



## **Texas Tech University**

### **Operating Policy and Procedure**

#### **OP 64.10: Graduate Faculty**

**DATE:** September 26, 2005

**PURPOSE:** This Operating Policy/Procedure (OP) is intended to clarify the responsibilities and facilitate the appointment of graduate faculty members.

**REVIEW:** Guidelines for graduate faculty membership are set by the Graduate Council, although departments and colleges may develop their own specific criteria for membership within the more general Graduate School guidelines. Both Graduate School and departmental (or collegiate) guidelines may be changed at any time, subject to the approval of the Graduate Council. The Graduate School policy regarding graduate faculty membership will be reviewed by the dean of the Graduate School by October 1 of each odd-numbered year with recommended revisions forwarded to the provost/senior vice president for academic affairs (PSVPAA) by November 1.

### **POLICY/PROCEDURE**

#### **1. Responsibility of Graduate Faculty Members**

Graduate faculty membership is a means of recognizing members of the faculty for scholarly activities, creativity, direction of graduate research and study, and other contributions to the graduate programs. Therefore, such membership is neither pro forma nor automatic.

The role of the graduate faculty primarily involves the instruction and advisement of graduate students and the direction of students in research and creative activities. Members chair and/or serve on master's and doctoral committees and act as the graduate dean's representatives at doctoral dissertation defenses. Graduate faculty members, through service on departmental committees or as graduate advisors, are also responsible for review and recommendation on applications for admission of students to degree programs.

Those faculty members who are not appointed to the graduate faculty may not serve as instructors of record for graduate-level courses nor on comprehensive/qualifying exams for either master's or doctoral students. Exceptions may be made in unusual circumstances and then only upon recommendation of the dean of the instructional college and subsequent approval of the dean of the Graduate School. Appointment of non-graduate faculty to teach a graduate-level course without following prescribed procedure is a serious violation.

Non-members of the graduate faculty occasionally may serve on master's committees (but not as chair) when their expertise clearly is required for enhancement of the student's scholarship. Such faculty members and other professionals may be nominated for membership on the graduate faculty at any time the department or college thinks their credentials so warrant.

No member of the graduate faculty shall chair the advisory committee directing a student to a degree higher than the level of the highest degree earned by the member of the faculty.

## 2. Criteria for Membership

The criteria for membership on the graduate faculty include both university-wide and departmental (or collegiate in the case of some colleges) standards. The university-wide criteria for membership are:

- a. Possession of the terminal academic degree in the field or recognition for substantive and distinctive contributions to the discipline involved. For individuals in the process of obtaining a terminal degree, certification by their graduate school that all requirements for the degree have been met will be treated as equivalent to possession of the degree.
- b. Evidence of current interest and involvement in scholarly research and/or creative activity.
- c. Successful experience in the teaching, counseling, and/or direction of students at the graduate level. This requirement does not apply to individuals who have recently completed their terminal degrees.

Similarly, departments (or colleges) may have specific guidelines for graduate faculty membership within the general university-wide criteria listed above.

## 3. Types of Graduate Faculty Appointments

### a. Tenured or Tenure-earning Faculty Appointments

All faculty appointed to a tenured or tenure-earning position are eligible for nomination to the graduate faculty immediately after their appointment. Eligibility for nomination as new appointments does not continue indefinitely. Applications received six years or more after arrival of applicant, including those from individuals who complete the terminal degree more than six years after appointment, will lose eligibility for nomination as new appointments and must qualify on the basis of scholarly research and/or creative productivity, but will not have to satisfy the requirement of teaching, counseling and/or direction of students at the graduate level (criterion 2.c). Faculty previously employed in non tenure-earning positions or other positions where scholarly research/creative activity was not expected will ordinarily not need to satisfy criteria 2.b or 2.c upon initial appointment. New appointments with a new terminal degree (awarded no more than five years before application for graduate faculty status) and/or who are embarking upon their first full-time faculty position will ordinarily not need to satisfy criteria 2.b. or 2.c. upon initial appointment, but will be eligible for a one-time appointment coterminous with the period for probation and tenure. *Newly tenured faculty will then be reviewed at the next departmental cycle for reconfirmation.*

Faculty who are reviewed for continuing membership on the graduate faculty (see section 5) must satisfy all three university-wide criteria for membership on the graduate faculty, as well as any additional departmental or collegiate criteria.

