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

The dossier is to be submitted as a PDF document to the Senior Associate Dean.

The dossier consists of 16 sections.

- ☐1. Cover page
  - ☐Candidate Election of Tenure Policy
  - ☐Recommendations and Signatures Page
- ☐2. Statement of Access to Policies and Dossier
- ☐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. Basic Information
- ☐11. Candidate's Original Offer Letter
- ☐ 12. Summary of Teaching Effectiveness
  - ☐ Teaching Statement
  - ☐ Student Ratings
  - ☐ Student Comments
  - ☐ Peer Evaluations
- ☐ 13. Summary of Research and Creative Activities
- ☐14. Summary of Service/Outreach/Engagement
- ☐15. Annual Reports, Chair Evaluations, and Third-year Review
- ☐16. Unsigned Ballot Comments

The department should retain a complete copy of the dossier.

Texas Tech University
College of Arts & Sciences
Department of Academic Studies

Application for Promotion to Rank and/or Tenure

Faculty Member, Ph.D.

Current Rank

October, Year

Candidate Election of Tenure/Cont. Appt. Policy

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

If the candidate is up for continuing appointment or any other non-tenure track appointment, simply change this form (and any other forms) to reflect that appointment status.

Recommendations & Signatures

Last Name First Name Middle Name(s)

Consideration for: Tenure _____
Promotion _____

Recommendations

Evaluator	Tenure	Promotion
Department Committee (ballot count)	Approve _____ Disapprove _____	Approve _____ Disapprove _____
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 _____	Approve _____ Disapprove _____
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.

Statement of Access to Policies and the Dossier

Dr. So-and-So, Chair
Department of Academic Stuff
Texas Tech University

September 30, 2018

Dear Dr. So-and-So:

This letter is to affirm that I have reviewed the contents of my dossier as it is to be submitted to the Dean of the College of Arts & Sciences in consideration of my application for [tenure/promotion/etc] to [assistant/associate] professor.

Sincerely,

Your Best Candidate Yet

Dean's Letter

Describe college procedures for arriving at college committee votes and the dean's own recommendation.

Briefly explain the college review committee votes, especially if negative or mixed.

Explain any differences of the dean's recommendation from the faculty vote or chair's recommendation, based on evidence.

Chairperson's Letter

Chairperson's letter must evaluate the candidate's teaching effectiveness, research, and creative activity, and professional service. Explain chair's own recommendation fully and clearly based on critical review of the evidence from annual reviews, third-year review and other documented records of teaching outcomes, research agenda and indices, (including engaged scholarship, as applicable), professional service and outreach contributions. 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.

State how rating of publications was determined.

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/Cont. Appt. 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 to clarify meaning and weight of order of authorship. Include work currently under review. ***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

A sample of the letter or email that was sent out to solicit external reviewers and provides them instruction on what to review should precede the "Information on the External Reviewers" page.

Each dossier should include **5 external letters**. (Be sure and include in the dossier all solicited external letters).

Of those **5 external letters**, a majority of them (3) must be from peer or peer-aspirant institutions.

Every candidate up for tenure and promotion will provide the chair (or the department's tenure and promotion committee) with a list of possible external reviewers. **Two** of the individuals from that list can serve as an external reviewer. None of the external reviewers can have a conflict of interest.

***A <u>conflict of interest</u> exists if it has been 4 years or less since the external reviewer and the candidate for tenure/cont. appt. 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 remaining external reviewers (3) will be selected from a list of potential external reviewers provided by the chair (or the department's tenure and promotion committee).

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

1. *Relationship to candidate*
2. *The individual's qualifications to judge the candidate's work.*
3. *When there is a preponderance of letters from either women or men, consider stating whether the candidate's field is gendered in order to clarify that the distribution is representative or not.*
4. *And consider how to clarify when the candidate's area of study or performance is so new or recently emerging that most letter writers claim a lack of expertise.*

<u>Example:</u>
Maggie Smith, Professor, Ohio State University (No Relationship to the Candidate—if there is a relationship be sure and explain it). Dr. Smith is an expert in the field of U.S. social history with a particular emphasis on workplace interactions and gender. She has published widely on the postwar period and has edited an important series of books. Biosketch for each external letter writer

Letters from External Reviewers

Basic Information

1. **Name of Candidate:**
2. **Date of employment in this faculty position:**
3. **Rank and title at initial appointment:**
4. **Highest degree earned and where:**
5. **Terminal degree for this position**
6. **Special qualifications (licensures, certifications, etc.):**
7. **Professional experience in other institutions of higher education or other sectors:**
8. **Allocation of effort with initial appointment to this position:**
    a. **Teaching _____%**
    b. **Research_____%**
    c. **Service _____%**
    d. **Other_____(e.g., administration)%**

9. **Allocation in present assignment:**
    a. **Teaching _____%**
    b. **Research _____%**
    c. **Service _____%**
    d. **Other _____ (e.g., administration) %**

10. **Average percent of assignment to teaching for last 3 years: _____%**

Teaching load last 4 semesters, excluding summer:

Current semester (e.g., Fall 2025)			**Last Semester (Spring 2025)**		
Course #	**Credits**	**Enrollment**	**Course #**	**Credits**	**Enrollment**
Prior Semester (e.g., Fall 2024)			**Prior Semester (Spring 2024)**		
Course #	**Credits**	**Enrollment**	**Course #**	**Credits**	**Enrollment**

To be completed by department chair with reference to the period under review

Compared with other teaching assignments in the department, this applicant's load has been:

_____High _____Average _____Low

Chair's Signature: _____

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.)

Summary of Teaching Effectiveness

Provide a one to two 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

All three items on the student evaluation form need to be included in this summary. 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."

Most recent year to first year. Not to exceed one page.

Evaluation Scale: 5 = excellent, 4 = outstanding, 3 = good, 2 = fair, 1 = poor

Term/Course	Enrolled	Evaluating	Q1: Objectives	Q2: Instructor	Q3: Experience
Fall 2025					
Course 0000	30	25	4.32	4.27	4.46
Term Department Mean			4.40	4.23	4.37
University Mean			4.12	4.23	4.31
Spring 2025					
Course 1100	270	221	4.50	4.21	4.47
Term Department Mean			4.38	4.37	4.29
University Mean			4.26	4.30	4.16

Starting in Fall 2024, the following questions for teaching evaluation scores are Q4: "Overall, this course helped me learn required concepts or skills.." And Q10: "Overall, the instructor's teaching methods helped me learn the course content."

Term/Course	Enrolled	Evaluating	Q4: Course	Q10: Instructor
Spring 2025				
Course 0000	30	25	4.56	4.67
Term Department Mean			4.32	4.24
University Mean			4.18	4.13

Representative Student Comments from Course Evaluations—<u>most recent year to first year</u> 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.

Follow the format below

Fall 2025
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 2025
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."

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." **To be more specific, candidates up for promotion to professor are also required to have peer evaluations.**

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Candidate's Narrative of Research and Creative Activities

Provide a one-to-three 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. Speak to funded as well as unfunded proposals.

Candidate's Narrative of Service/Outreach/Engagement

Summarize your discipline-specific service activities (one page). Comment on how service intersects with teaching and scholarly activity.

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
2024 Faculty Annual Report and Chair Evaluation
2023 Faculty Annual Report and Chair Evaluation
Third-year Review
2022 Faculty Annual Report and Chair Evaluation
2021 Faculty Annual Report and Chair Evaluation
2020 Faculty Annual Report and Chair Evaluation

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