



## COLLEGE OF ARTS &amp; SCIENCES

## GUIDELINES FOR TENURE AND PROMOTION

**I. Introduction**

This document is one of three governing the conferring of tenure and promotion to Arts & Sciences' faculty. The other two documents are (a) the Texas Tech University Tenure Policy, OP 32.01, available at [www.depts.ttu.edu/opmanual/OP32.01.pdf](http://www.depts.ttu.edu/opmanual/OP32.01.pdf), and (b) the department's tenure and promotion guidelines and criteria. Departmental guidelines must be consistent with those of the College of Arts & Sciences and the University and any revisions must be submitted for the approval of the dean by July 1 of the year in which they are to be put into effect.

Chairpersons will provide links to (or hard-copies of) these documents in each faculty member's offer letter sent as part of the process for initial employment. A signed statement by the candidate stating that he or she has had access to these tenure and promotion documents and reviewed a copy of the dossier must accompany the promotion and/or tenure dossier.

The College views the probationary period for tenure-track faculty as an essential time for determining whether the faculty member will be able to maintain a strong and uniform record of significant research, creative activity and scholarship, effective teaching, and service to the unit and the profession. Normally, the College of Arts & Sciences will not recommend a candidate for tenure and promotion to associate professor prior to their sixth year of service unless a compelling reason for doing so is advanced by the department chairperson and/or the candidate. It is strongly recommended that the faculty member complete the third-year review process, prior to making the decision to request an early tenure decision. If a candidate wishes to be considered prior to the end of the normal probationary period, it is expected that the individual's record at Texas Tech be "equivalent or more than would be expected at the completion of a full probationary period" (OP 32.01). To initiate the request for an early tenure decision, the faculty member should notify the chairperson, and the chairperson should consult with the dean.

Standards for the senior rank of professor (see section IV.3) are such that candidates should not have an expectation that promotion to professor proceeds on the same time scale as for promotion to associate.

**II. Procedures at the Department Level**

If the department chairperson has a conflict-of-interest with the candidate, a designee should take over the chairperson's duties relative to the promotion/tenure case. In the following description of procedures, the phrase "chairperson" will apply, in such case, to the actions of the designee.

Evaluation at the departmental level begins in the first year of a tenure-track faculty member's appointment at Texas Tech. Each faculty member will submit an Annual Faculty Report to the chairperson (OP 32.32). Based on this report and other peer evaluations, the chairperson will provide a written annual assessment of the performance of each faculty member.

The department will conduct a third-year review of tenure-track faculty in accordance with the guidelines in the document “College of Arts & Sciences Principles and Procedures for the Third-Year Review of Faculty in Tenure Acquiring Positions”,

<http://www.depts.ttu.edu/artsandsciences/faculty/Documents/CAS3rdYrReview121712.pdf>.

It is the responsibility of the chairperson to notify candidates of the department deadlines for applying for tenure and promotion. These deadlines must be sufficiently early to permit a thorough evaluation of each candidate’s teaching, research and professional service achievements by eligible members of the faculty in conformity with the faculty member’s departmental guidelines and these College guidelines, and to enable the chairperson to submit a complete and well-organized dossier to the dean’s office by the third Friday in October.

To conform to OP 32.01, the dossier should adhere to the format specified in the College Format for Dossier document

<http://www.depts.ttu.edu/artsandsciences/faculty/Documents/TPDossier2013.pdf>.

The chairperson should keep the following points in mind.

1. For evaluation of a candidate for tenure or promotion, at least four voting-eligible faculty members must participate in tenure and/or promotion balloting. If a department does not have an appropriate number of voting-eligible faculty, OP 32.01 states that the chair in consultation with the dean, “will seek the advice of an existing executive committee or other college-wide body, or may appoint an appropriate advisory committee for review of a specific case.” Members of this committee must be from departments in the College of Arts & Sciences. The chair’s letter to the dean must explain the composition of the committee and its recommendations and this information must also be reported in the dean’s recommendation to the PSVP.
2. A candidate who does not receive a majority vote from the tenured, eligible department faculty and/or the support of the chairperson may elect to have his or her dossier sent forward to the dean’s office. However, in such circumstances the candidate should be made aware of the fundamental importance of peer evaluation and of the need for an exceptionally strong dossier and/or rationale to receive favorable recommendations at the higher levels of review.
3. The dossier should contain the previous five (5) years of the candidate’s peer evaluations.
4. The candidate’s dossier should contain a summary of teaching effectiveness. The chairperson is responsible for compiling the summary in consultation with the applicant. Peer teaching evaluations and student evaluations should be summarized in this section. Additional information regarding the candidate’s contributions to the teaching mission (e.g., service learning, curricula design) can be documented in the summation.
5. The candidate’s dossier should contain evidence of the comparative quality of the publications and/or creative activities of the candidate via ratings recorded on the candidate’s vita in accordance with the guidelines in OP 32.01. These ratings, determined by the chairperson, should be derived independently from information provided by the candidate.
6. Outside letters of recommendation must be solicited on behalf of the candidate and included in the dossier. At least eight (8) external letters should be included in the dossier; the

majority should come from peer/peer-aspirant institutions.<sup>1</sup> Of these eight, three (3) may be from recommenders determined by the candidate while five (5) of the reviewers should be determined by the department.

