

## **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

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Last Name

First Name

Middle Name(s)

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

Last Name

First Name

Middle Name(s)

Consideration for: Tenure \_\_\_\_\_  
Promotion \_\_\_\_\_

### Recommendations

Evaluator	Tenure	Promotion
Department Committee (ballot count)	Approve _____ Disapprove _____ Abstention _____	Approve _____ Disapprove _____ Abstention _____
Department Chairperson* (signature)	Approve _____ Disapprove _____	Approve _____ Disapprove _____
College or School Committee (ballot count)	Approve _____ Disapprove _____	Approve _____ Disapprove _____
Dean of College or School (signature)	Approve _____ Disapprove _____	Approve _____ Disapprove _____
Dean, Graduate School (signature)	Approve _____ Disapprove _____ Abstention _____	Approve _____ Disapprove _____ Abstention _____
Provost & Senior Vice President (signature)	Approve _____ Disapprove _____	Approve _____ Disapprove _____
President (signature)	Approve _____ Disapprove _____	Approve _____ 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:

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Chairperson
Date

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

CHANGES SUBSEQUENT TO EMPLOYMENT	
Degree completed	None
Promotions Granted	From assistant to associate, 09/01/2007 50 calendar months since last promotion
Nature of present assignment and percent time allocated to various activities	50% Teaching, 40% Research, 10% Service

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

2015	50%
2014	50%
2013	50%

TEACHING LOAD LAST 4 SEMESTERS, EXCLUDING SUMMER					
FALL 2016			SPRING 2016		
Course #	Credits	Enrollment	Course #	Credits	Enrollment

FALL 2015			SPRING 2015		
Course #	Credits	Enrollment	Course #	Credits	Enrollment

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.**

Course & Semester	Enrollment	Item		
		#1	#11	
Fall 2011				
Hist 2301-001 U.S. History Since 1877	270	4.56	4.67	
Spring 2012		Item		
		#1	#2	#3
Hist. 2301-001 U.S. History Since 1877	270	4.33	4.58	4.67

**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.”*

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## **Departmental Tenure and Promotion Guidelines/OPs**