Vice President  
(signature) | Approve _________ | Approve _________ |
| | Disapprove _________ | Disapprove _________ |
| | | |
| President  
(signature) | Approve _________ | Approve _________ |
| | Disapprove _________ | Disapprove _________ |

* If the Department Chair has a conflict-of-interest, Chairperson throughout the dossier shall refer to the individual serving as acting chair for the purposes of this T&P case.
Dean’s Letter
Chairperson’s Letter

Chairperson’s letter must evaluate the candidate’s teaching effectiveness, research, and creative activity, and professional service. See OP 32.01 for additional information. Include the total amount of funding and the amount attributed to the faculty member from ORS. Describe departmental procedures for voting and state the counts for, against, abstaining, and absent on promotion and tenure. Describe procedures for selection of external reviewers and summarize annual evaluations and third-year review.
Departmental Tenure and Promotion Review Committee’s Report

If available. Not all departments use this process.
Statement as to the Count of Ballots

Faculty Member, Ph.D.
Candidate for Tenure and/or Promotion to [Rank] in the Department of Academic Studies

Sealed ballots were collected by Chairperson, Dr. NAME, and opened in the presence of Dr. NAME. Votes were counted twice and recorded on the Tally Cover Sheet.

Tenure Votes

______ For ______ Against ______ Abstain

Promotion Votes

______ For ______ Against ______ Abstain

Attest:

Chairperson __________________     Date

Witness ________________________    Date
Candidate’s Curriculum Vitae
(Candidate is expected to address every item, if applicable)

Candidate’s Name____________________ Date_______

I. GENERAL INFORMATION

Contact Information
Education
Current Academic Position(s)
Prior Academic Position(s)
Membership in Professional Organizations
Research Affiliations

II. TEACHING

Teaching Awards
Pedagogical Accomplishments
Scholarship of Teaching and Learning

RESEARCH MENTORING
(include the name of each student and the title of dissertation, thesis, or project. Be sure and note graduate students completed)

Chair of Doctoral Committees
Member of Doctoral Committees
Chair of Masters Committees
Member of Masters Committees
Undergraduate/Honors Committees
Student Mentoring Activities (not listed above)

III. RESEARCH

PUBLICATIONS
Provide full citations. For multi-authored papers, candidate should indicate his/her percentage contribution in parenthesis at the end of each cited work. Include a footnote at the bottom of the first page of the publications, which states: “author’s percent of contribution in parenthesis at the end of each cited work.” Include work currently under
review and be sure and **highlight any student authors.**

Articles (refereed)

*Chair’s ratings should be placed in the left-hand margin next to each entry. Only those items since the candidate’s most recent promotion at Texas Tech University need to be rated.*

Books

*Chair’s ratings of publisher should be placed in the left-hand margin next to each entry.*

Book Chapters

Proceedings (refereed)

Abstracts (refereed)

Non Peer-Reviewed Publications, including Technical Reports

Manuscripts Currently Submitted

Patents and other Intellectual Property

Research Awards

**PROFESSIONAL PRESENTATIONS**

**CONFERENCE WORKSHOPS ORGANIZED/CONDUCTED**

**FUNDING** (Agency, Title, PIs and Co-PIs, Amount Requested/Obtained, Duration; candidate’s percentage of effort)

External Applications, Accepted and Pending

Internal Applications, Accepted and Pending

External Applications Denied

Internal Applications Denied

**IV. SERVICE**

Departmental Service

College Service

University Service

Responsible Conduct in Research and Safety Protocols Activities

Service to the Profession
Reviewer: Published book reviews
   Academic articles and books
   Grant proposals
   Conference paper competitions

Professional Consulting
Other Synergistic Activities
Texas Tech University Guest Lectures
Community Guest Lectures
Media Presentations
Professionally Relevant Community Service
   Local
   National
   International
Information on the External Reviewers

For each external reviewer, include a brief biosketch that explains:

1. Relationship to candidate, if any (e.g. collaborator, coauthor, former supervisor, student);
2. The individuals’ qualifications to judge the candidate’s work.
3. Each dossier should include 8 external letters. A majority of letters should be from peer or peer-aspirant institutions. Of the 8 letters, 3 may be from recommenders determined by the candidate while 5 of the reviewers should be determined by the department.
Letters from External Reviewers
Candidate’s Original Letter of Offer

This is the offer letter from the chair prior to hire, signed by the chair and the candidate. It includes the expectations for the position, start-up, etc. (It is not the letter from the Provost.)
## BASIC INFORMATION

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Date of employment</td>
<td>September 1, 2011</td>
</tr>
<tr>
<td>2. Rank and title</td>
<td>Assistant Professor</td>
</tr>
<tr>
<td>3. Highest degree</td>
<td>Ph.D. University of Alabama, 2009</td>
</tr>
<tr>
<td>4. Terminal degree for this position</td>
<td>Ph.D.</td>
</tr>
<tr>
<td>5. Special Qualifications</td>
<td>None</td>
</tr>
<tr>
<td>6. Experience in other institutions of higher education</td>
<td>None</td>
</tr>
<tr>
<td>7. Nature of initial assignment</td>
<td>Tenure-track assistant professor to be involved in teaching, research and service</td>
</tr>
</tbody>
</table>

