TEXAS TECH UNIVERSITY
College *of* Arts & Sciences

Revised September, 2012

COLLEGE OF ARTS & SCIENCES
GUIDELINES FOR TENURE AND PROMOTION

I. Introduction

The "College of Arts & Sciences Guidelines for Tenure and Promotion" is one of three documents governing the conferring of tenure and promotion in rank 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/**op**manual/**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 these documents, along with the faculty member's letter of appointment stating the terms and conditions of employment, at the time of initial employment. A signed statement by the candidate stating that he or she has seen these documents and received a copy of the dossier must accompany the promotion and/or tenure dossier.

The College of Arts & Sciences and the University expect faculty members to contribute to the essential functions of the university (see OP 32.06 Faculty Responsibility) and to "accept responsibility for abiding by and promoting ethical principles of the university" (see Appendix A of OP 32.01). The meeting of these expectations will be reviewed as part of the tenure and promotion process.

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 effective teaching, significant research and creative activity, and service to the unit and the profession. Thus, the College of Arts and Sciences normally will not recommend candidates 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.

II. Procedures at the Departmental Level

Evaluation at the departmental level begins in the first year of a tenure-track faculty member's service at Texas Tech. Annually 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 assessment of the performance of each faculty member. During the sixth long semester, the department will conduct a third-year review. The review process is to be conducted in accordance with the guidelines provided in the College of Arts & Sciences "College of Arts & Sciences Principles and Procedures For the Third-Year Review of Faculty in Tenure Acquiring Positions," in accordance with the guidelines in part III of this document, and in

conformity with the faculty member's departmental guidelines.

It is the responsibility of the Chairperson to notify the faculty 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 service achievements by eligible members of the faculty and to enable the Chairperson to submit originals and copies of a complete and well-organized dossier to the Dean's Office by the third Friday in October.

The version of the dossier to be forwarded ultimately to the Provost should conform to OP 32.01. The basic form is as follows and should be presented as an unbound copy with no holes (see Dossier Format from Office of the Dean for specifics):

1. Consideration of Tenure and Promotion form
2. Dean's letter
3. Chairperson's letter. If a department tenure and promotion committee provides a written report to the faculty or Chairperson, that report should follow the Chairperson's letter.
4. Vita with Chairperson's ratings of publication or creative activities. See College of Arts & Sciences CV format.
5. Summary of external reviewers' selection process and qualifications.
6. Solicited letters from external reviewers. See Dossier Format for the selection of these reviewers.
7. Basic information (see Dossier Format).
8. Original letter of appointment.
9. Teaching effectiveness (see Dossier Format for specific information).
10. Research and creative activities (see Dossier Format for specific information).
11. Service activities (see Dossier Format for specific information).
12. Faculty annual reports with Chairperson's assessments, including third-year review where applicable.

As an appendix to the original dossier, the following materials should be included but will not be forwarded to the Provost unless requested:

- Ballot count summary sheet
- Ballot comments (but not the ballots)
- Peer evaluations
- Summary of all student evaluations (Questions 1 and 11 and comments)
- List of citations
- Amount and use of Texas Tech Start-up

In working with the candidate in preparing the dossier, the Chairperson should keep the following points in mind:

1. 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.

2. The candidate's dossier should contain a comprehensive summary of peer and student teaching evaluations. The Chairperson, who is responsible for compiling the summary, should sign the summary of student evaluations. Peer evaluations of a tenure-track faculty member's teaching should be conducted annually following the documented procedures of the department. Peer evaluations of tenured faculty members applying for promotion should be conducted, at the latest, the semester prior to application for promotion. Additional information regarding the individual's contributions to the teaching mission (e.g., service learning, involvement in the graduate program, curricula design) should be documented in the summary materials.

3. The candidate's dossier should contain evidence of the comparative quality of the publications and/or creative activities of the candidate. This is to be done by the chair rating the outlets in accordance with the guidelines in OP 32.01. This rating is to be done on the vita. The Chairperson and tenured, eligible faculty should independently assess the candidate's publications and/or creative activities prior to voting rather than depending only on the reputation of the outlets.