Faculty not on the graduate faculty may be nominated for regular membership at any time the department or college believes that faculty credentials and scholarly productivity so warrant.

Non-graduate faculty who, after a hiatus, show evidence of current involvement in scholarly research or creative activity, but whose productivity still falls below the norms for the discipline may, when extenuating circumstances exist, be nominated by the department or college for a three-year provisional period, with possible renewal for another three years, after which they must qualify for regular graduate faculty status.

**b. Ex-officio Appointments**

Persons holding the rank of dean or higher may be appointed to the graduate faculty by virtue of their office upon receipt of vita and request to the dean of the Graduate School. The membership of such persons is subject to review five years after leaving their administrative positions to resume regular professional duties.

**c. Faculty with Administrative Assignments**

Faculty whose duties include significant administrative involvement (e.g., department chairs, associate deans, directors of functioning institutes or centers) usually make important contributions to graduate programs in areas in addition to scholarly research and publication. It is appropriate that these other contributions be considered when administrators are reviewed for graduate faculty membership. While scholarly research and publication are expected of department chairs, associate deans, etc., who desire to continue membership on the graduate faculty, it is recognized that the level of productivity may be reduced in proportion to the time available. The expectations for scholarly productivity may, therefore, be adjusted relative to the responsibilities of the administrative appointment.

**d. Retired Faculty**

Retired faculty may apply for continuation as graduate faculty members subject to recommendation by the department and approval by the academic dean and Graduate Council. Any restrictions upon duties performed by such faculty should be stated by the department chair on the application form.

**e. Adjunct or Visiting Graduate Faculty Appointments**

Persons employed outside the university, or employed by the university and who do not hold tenured or tenure-earning positions may be appointed to the graduate faculty when qualifications so merit and upon recommendation by the relevant college, department, or special unit and academic dean and approval by the Graduate Council. Such persons will ordinarily not need to satisfy criterion 2.c (teaching and direction of graduate students). These appointments shall be designated as adjunct graduate faculty or visiting graduate faculty, as appropriate to the appointment. Limitations on the appointment shall be indicated by the department, academic dean, or Graduate Council before final approval. Adjunct or visiting graduate faculty will be reviewed on a six-year basis. Expectations for research/creative activity, teaching and thesis/dissertation supervision for adjunct or visiting graduate faculty will be proportional to limitations placed on their appointment by the department, college, special unit, or Graduate Council.

**f. International Exchange Faculty for Joint Degrees**

Many countries do not award doctorates or do not require doctoral degrees for faculty membership. Thus, some institutions with which Texas Tech University has accords for joint degrees, linkage agreements, and/or exchange programs may have as instructors of record for graduate level courses persons who would not meet the university-wide criteria for graduate faculty membership, yet who have expertise necessary for the program in question. Upon recommendation by the dean of the Graduate School and approval of the Graduate Council, such persons may be appointed as international exchange graduate faculty pro tempore. Their functions shall be limited to teaching and serving on master's and doctoral committees within the specific international program(s), with such membership to be re-evaluated when the TTU

unit, department, or college is reviewed.

#### **4. Appointment to Graduate Faculty Membership**

In order to be granted graduate faculty membership, an individual must be nominated by the appropriate department, college, or special unit and approved by the Graduate Council.

##### **a. Procedure**

The nomination or confirmation should be supported by a majority vote of eligible peers, either an elected committee, or the graduate faculty of the department/area serving as a committee of the whole. The peer vote must be recorded on the application form along with the vote of a peer evaluation representative, chair of the department/area, and the dean of the college before submission to the Graduate School. A standing committee of the Graduate Council, chaired by an associate dean of the Graduate School, examines the application and recommends appropriate action to the entire Graduate Council at one of its monthly meetings.

Any academic unit may make nominations for membership on the graduate faculty at any time, and the Council considers such nominations as promptly as possible. If the committee or Council has reason to think that an individual's application is not fully indicative of his or her scholarly involvement, the application may be tabled pending further information.