## CHANGES SUBSEQUENT TO EMPLOYMENT

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Degree completed</td>
<td>None</td>
</tr>
<tr>
<td>Promotions Granted</td>
<td>From assistant to associate, 09/01/2007 50 calendar months since last promotion</td>
</tr>
<tr>
<td>Nature of present assignment and percent time allocated to various activities</td>
<td>50% Teaching, 40% Research, 10% Service</td>
</tr>
</tbody>
</table>

Percent of assignment to teaching (average for last 3 years): 50%

<table>
<thead>
<tr>
<th>Year</th>
<th>Teaching</th>
</tr>
</thead>
<tbody>
<tr>
<td>2015</td>
<td>50%</td>
</tr>
<tr>
<td>2014</td>
<td>50%</td>
</tr>
<tr>
<td>2013</td>
<td>50%</td>
</tr>
</tbody>
</table>
## Teaching Load Last 4 Semesters, Excluding Summer

<table>
<thead>
<tr>
<th>FALL 2016</th>
<th>SPRING 2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course #</td>
<td>Credits</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>FALL 2015</th>
<th>SPRING 2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course #</td>
<td>Credits</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Student Advising Activities and Responsibilities: Please see research mentoring section of vitae

For chairperson’s response:

Compared to other teaching assignments in the department, this applicant’s load has been:

________ High     _________ Average     _________ Low
Summary of Teaching Effectiveness

Provide a one-page narrative of the candidate’s teaching philosophy. Tabulate student evaluations of teaching on one page. The new evaluation form instituted in 2014-2015 has only three items and all three should be included (see next page). Provide one page of representative student comments. You are not required to provide a comment from every course taught. You should provide at least one comment from each semester. If you are up for promotion to full professor, tabulate student evaluations and provide representative student comments of your teaching for the previous five years.
Summary of Student Ratings of Instruction
Thomas Smith, Ph.D.
Candidate for Tenure and Promotion
Department of Academic Studies

Rating of instructor is the section average on item 1 of the university’s Student Evaluation of Course and Instructor, “Overall this instructor was effective.” Rating of course is the section average on item 11 of the same form, “Overall this course was a valuable learning experience.”

In 2014-2015 the evaluation form was revised and has only three times (All three need to be included). Item 1 “The course objectives were specified and followed by the instructor.” Item 2, “Overall, the instructor was an effective teacher.” Item 3, “Overall, this course was a valuable learning experience.”

First year through most recent year. Follow the below format and include the course number and course title. Not to exceed one page.

<table>
<thead>
<tr>
<th>Course &amp; Semester</th>
<th>Enrollment</th>
<th>#1</th>
<th>#11</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fall 2011</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hist 2301-001 U.S. History Since 1877</td>
<td>270</td>
<td>4.56</td>
<td>4.67</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>#1</th>
<th>#2</th>
<th>#3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Spring 2012</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hist. 2301-001 U.S. History Since 1877</td>
<td>270</td>
<td>4.33</td>
<td>4.58</td>
</tr>
</tbody>
</table>
Representative Student Comments from Course Evaluations—First year through most recent year. Follow the format below, which includes the course number and the course title. Provide at least one comment per semester. Not to exceed one page.

Fall 2011
Hist. 2301, U.S. History Since 1877, “Sometimes the professor was hard to follow but did a nice job preparing us for the exams.”

Spring 2012
Hist. 4307, U.S. History Since 1945, “The grading was hard and too much writing, but it was an interesting class and I learned a lot.”
Candidate’s Narrative of Research and Creative Activities

Provide a one to two page narrative of the goals and accomplishments of your research and creative activities. Specifically address measures of impact of your work (h-index, citations, invited presentations, fellowships, etc). For any faculty member who is up for tenure or promotion for the first time since joining Tech, discuss the startup you received and how it was used/recovered in research activity. Use ORS % credit to document grant funding, as applicable, and be sure and highlight any other funding.
Candidate’s Narrative of Professional Service

*Summarize your discipline-specific service activities (one page).*
Annual Reports, Chair Evaluations, and Third-year Review

Copies of the candidate’s:

1. Annual reports with chairperson’s assessments for the last 5 years. These should include the Faculty Annual Report and Chair Evaluation, by year, first year through most recent year.

2. The report of the third-year review (when applicable).

Example of requested order. Begin each year on a new page

2011 Faculty Annual Report and Chair Evaluation
2012 Faculty Annual Report and Chair Evaluation
2013 Faculty Annual Report and Chair Evaluation
Third-year Review
2014 Faculty Annual Report and Chair Evaluation
2015 Faculty Annual Report and Chair Evaluation
Appendices

Unsigned Ballot Comments (all faculty members who submit a ballot are strongly encouraged to provide an unsigned ballot comment)
Peer Evaluations

Provide the last 5 years of peer evaluations, first year through most recent year. OP 32.01 also states that “Candidates for promotion should also be provided peer evaluations of teaching in, at latest, the semester prior to application for promotion.”
Departmental Tenure and Promotion Guidelines/OPs