Texas Tech University
WHITACRE COLLEGE OF ENGINEERING
Operating Policy and Procedures
[Approved by Executive Committee 03/15/2023]

WCOE OP 10.01: Tenure and Promotion Standards and Procedures

DATE: 03/15/2023

PURPOSE: The purpose of this Whitacre College of Engineering Operating Policy (WCOE OP 10.01) is to ensure accountability of all principals and transparency of both criteria and procedures concerning tenure and promotion.

REVIEW: This Operating Policy will be reviewed every two years by the Whitacre College Tenure and Promotion Committee with any recommendations for revision presented to the dean at that time. Revisions will require approval by the Whitacre College of Engineering Executive Committee .

University Operating Policies related to tenure and promotion
   • OP32.01 Promotion and tenure standards and procedures
   • TTU Regents Rules Section 4.02 Tenure -- TTU

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[1] WCOE Executive Committee consists of Chairs, Associate Deans and Dean

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1. POLICY/PROCEDURE

This Operating Policy and its procedures abide by the provisions set out in the Texas Tech University Tenure and Promotion Operating Policy OP 32.01 and the Texas Tech University Regents' Rules.

The Texas Tech University College of Engineering provides undergraduate and graduate programs within a college committed to quality education and nationally recognized research and public service. Therefore, it is essential that its faculty be dedicated to achieving excellence in teaching, research and service in order to preserve and continually improve the vitality of the college. Within the Whitacre College of Engineering, recommendation for the awarding of academic promotion and tenure is made for faculty contributing to the college's excellence, recognizing that the mission, faculty expectations and workload context may vary between and within departments.

1.1. Timing

The information below is to provide a general guideline of important dates and activities for the faculty applying for promotion and tenure. For detailed information about the decision-making process and critical dates, please see Section 4. Section 5 contains detailed information regarding the applicant's responsibilities including critical dates for completion and annual responsibilities. Section 6 and 7 contains the responsibilities and critical dates for the Department Chairperson and the Dean, respectively.

    1.1.1. A faculty member may apply for tenure in any year in which criteria and/or timing requirements are met. The maximum probationary period for admission to tenure is six years and is the same for all tenure-eligible ranks. The probationary period begins in September of the calendar year of a faculty member's initial appointment to a tenure-eligible rank at Texas Tech University. All time accrued in full-time service at Texas Tech University in a tenure-eligible rank will be counted in the probationary period. The probationary period may be modified according to the university's OP 32.01. Tenure may be awarded prior to the completion of the full probationary period. A faculty member may request early consideration for tenure without prejudice for later consideration if the request is denied.

    1.1.2. A faculty member may apply for promotion at any time, subject to the condition that should an applicant for promotion to Professor be unsuccessful, s/he is encouraged to wait until credentials have changed substantially (typically a minimum of two years).

    1.1.3. The required format to be followed for tenure and promotion dossiers is included in this Operating Policy in Section 9. Section 11 also includes a sample of the format and attachments.

    1.1.4. The applicant may elect to withdraw their application at any time without prejudice.

    1.1.5. Applicant will provide the department chair with written notification of intent to seek promotion and/or tenure by January 30.

1.1.6. The department chair and applicant should discuss the contents of the dossier by April 1. The department chair and applicant should also discuss the contents to be submitted to the references as detailed in Section 8.

1.1.7. Department chair to provide the Dean with a list of references to be solicited by June 1.

1.1.8. Applicants submit dossiers to their department chair by June 1 to ensure timely receipt of reference letters.

1.1.9. The department chair should finalize dossiers with reference letters and the peer observation results by September 1. Minor changes may be made prior to submitting for college review.

1.1.10. Departmental Tenure and Promotion Committee meets and each member submits his/her vote for each candidate on the ballot (Attachment WCOE-B) and the Committee Chairperson records the summary of the results on the Recommendations Form for each applicant to the Chair during September (Recommendations Form Attachment WCOEC).

1.1.11. Department chair submits the dossier along with his/her recommendation (OP 32.01 Attachment B/Attachment WCOE-C) and the Departmental Tenure and Promotion Committee's report to the Dean by October 1. The Recommendation form must be forwarded as an original hard copy.

1.1.12. Department chair notifies applicants of the departmental committee decision and provides a copy of his/her recommendation to the applicant within 7 days.

1.1.13. WCOE T&P Committee meets and submits its vote (OP 32.01 Appendix B/Attachment WCOE-C) and report on each applicant to the Dean before November 1. Dean notifies the applicant of the WCOE T&P committee decision within 7 working days.