The external letters chosen by the department should come from reviewers who are well qualified to evaluate the candidate's research, scholarship and professional activities, but who do not have a conflict-of-interest relationship with the candidate. The three reviewers suggested by the candidate should be similarly qualified, however these reviewers do not have to be conflict-of-interest-free.

**\*A conflict of interest exists if it has been 4 years or less since the external reviewer and the candidate for tenure and/or promotion collaborated on a publication, a grant, or worked together as co-editors. A dissertation advisor cannot serve as an external reviewer.**

The chairperson should provide a brief statement about each of the external reviewers. This statement should note the individual's qualifications to judge the candidate's work and the nature of the candidate/reviewer relationship (e.g., never met, met at conferences, etc.).

*Note: All solicited letters received should be included in the dossier and prospective reviewers should be informed that the candidate will have access to the letters as a part of the dossier.*

7. Unsigned ballots should be submitted by the voting faculty to the chairperson who, in the presence of another department faculty member, will tally them and record all information on the Statement of Ballot Counts form to be included in the dossier.

**Each voting faculty member should submit a brief, typed, unsigned comment explaining the reasons for their vote.** These comments will be collected separate from the ballots and appended to the dossier.

8. The chairperson's letter should state his or her recommendation and the reasons for this recommendation. The chairperson may not have a separate vote as a member of the faculty in the department *and may not abstain from making a recommendation*. The letter should note the faculty vote, and departmental committee recommendation as well as any other consultation by the chairperson in arriving at his/her recommendation.

**The chair's letter should specifically address the research, scholarship, teaching and professional service record of the candidate.**

A copy of this letter must be given to the candidate at the time the dossier is forwarded to the dean's office.

9. The candidate must review and sign the completed dossier, although he or she does not have approval authority over the dossier. *Letters of rebuttal from candidates are not accepted as part of the dossier.*

The dossier original is to be submitted to the dean's office as a PDF document in the specified format. The candidate and/or department should retain an additional copy of the dossier, including the originals of all hard-copy documents received.

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*“Once the electronic dossier has been accepted by the dean’s office, no further information may be added to the dossier, other than that required by department and collegiate procedures with*

*regard to recommendations by review committees, department chairpersons, or dean.” (OP 32.01)*

### **III. Procedures at the College Level**

The College of Arts & Sciences conducts its own independent tenure and promotion deliberations. ***This review is not a “mere formality”*** and chairpersons should so-inform candidates. A favorable vote from the department and a favorable recommendation from the chairperson does not guarantee that recommendations from any of: the dean of the College of Arts & Sciences; the graduate dean; the provost; the president; the chancellor or the Board of Regents, will be favorable. Likewise, unfavorable departmental votes are not always upheld.

The Arts & Sciences Tenure and Promotion Committee (ASTPC), appointed and chaired by the dean (or his/her designee), is responsible for making recommendations to the dean on all tenure and promotion applications. Following deliberation, the committee takes a formal vote, which is recorded on a Notes of Meeting form. The guidelines governing the ASTPC are provided at the following link,

<http://www.depts.ttu.edu/artsandsciences/faculty/Documents/TPCCommitteeGuidelineChanges.pdf>

In particular, **ASTPC members must recuse themselves from tenure and promotion cases from their own departments.** The dean (or his/her designee) serves as a non-voting member of the ASTPC.

In their deliberations, committee members rely primarily on the evidence contained in the applicant’s dossier. For this reason it is important that the dossier be complete and compiled in a professional manner. The committee may, however, ask for additional information. In all cases in which there is a serious question about the desirability of recommending tenure for a candidate in his or her mandatory year of the probationary period, the candidate and the department chairperson will be asked to meet individually with the committee. At the discretion of the dean, other individuals may be asked to meet with the committee as well.

Following the deliberations of the ASTPC, the dean will make his or her own independent recommendation. She or he will, at this point, inform the candidate of her/his decision, permitting the candidate to decide whether to have the dossier sent on for further evaluation.

### **IV. Standards for Academic Ranks**

The minimum qualifications for each rank are as follows.