##### **b. Appeals**

Appeals of Council decisions on nominations are permitted. When a department or an individual feels that additional information or justification might lead to a different decision, individuals or academic units may appeal, within 30 days of being informed of the Graduate Council decision, to the dean of the Graduate School who will appoint an ad hoc committee to review the supporting evidence, both old and new. One committee member will be named by the dean of the Graduate School and one by the appellant. A third member will be selected by the other two. Members shall not be drawn from the Graduate Council although they must be current members of the graduate faculty. The committee must be constituted within two weeks of receipt of the appeal request by the dean of the Graduate School, and it will report its findings to the dean of the Graduate School who will render a decision within 30 calendar days. In turn, the dean of the Graduate School will render a written decision on the appeal within 30 calendar days of receipt of the committee report. If the appeal is denied by the dean of the Graduate School, the candidate may appeal to the PSVPAA who will render a decision within 60 calendar days. The appellant has the right to appear in person before the ad hoc committee, the dean of the Graduate School, and/or the PSVPAA. The decision of the PSVPAA will be the final administrative action on this matter.

Appeals, like the original nomination or application, should normally be supported by eligible peers, the chair of the department/area, and/or the dean of the college. Normally, the appeal should be based upon new evidence not presented with the original application. "New evidence" is not construed narrowly to mean only additional publications, but to include interpretation by a chairperson, dean, peer representative, or outside evaluator(s) of the significance of an applicant's contributions and research agenda or any other significant evidence.

#### **5. Review of Graduate Faculty Membership**

Graduate faculty members are reviewed periodically for continuation on the graduate faculty. The review includes the faculty member's research, creative activity, and involvement in graduate education. The review process includes peers at the departmental/division level,

chairperson/director, collegiate dean, and the Graduate Council and dean of the Graduate School.

Reviews are conducted on a six-year cycle for each program or department. It is expected that all graduate faculty in a program under review will be reviewed on cycle, with two exceptions:

- a. Graduate faculty members who are still in their probationary period for tenure need not be reviewed until the next regular review cycle for that unit after tenure has been achieved. Only their names need be forwarded with a request for continuation of current status.
- b. Tenured graduate faculty members whose membership was granted initially or confirmed within two years prior to the semester of the review need not submit application forms. Only their names need be forwarded with a request for continuation of current status.

If the peer evaluation procedure at the program level is negative, the evaluation process may terminate at that level at the applicant's discretion. Such action should be reported by the chairperson in a memo to the Graduate School.

Applications for continued membership are forwarded to the academic dean of that unit. The relevant dean either approves or disapproves the application and, in either case, forwards it to the Graduate School.

A committee of the Graduate Council evaluates applications for both new and continued membership on the graduate faculty and makes recommendations to the full Council at a regularly scheduled meeting. The Council may approve, disapprove, or table (for lack of sufficient information) the application.

The Graduate Council has the option of approving continued membership on the graduate faculty for a regular term of six years or for a provisional term of three years.

Programs may **not** recommend three-year provisional terms for persons holding regular (non-provisional) membership on the graduate faculty, but may, in exceptional circumstances, recommend a second three-year term. After the first three-year term, the faculty member must be reviewed again. Faculty members who are terminated from the graduate faculty after a provisional term or terms (or who let their membership lapse) may be re-nominated by their academic programs at a later date (as explained in 3.a) if the scholarly credentials so warrant.

## 6. **Effective Date of Termination of Graduate Faculty Status**

Persons whose graduate faculty status is terminated during the course of an academic year will normally be allowed to finish teaching any graduate course(s) in progress as of the date they are dropped from the graduate faculty. Effective terminal date of graduate teaching would thus be the end of the semester (or summer term) in which a person is dropped from the graduate faculty. Any and all other graduate faculty functions (counseling, direction of theses and dissertations, or other committee service and advising) are considered terminated as of the date that graduate faculty status is discontinued. Departments wishing to have certain ex-graduate faculty members finish out the direction of well-advanced theses or dissertations, serve on specific committees, or exercise other functions associated with graduate faculty status must send a written request for a waiver, with supporting details, to the dean of the Graduate School. **Waivers are valid for the purpose and the period for which they are granted; they do not constitute a return to graduate faculty status.** Departments that continue to assign graduate teaching to persons whose graduate faculty status has been terminated may risk charge-back of the salary for the course(s) in question.

**7. Termination of Membership for Cause**

As noted in OP 74.08, when allegations of misconduct in research or academic dishonesty are investigated and result in a decision that disciplinary action is warranted against an individual, possible actions include, but are not limited to, recommending to the PSVPAA that the individual be removed from the graduate faculty. Should the PSVPAA receive and approve such a recommendation, the recommendation should be forwarded for final action by the Graduate Council at a future meeting.

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