1.1.14. The Dean submits the dossiers with his/her recommendations and the WCOE T&P Committee's report (OP 32.01 Attachment B/Attachment WCOE-C) to the Provost on or before the date specified by the Provost's Office (normally the week of Thanksgiving break.) The Dean notifies the applicant of his/her recommendation within 7 days.

NOTE: The Recommendations Form (Attachment WCOE-C) is to be forwarded as an original hard copy from the Department Committee to the College Committee and then to the Dean and finally to the Provost's office. An electronic copy of the Recommendations form is inserted in the dossier and updated at each stage of the review process.

If extenuating circumstances (individual or institutional) prevent adherence with this schedule, WCOE T&P Committee chair, in consultation with the dean and the applicant, may approve exceptions in writing.

2. General Criteria

Texas Tech University is a comprehensive university with academic programs at both undergraduate and graduate levels. The Whitacre College of Engineering is committed to enhancing the reputation of the university by achieving excellence in teaching, research and service activities and requires dedicated faculty to attain these goals. Such goals to emulate are presented in Attachment WCOE-A of this document. Such faculty will be technically competent and current in their fields of expertise. They shall conduct their activities in accord with accepted ethical standards. Tenure and promotion are awarded to faculty making sustained contributions in these areas. Whereas, it is the expectation that Assistant

Professors will achieve tenure and promotion to Associate Professor, promotion to Professor is only awarded upon demonstration of national and international recognition.

For the purpose of tenure and promotion, all activities and achievements in the areas of teaching, research and service are to be evaluated by explicit comparison with benchmarks for the applicant's field and discipline.

2.1. Departmental Expectations

Departments will develop their own tenure and promotion expectations with full participation of tenured and tenure track faculty. The expectations document reflects the expectations and standards for that department's faculty in the context of peer benchmarks and the department's state of graduate programs, teaching loads and maturity of the research enterprise. These expectations are guidelines that are expected to evolve with time as various components of the department's and college's enterprise mature. The department policies must be consistent with those of the Whitacre College of Engineering and the University, approved by the Dean, and fully disclosed to all tenured and tenure track faculty within the department.

As part of establishing the departmental expectations, each department will develop a set of peer benchmarks of faculty member expectations with comparable rank and experience at peer institutions engaged in similar fields of study. The peer institutions from which these benchmarks are derived will have at least similar goals and resources as Texas Tech University. The list of peer institutions will be agreed upon by the dean and each department chair for their department.

Departmental promotion and tenure expectations will be publicly available and be included in the dossier of each applicant from that department. If expectations are modified during the probationary period, expectations in place and utilized at the applicant's Third-year Review will be considered.

2.2.   Weighting on the Scholarship of Research versus Scholarship of Teaching

The breadth of the Whitacre College of Engineering's mission requires that all faculty members demonstrate effective contributions in the areas of teaching, research and service. Faculty are expected to work with their department chairs to align their annual workload in teaching, research and service with departmental expectations and their individual career goals when developing their Annual Expectations Document. (WCOE OP 10.02 Annual Faculty Review, Evaluation and Expectations)

Tenure and promotion to Associate Professor require effective teaching and a strong research record. When a faculty member seeks promotion to Professor, excellence in the scholarship of research or the scholarship of teaching and learning can be recognized. An applicant may also seek promotion to Professor based on outstanding scholarship in both research and teaching and learning.

The applicant for promotion to Professor and his/her department chair will jointly decide if the promotion decision should be more heavily weighted upon the scholarship of research or the scholarship of teaching or an equal weight on both. The decision should be based upon the distribution of effort since the last promotion, the demonstrated outcomes achieved in both research and teaching, and the quality of the outcomes. It is strongly advised that the quality of the outcomes be the determining factor.

Collaborative activities are increasingly important nationally, in both teaching and research. The application should be set out clearly indicating the applicant's proportion of involvement in, and specific and distinctive contribution to, each element of academic activity. This may include development of research grants, projects, joint publications, involvement in, or responsibility for team teaching, participation in interdisciplinary efforts and research centers, etc.

The applicant for tenure and/or promotion is expected to participate in internal as well as external service all the while demonstrating effective contributions in research and teaching. External service is critical for establishing a research career and internal service is equally important in ensuring the health of the institution.

2.3. Teaching

Teaching and learning are complex endeavors and take place in a wide variety of settings from formal classroom lectures to guidance of student research. Technical competence and currency will arise from faculty actively involved in research and professional service activities.