1. Assistant Professor: For a faculty member to be appointed to a tenure-track position the qualifications for the rank of assistant professor are typically required. The candidate for this rank must
  - a. hold the terminal degree (or its equivalent) as defined by the academic unit as appropriate to the position of assistant professor;
  - b. show promise for growth in teaching, research, and service, any of which may include

outreach and engagement (see Appendix for examples of outreach and engagement in these areas)

- c. have the ability to teach effectively.
2. Associate Professor: Promotion from assistant professor to associate professor requires the candidate to engage in high quality teaching, research and service, any of which may include outreach and engagement. Specific qualifications include:
    - a. a demonstrated record of effectiveness as a teacher;
    - b. a record of peer-evaluated publication or creative activity which has contributed to the discipline or field of study, to the candidate's intellectual and creative development, and to the quality of his or her academic unit;
    - c. a demonstrated record of significant contributions to undergraduate and graduate students in research, scholarship and creative activity in disciplines where such efforts are specified by the academic unit's tenure and promotion guidelines;
    - d. documented effort to secure external funding to support research or creative activity and yielding success as is appropriate in the type and scope to the candidate's discipline or field of study and aligned with the faculty member's letter of appointment;
    - e. appropriate professional service identified by the academic unit; and
    - f. a promise for growth in teaching, research and creative activity, and service.
  3. Professor: For promotion to the highest academic rank:
    - a. The candidate's academic achievement and professional reputation must be superior and should have resulted in national or international recognition, which may include outreach and engagement.
    - b. The candidate is expected to demonstrate a clear and continuing record of significant involvement with undergraduate and/or graduate students in his/her research, scholarship and creative activity, as well as the support of students as appropriate within the candidate's discipline or field of study.

This rank can be earned only by a candidate who has demonstrated continued growth in, and has a cumulative record of:

    - c. substantial peer-reviewed publications or creative activities, supported by extramural funding in the form of fellowships, grants, and similar kinds of support appropriate in type and scope to the candidate's discipline or field of study;
    - d. teaching effectiveness; and,
    - e. contributions to university and professional service.

## **V. Standards for Tenure**

A favorable tenure decision requires that the candidate engage in high quality research, teaching and service, any of which may include outreach and engagement. Specific qualifications include:

- a. a record of peer-evaluated publications or creative activities which have contributed to the

discipline or field of study, to the candidate's intellectual and creative development, and to the quality of his or her academic home;

- b. a demonstrated record of significant contributions to undergraduate and graduate students in research, scholarship and creative activity in disciplines where such efforts are specified by the academic unit's tenure and promotion guidelines;
- c. documented efforts to secure external funding to support research or creative activity and yielding success as is appropriate in the type and scope to the candidate's discipline or field of study and aligned with the faculty member's letter of appointment;
- d. a demonstrated record of effectiveness as a teacher;
- e. appropriate professional service identified by the academic unit; and,
- f. a promise for growth in research/creative activity, scholarship, teaching, and service.

## **VI. Implementation**

The implementation of these guidelines will be effective Fall 2015. Faculty hired prior to the approval of this document may choose to use either

- the guidelines outlined in this document, or
- those guidelines in effect when the candidate was hired (if being considered for promotion to associate professor and/or tenure), or
- those guidelines in effect when the candidate was last promoted (if being considered for promotion to professor).

## **Appendix**

The College of Arts & Sciences values outreach and engagement activities. The following are examples of these activities in relation to research, teaching, and service.

### **A. Outreach or Engagement in Research:**

Publications: Articles may be written and published in peer-reviewed journals that describe the education/outreach work in a scholarly manner. Education/outreach activities should be planned with specific objectives, implemented methodically, and results described in a reflective manner. Such papers may be of a more expository nature and may not always appear in the traditional, scholarly literature within a discipline.

Funding: Grant proposals may be submitted to support education/outreach activities. Submitted proposals may be weighted to reflect the time involved and the quality of the submission (partly indicated by the funding obtained).

### **B. Outreach or Engagement in Teaching:**

Activities such as incorporating service learning activities into the course would demonstrate outreach or engagement in teaching. “Service learning is a pedagogy that links academic study and civic engagement through thoughtfully organized service that meets the needs of the community.” (Teaching, Learning & Professional Development Center website). Organizing study abroad opportunities and field schools may also be included in this classification. Textbooks, articles and other contributions to creative pedagogy and innovative instructional materials are other aspects of outreach and engagement in teaching.

C. Outreach or Engagement in Service:

Education/outreach activities (e.g., in the STEM areas, math clubs, summer science camps, etc.) may be given weighting similar to traditional service. Service on local, regional, and national panels is expected, commensurate with the rank of the faculty member.



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<sup>i</sup> Peer/peer-aspirant universities include those listed on page 32 of the 2011 Strategic Planning Report (<http://www.ttu.edu/stratplan/docs/2011-stratplan.pdf>) and the AAU schools ([www.aau.edu/about/article.aspx?id=5476](http://www.aau.edu/about/article.aspx?id=5476)).