4. Outside letters of recommendation must be solicited on behalf of the candidate and included in the dossier. There is no stipulation on how many external letters are required, but at least 3 of them should come from peer/peer-aspirant institutions. A list of these schools can be found on pages 32, 34 and 38 of the 2011 Strategic Planning Report (http://www.ttu.edu/stratplan/docs/2011-stratplan.pdf) and AAU schools (http://www.aau.edu/about/article.aspx?id=5476).

   The external letters should come from reviewers who are well qualified to evaluate the candidate's research, but should have not had a personal relationship with the candidate (e.g., collaborator, coauthor, former professor or student, dissertation committee, etc.). The candidate may secure letters from individuals who are qualified to address specific aspects of the candidate's scholarship, such as an evaluation of outreach and engagement activities.

   The Chairperson should provide a brief statement with information 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 should be included in the dossier, and prospective reviewers should be informed that the candidate would have access to the letters as a part of the dossier.

5. Ballots should be submitted unsigned by the voting faculty to the Chairperson who, in the presence of one department faculty member, will tally them and record the tally on the form to be forwarded to the Dean's Office. The Chairperson will indicate in writing to the Dean the name of the other faculty member who is verifying the ballot

count.

6. Faculty members should be encouraged to explain fully the reasons for their votes. These unsigned comments should be typed rather than handwritten. They are to be collected, separate from the ballots, and forwarded by the Chairperson to the Dean's Office appended to the dossier.

7. The Chairperson's letter should clearly state his or her recommendation and the reasons for this recommendation, including who has been consulted prior to the Chairperson reaching his or her decision, any form of consultation, departmental committee recommendation, and faculty vote. This recommendation represents the chairperson's single vote; that is, the chairperson may not have a separate vote as a member of the faculty in the department. The Chairperson may not abstain from making a recommendation. A copy of this letter must be given to the candidate at the time the dossier is forwarded to the Dean's Office.

8. The candidate must see the completed dossier, although he or she does not have to approve it. Letters of rebuttal from candidates are not accepted as part of the dossier.

9. The original is to be submitted to the Dean's Office as an unbound hard copy with no holes. Blank sheets of colored paper should be inserted between the sections. The electronic copy to be provided to the Provost will be compiled under the supervision of the Associate Dean for Faculty Affairs. The candidate and/or department should retain an additional copy of the dossier.

"Once the dossier has been submitted for consideration in the department, no further information should 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. Chairpersons should inform candidates that this review is not a mere formality. A favorable vote from the department and a favorable recommendation from the Chairperson does not guarantee that the ultimate recommendation from the College of Arts & Sciences, and later from the Graduate Dean, the Provost, and the President to the Chancellor and the Board of Regents, will be favorable. Likewise, unfavorable departmental votes are not always upheld.

At the college level, the Arts & Sciences Tenure and Promotion Committee, 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 careful deliberations, the Committee takes a formal vote, which is recorded on the Consideration of Tenure and Promotion Form. Committee members do not vote on tenure and promotion applications from their own departments or schools. The Dean does not cast a vote at this stage.

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 neat, 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 Tenure and Promotion Committee, 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 or not he or she wishes 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 have the ability to teach effectively and hold the terminal degree (or its equivalent) as defined by the academic unit as appropriate to the position of Assistant Professor. In addition, the candidate must 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).

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, 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. 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, teaching effectiveness; substantial peer-reviewed publications or creative activities, which are 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; and, contributions to university and professional service.

V. Standards for Tenure

A favorable tenure decision requires that the candidate 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 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; (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 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; (e) appropriate professional service identified by the academic unit; and, (f) a promise for growth in teaching, research and creative activity, and service.

VI. Implementation

The implementation of the guidelines will be effective Fall 2012. 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 teaching, research, and service.

A. **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.

B. **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).

C. Outreach or Engagement in Service:

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