Faculty members contribute to the university's teaching programs in a variety of ways. For example, at one end of the spectrum, a faculty member whose primary activity is research may produce evidence of *quality* participation in a teaching program by outlining the record of responsibilities and providing student and peer evaluations. At the other end of the spectrum, a faculty member advancing a case based primarily on teaching will have to demonstrate not only *quality* participation but also *leadership* and development in teaching and learning, e.g., innovation in curriculum development, course design, approaches to teaching and assessment as well as evaluations of teaching and learning. All applicants must comment on their *most significant* work in teaching and how their practice is informed by educational scholarship.

An applicant's teaching contribution is evaluated holistically, considering the individual's quantity and nature of teaching assignments as well as the quality of the teaching efforts. **When an applicant's weighting on teaching is high for promotion to Professor, basic- level evidence will be supplemented by higher-level evidence including evidence of leadership in the scholarship of teaching**. The case should be made on the quality of achievement, not just quantity. It is also important to explain how research and scholarship inform teaching.

Evidence of involvement in teaching and evaluation of scholarship in teaching and learning at a basic-level may include but is not limited to:

    2.3.1. development of new courses or courses new to the applicant with systematic feedback from students, peers and/or alumni, and subsequent reflection and implementation of the feedback,

    2.3.2. feedback information on teaching effectiveness including student (subject and course exit surveys), peer, and/or alumni evaluations of teaching, and evidence that applicants have both reflected, and acted on, the information in the evaluations,

    2.3.3. supervising the research of students, including joint supervision, preferably doctoral students (where appropriate based on benchmarks for the discipline),

    2.3.4. mentoring and/or supervising students in an educational context (e.g., training, etc.),

    2.3.5. involvement in institutional processes concerned with the educationally sound development of teaching and learning at the department, college or university level, e.g.,

presentation of case studies, workshops, short-courses, papers and reports at department, college or university level, and distance education,

2.3.6. participation in faculty development teaching seminars, workshops, conferences, or induction activities for staff or transition activities for students, and

2.3.7. applications for competitive grants to support development and innovation in teaching and learning (with the evaluation of grant applications).

Evidence of higher-level involvement in teaching and evaluation of leadership in scholarship in teaching and learning may include but is not limited to:

2.3.8. developing, leading and/or mentoring of teaching teams in the development of courses and curricula,

2.3.9. publication of curriculum materials including textbooks and computer software, teaching and learning approaches, and development tools,

2.3.10. peer-reviewed papers, articles, chapters and books advancing the scholarship of teaching or learning,

2.3.11. receipt of competitive university or national teaching development grants,

2.3.12. receipt of competitive university or national teaching awards/prizes or induction into the Texas Tech University Teaching Academy,

2.3.13. higher degree qualifications in the scholarship of university teaching and learning,

2.3.14. initiating, developing or organizing teaching development seminars, workshops or conferences, and

2.3.15. involvement or leadership in teaching and learning development at national or international levels, e.g., keynote addresses.

2.4. Research

Research and scholarship are activities of a mature university and are vital in maintaining the technical competence and currency of the faculty.

Faculty members contribute to the university's research activities in a variety of ways. Whether pure or applied, research is a scholarly activity that creates, analyzes, or interprets new or existing material in ways which advance understanding within the relevant scholarly community. Dissemination of research, involving the presentation to a broader community of technical experts for peer review, is an essential component of research. Significant and original contributions to knowledge can be demonstrated by completed and published research projects; continuing supervision and graduation of students; commercialization of research; patents; evidence of an ability to attract research support; achievements in applied research; development of innovative technologies, etc. Appropriate research activities include, but are not limited to, one or more of the following: conduct of experiments; formulation and investigation of new concepts or theories; synthesis, criticism, or clarification of prior research outcomes; innovative data collection and analysis; transfer of technology to practical and/or commercial application; and mathematical or computational investigations of engineering or relevant interdisciplinary problems. It is not expected that a single faculty member will be equally active in all of these areas. Activities not explicitly listed in this section are appropriate if, in the judgment of the Tenure and Promotion Committees, they reflect an active expression of research scholarship.

When an applicant's promotion to Professor decision is weighted on research, basic-level evidence will be supplemented by higher-level evidence including evidence of leadership in the

area of research. The case should be made on the quality of achievement, not just quantity. It is also important to explain how these activities inform teaching.

An applicant's research contribution is evaluated holistically, considering the individual's research productivity, the quality of the efforts, and the impact of the efforts on the broader field. The quality and impact of the research is indicated by the venues for dissemination, citations, external grants and external reference letters. Since the venues for high quality publications can vary by discipline, quantitative criteria such as impact factors or rejection rates should be used to make this weighting. These may be supplemented by subjective criteria, such as the perceived prestige of a journal or conference, so long as the opinion of the broader professional community is represented.

Convincing an external organization to fund research reflects the quality and the significance of the work. In addition, external funding is essential to support graduate students, research staff, and in many cases, to obtain the equipment and infrastructure necessary to conduct quality research. Thus success in obtaining external grants will be given significant weight. However, strong reviews of unsuccessful proposals may be included in the dossier as evidence of likely future success in obtaining funding.

Objective reference letters from experts at universities of comparable or higher research ranking than Texas Tech, provide essential assessment of the quality and significance of the research endeavor. These letters should be evaluated in the context of the reputation and credentials of the reference and the research rank of the reference's institution.

The metrics associated with quality (such as number of publications or amount of external funding) will vary by department as a function of benchmarks for the discipline, teaching workloads, graduate program status and the maturity of the research enterprise.

In all cases, applicants are expected to mentor graduate students in conducting research, writing publications, proposals, and as appropriate, teaching. Faculty should support two to three graduate students a year with external support.

Evidence of basic-level involvement in research and evidence that research has been evaluated may include but is not limited to:

    2.4.1. publication of refereed articles in venues of high quality and significance are the primary indication of research achievement. Awarded patents are considered equivalent to 1.5 times publications of high quality for this purpose,

    2.4.2. applications for and receipt of competitive grants (with the role of the applicant and a comprehensive listing of principal/co-principal investigator) with the expectation that the applicant is the principle investigator on at least one competitive grant,

    2.4.3. publications in non-refereed venues, or venues with less rigorous acceptance standards, may be considered in the tenure and promotion process, but should be given less weight. Multiple publications of lesser quality and significance are not to be considered equivalent to a publication of high quality and significance.

    2.4.4. reviewing and advising on research grant applications, articles and conference proceedings,

    2.4.5. research accomplishments of graduate students supervised by the applicant,

    2.4.6. development and dissemination of computer software, technology, inventions, designs, creative works relevant to each applicant's academic field, and

2.4.7. expert commentary locally or nationally.

Evidence of higher-level involvement in research and evidence that research has been evaluated may include but is not limited to:

    2.4.8. on-going publication of refereed articles in venues of high quality and significance with continued productivity at the time of promotion consideration, as evidenced by recently published and accepted articles. Cumulative numbers of publications should demonstrate at least this level of productivity over an extended period of time, for example, since the last promotion,

    2.4.9. demonstrated ability to attract competitive research grants or other research support either individually and/or with others. The role of the applicant and a comprehensive listing of principal/co-principal investigators will be included,

    2.4.10. a body of graduated doctoral students (where appropriate based on benchmarks for the discipline) and continuing involvement in supervision of graduate students,

    2.4.11. significant citation of the applicant's research (excluding self-citation), initiating research in a field or leading research teams,

    2.4.12. recognition as a national and international leader in the development of knowledge/scholarship in an area, e.g., prizes or awards for research, invited presentations,

    2.4.13. status as fellow in a professional organization or membership in the National Academy of Engineering or Science,

    2.4.14. demonstrating an ability to commercialize research outcomes through patents,

    2.4.15. development of public policy or commissioned reports and demonstration of impact, and

    2.4.16. expert commentary nationally or internationally.

Applicants are encouraged to provide evidence of the quality and impact of research outcomes where these are other than traditional venues of refereed publications or granting organizations.

2.5. Service

Faculty members contribute their knowledge, skills and expertise to the community through a range of activities that take the form of service. These activities can be external (largely technical as community and professional service) or internal (institutional leadership and/or administration). These two areas are described in the following sections. It is expected that Assistant Professors will concentrate on service activities that enhance their teaching and research activities (typically external professional service) while Associate Professors will be expected to undertake substantial internal service as well. As with the other two areas, quality of the activity is more important than quantity.

    2.5.1. Internal Service

        Internal service supports the longevity of the department by providing the infrastructure and knowledge to adapt to changes in the engineering discipline and academia. Additionally, internal service trains department and program caretakers and provides opportunities for professional development. Therefore, internal service is critical to an applicant's case for promotion and tenure. This area of activity is concerned with significant contributions to academic planning and governance and contributions to the intellectual life of the discipline, department, college, and/or the university.

Evidence of basic-level involvement in and evaluation of institutional service may include but is not limited to:

2.5.2. responsibilities such as subject coordination, active membership of a departmental committee or membership of a unit/group,

2.5.3. faculty advisor of student organization,

2.5.4. faculty supervisor to an undergraduate researcher,

2.5.5. student recruitment, promotional activities and/or public relations, and

2.5.6. involvement in activities that support members of the university, e.g., committee memberships.

Evidence of higher-level involvement in and evaluation of institutional service may include but is not limited to:

2.5.7. undertaking development and/or leadership of; multi-disciplinary and/or team research projects; curriculum development projects; and other like activities,

2.5.8. leadership on departmental, college or university committees,

2.5.9. serve as ABET program coordinator and participate in campus accreditation activities,

2.5.10. serve as coordinator of graduate and undergraduate program committees,

2.5.11. engagement in policy making or strategic planning at the departmental, college, and/or university level,

2.5.12. leadership that significantly influences the activities of faculty and facilitates others in their efforts to achieve strategic goals, and

2.5.13. active role in career development and mentoring more junior faculty.

2.5.14. External Service

There is a range of non-teaching or non-research activities proper to a university both for their intrinsic merits and their benefits to graduate and undergraduate teaching and research programs. The college expects that all of its faculty will be engaged in one or more of these activities. This engagement may take many forms such as contributing to the shape and direction of philosophies and policies of the community and/or profession, or the maintenance and/or enhancement of professional expertise through practice of a profession. Each form of engagement will have criteria for evaluating quality and this information should be included in the application.

Evidence of basic-level involvement in and evaluation of community and professional service may include but is not limited to:

2.5.15. membership in professional and learned societies or Professional Engineering licensure (where appropriate),

2.5.16. presentations at local or national conferences,

2.5.17. involvement in activities that support positive learning experiences for students e.g., student organizations, student competitions, judging science fairs, participation in K- 12 programs or other outreach,

2.5.18. involvement in service to wider community (relevant to the applicant's role in the college) e.g., student advising, orientation and recruitment, and

2.5.19. refereeing/reviewing articles in venues of high quality and significance.

Evidence of higher-level involvement in and evaluation of leadership in community and professional service may include but is not limited to:
>   2.5.20. leadership roles in professional and learned societies,
>   2.5.21. professional services as a consultant, nationally or internationally,
>   2.5.22. involvement in the organization of national or international conferences, and
>   2.5.23. editorial role in venues publishing high quality and significant articles

3. Standards for tenure and promotion to higher academic rank

Tenure and promotion determinations are separate and distinct. Tenure requires a demonstration of future promise while promotion is based upon on-going achievement. However similar procedures apply to both. The tenure and promotion goals to emulate are presented in Attachment WCOE-A.

3.1 Tenure

Applicants for tenure should demonstrate productivity and quality of teaching, research and service appropriate to their rank (see below) as well as strong promise for future productivity and quality of their endeavors. The applicant's cumulative record is considered with particular emphasis placed upon performance during their time at Texas Tech University.

3.1. Promotion from Assistant Professor to Associate Professor

Applicants for promotion from Assistant Professor to Associate Professor should demonstrate effectiveness in teaching at the basic-level criteria and a *strong* research record at the basic-level and be developing higher-level criteria. The research record must include refereed publications of high quality or publications that profoundly impact theory or practice in the discipline. The applicant's cumulative research record will be considered.

3.2. Promotion from Associate Professor to Professor

Applicants for promotion to Professor are expected to have achieved a superior reputation with national or international recognition. The applicant is expected to demonstrate effectiveness at basic-level criteria for teaching, research and service, as well as *excellence* at higher-level criteria with outcomes leading to national recognition in either research or teaching. *The choice of weighting either the scholarship of research or the scholarship of teaching activities is determined by the applicant with her/his department chair. (See Section 2.2).*

4. Decision-Making Procedures

In cases where the deadline is not a working day, deadlines shall be the first working day after the date given. Under exceptional circumstances deadlines missed will be reviewed by the College Tenure and Promotion Committee with due consideration to those circumstances.

4.1. Review by Department

>   4.1.1. Each department shall have a Tenure and Promotion Committee made up of all full-time tenured faculty (to evaluate solely tenure) and all tenure eligible faculty (tenured or not) at the rank or above that being sought by the applicant (to evaluate solely promotion). Two non-voting external faculty appointed by the Dean from the Whitacre College Tenure and Promotion (WCOE T&P) Committee will attend the departmental discussion concerning the applicant.

4.1.2. The department chair shall convene and lead the meeting. The chair shall not vote. In case the department chair applies for promotion the Dean's designee will assume the chair duties for promotion The department chair may participate in the discussion of the applicant to provide additional information; however, they should refrain from actively campaigning for or against the applicant. External faculty members of the WCOE T&P Committee shall have no vote at the departmental committee meeting and shall only vote in the WCOE T&P Committee. Departmental Tenure and Promotion Committee members that are also members of the WCOE T&P Committee vote at the departmental level and do not vote at the college level. Tenured faculty shall vote on tenure while, for promotion, participation in deliberations and voting is only entitled to faculty at or above the rank being sought by the applicant.

4.1.3. The departmental committee will vote on tenure and promotion separately.

4.1.4. Applicants shall be evaluated on the criteria set out in this policy.

4.1.5. In the event that the departmental committee has less than three voting members at the tenured and/or Professor level, the dean, upon consultation with the department chair, shall appoint sufficient additional members from within the college.

4.1.6. In cases where the department chair is an applicant for tenure and/or promotion, or is ineligible to participate, the dean shall appoint a tenured Professor to perform the chair's duties in the departmental tenure and promotion review process.

4.1.7. All applicants' dossiers must be distributed to the committee within the first week of September. Meetings will be scheduled to insure maximum possible attendance and the ability to submit reports to the department chair by the third week of September.

4.1.8. Ballots are unsigned but may contain handwritten comments. Written ballot comments will become part of the dossier. Faculty must be present (in person or telecom) to cast a ballot. In rare cases absentee ballots may be accepted, but must be approved by chair and received before the departmental committee meeting.

4.1.9. The department chair and one other faculty member shall count the ballots and record the votes in the presence of the committee on the Recommendations Form (Attachment WCOE-C). The department chair shall announce the vote count to the committee.

4.1.10. Faculty are responsible for casting a vote in "Favor" or "Opposed." Only in extraordinary circumstances shall a faulty member abstain from voting.
If the total vote count for "Favor" and "Oppose" is less than the 70% of the Departmental Tenure and Promotion Committee members eligible to vote, the vote will be invalid. Should the vote be invalid, the voting will be repeated until the vote count for "Favor" and "Oppose" is at least 70% of the Departmental Tenure and Promotion Committee members eligible to vote. [If after 3 ballots the vote continues to be invalid, the committee will adjourn and reconvene within 2 days to deliberate and vote again according to the procedures of this OP. If still an invalid vote the other 6 department chairs will vote]

4.1.11. The external members shall summarize the departmental committee deliberations in a report to the department chair for inclusion in the report to the WCOE T&P Committee. This report will be approved by the departmental committee and will not include any individual identifying comments. The chair of the departmental committee will record the votes on the Recommendations Form (Attachment WCOE-C) and forward the **original hard copy** to the department chair.

4.1.12. The department chair shall make his/her independent recommendation in writing and insert it in the dossier (Section 2: Chairperson's Letter). The department chair will record his/her recommendations and sign the Recommendations Form (Attachment WCOE-C). The department chair will forward **in hard copy format** a list of committee members present, the vote, the actual ballots, a page on which the ballot comments have been typed, and the Recommendations Form. The department chair will forward electronically the departmental T&P committee report and all dossiers to the Dean's Office before October 1.

4.1.13. The department chair shall provide the applicant with the vote count, and feedback on the departmental review within 7 working days of the departmental meeting.

4.2. Review by College

4.2.1. The WCOE T&P Committee shall consist of one Professor and one Associate Professor from each department's tenured faculty to serve a two year term. The department chair will work in consultation with the department's full-time tenured faculty to select the departmental representatives. The department chair will inform the Dean of the department's members on the WCOE T&P Committee. The department chair is excluded from this committee. Past chairs, deans, or persons of higher administrative positions shall be excluded from the WCOE T&P committee for a period of four years from their departure from that position. Should a department's constituency be insufficient, WCOE T&P Committee members will be appointed by the dean in consultation with that department's chair. To ensure continuity, half the WCOE T&P Committee membership (one per department) will serve an initial three year period. Members may be re-elected or re- appointed.

4.2.2. A committee member who resigns, becomes ineligible to serve, or is applying for promotion will be replaced by election or appointment for the remainder of their term.

4.2.3. Preparation for membership of the WCOE T&P Committee will take the form of a strongly recommended orientation session held prior to the committee meeting and organized by the WCOE. The orientation session will be offered to new and existing committee members and focus on:

- discussion of departmental expectations and their formulation presented by department chairs or designate;
- discussion on differences between disciplines in assessing the range of academic activities – quantitative and qualitative, including; citation indexes, impact factor information, benchmarking data, use of team work, multiple authorship and differences in, publishing protocols;
- optimizing decision making processes;
- familiarizing members with these guidelines and processes.

4.2.4. The Dean of Engineering or designee shall convene and lead the meeting. The quorum for the full WCOE T&P Committee will be 10 voting members with at least one member from each department. The quorum for the subcommittee of professors only, shall be any 5 members <u>not</u> including those from the departments of applicants seeking promotion.

4.2.5. With the exception of the dean or designee, all committee members shall vote on tenure, while, for promotion, participation in deliberations and voting is only entitled to faculty at or above the rank being sought by the applicant. Each WCOE T&P Committee member only votes at the departmental level for an applicant from her/his department (see 4.1.2).

4.2.6. Applicants shall be evaluated on the criteria set out in this policy (Attachment WCOE-A).

4.2.7. The WCOE T&P committee will vote on tenure and promotion separately.

4.2.8. All applicants' dossiers must be distributed to the committee at least two weeks prior to the scheduled meeting. Meetings will be scheduled to insure maximum possible attendance and provide sufficient time for committee reports to be completed and submitted to the Dean by November 1.

4.2.9. The committee reserves the right to seek clarification from department chairs before making a recommendation.

4.2.10. Ballots (Attachment WCOE-B) will be unsigned, but there may be handwritten comments. Written ballot comments will become part of the dossier. The written comments will be recorded as a separate document and included in Appendix C. Committee members must be present (in person or virtually) for the discussion on an applicant in order to cast a vote.

4.2.11. The Dean of Engineering or designee and one other committee member shall count the ballots and record the votes on the Recommendations Form (Attachment WCOE-C) in the presence of the committee. The dean shall announce the vote to the committee.

4.2.12. Faculty are responsible for casting a vote in "Favor" or "Opposed". Only in extraordinary circumstance shall a faculty member abstain from voting. If the vote count for "Favor" and "Oppose" is less than the 70% of the WCOE T&P Committee members eligible to vote, the vote will be invalid. Should the vote be invalid, the voting will be repeated until the vote count for "Favor" and "Oppose" is at least 70% of the WCOE T&P Committee members eligible to vote. [If after 3 ballots the vote continues to be invalid, the committee will adjourn and reconvene within 2 days to deliberate and vote again according to the procedures of this OP.]

4.2.13. For each applicant the external members on his/her departmental committee will again write a summary of the WCOE T&P committee's deliberations for the dean.

4.2.14. The Office of the Dean shall retain confidential records of committee members present and the vote, the actual ballots, a page on which the comments have been typed, and the appropriate external member's summary.

4.2.15. The dean shall submit the dossier in a format consistent with OP 32.01 and this OP, including his/her letter of recommendation for tenure and/or promotion (Dossier Section 1: Dean's Letter) and the reports of the departmental and WCOE T&P committees, to the SharePoint drive as approved by the Provost on or before the date specified by the Provost's Office (typically the week of Thanksgiving Break). The same documents as submitted to the SharePoint drive will also be sent to the Provost's office on a flash drive with folders designated as Tenure & Promotion; Tenure; Promotion; and Promotion to Full Professor).

4.2.16. The dean or the department chair shall inform the applicant of the vote and the WCOE T&P Committee report within 7 working days of the college meeting.

4.3. Hiring Faculty with Tenure

4.3.1. In the case of a prospective faculty member, including deans or department chairs, being offered a tenured position with the initial appointment, the departmental and college committees shall meet to evaluate tenure on the documentation that is available at the time of the final interview. Documentation should be largely consistent with documentation required in Section 9.

4.3.2. The procedure for assessing tenure is the same as in Sections 4.1 and 4.2, except for the following:

- accomplishments will not necessarily have occurred at Texas Tech University;
- external letters of reference are required, but reference letters used in screening the applicant for the position may be used as proxies if there is insufficient time to obtain actual tenure-oriented letters;
- external members need not be involved in the departmental review; and
- the quorum for the college meeting will be one representative from each department.

4.3.3. The department chair or search committee chair shall meet with the WCOE T&P Committee to present the case for tenure the applicant.

4.3.4. The WCOE T&P Committee decision on granting of tenure must be made before a formal offer to the applicant can be made.

4.3.5. The results of the committee's decision on tenure will be forwarded to the dean.

4.3.6. The dean will forward the committee's and the dean's recommendation for tenure to the provost.

5. Applicant's Responsibilities

5.1. Annually

5.1.1. Ensure peer observation (Attachments APP-E and APP-F) of teaching for all tenure-track faculty members is performed each year, preferably in the fall semester so that the observation results are included in the faculty member's annual review. For faculty applying for promotion to professor, peer observation must be conducted the year before submitting the dossier.

5.1.2. Participate in annual reviews with department chair with feedback and recommendation measures. These reviews should be opportunities for the applicant and chair to discuss how
the outcome performance measures described in this document may be achieved.

5.1.3. Maintain adequate records of teaching, research, and service accomplishments as described in Section 2 of this document.

5.2. April-July

5.2.1. Provide the department chair with written notification of intent to seek promotion and/or tenure by -January 30.

5.2.2. Review the Faculty Handbook, TTU OP 32.01, the Departmental Expectations document, and this document (WCOE OP 10.01).

5.2.3. Provide the department chair with 3 external references as described in Section 8 of this document.

5.2.4. Submit final material for dossier in the format described by Section 9 of this document by June 1.

5.2.5. Sign the dossier cover sheet (Attachment APP-C) that indicates he or she has reviewed and approved the material being submitted. Complete and include in the dossier the Evaluation Criteria Form (Attachment APP -B) to select and the evaluation criteria to be followed for the T&P review process.

6. Chairperson's Responsibilities

6.1.1. Ensure peer observation of teaching for all tenure-track faculty members is performed every year preferably in the fall semester so that the observation results are included in the faculty member's review. For faculty applying for promotion to professor, peer observation must be conducted the year before submitting the dossier.

6.1.2. Undertake annual reviews with feedback and recommendation measures. These reviews should be opportunities for the applicant and chair to discuss how the outcome performance measures described in this document may be achieved.

6.1.3. Establish a mentoring scheme to assist new faculty in attaining tenure and promotion

6.1.4. Develop an Annual Statement of Expectation document that defines the distribution of effort for the upcoming year, aligning departmental expectations with the faculty member's career goals as much as possible. (See WCOE OP 10.02 Annual Faculty Review, Evaluation and Expectations).

6.1.5. In consultation with the department faculty, review or establish departmental expectations for promotion and tenure, considering benchmarks from a college-accepted list of peer institutions. These expectations must be consistent with college and university goals. These expectations will include guidelines providing reasonable targets for critical measures of achievement, such as approximate number of publications; venues for publication (including impact factors, rejection rates, and/or conference review procedures, to evaluate quality and significance when available); success at obtaining external funding; teaching loads; number of graduate students supervised and degrees conferred. Data from national organizations that benchmark higher education programs may be used for evaluating these and other criteria.

6.1.6. Ensure election of one Professor and one Associate Professor to the WCOE T&P Committee for a two year period. If there is insufficient constituency in the department seek advice from the dean. (To ensure continuity, one faculty representative per department will serve an initial three year period).

6.1.7. Establish a departmental committee to review tenure-eligible faculty in their 6th long semester (WCOE OP 10.03 Third-year Review),

6.1.8. Ensure that every applicant for tenure/promotion has access to the Faculty Handbook, OP 32.01, Departmental Expectations document, and this document (WCOE OP 10.01).

6.1.9. Seek confirmation from prospective applicants for tenure and promotion by June 1.

6.1.10. Be available to answer any questions regarding these policies/guidelines.

6.2. June-August

6.2.1. Ensure Departmental Tenure and Promotion Committee is formed and request the dean to appoint two external members from the WCOE T&P Committee.

6.2.2. Inform the Dean of the department's members on the WCOE T&P Committee.

6.2.3. Ensure applicants submit completed supporting material by June 1 and that the applicant has signed the dossier cover sheet (Attachment APP-C) to confirm that the applicant has reviewed and approved the material being submitted.

6.2.4. Provide the Dean with a list of references to be solicited by June 1. The list of references is confidential and should not be shared with the applicant.

6.2.5. Check availability and willingness of references, send out vita and applicant's case for promotion and/or tenure statement, and seek written reports on the applicant. A minimum of 6 reference letters are required for a completed dossier. Attachment WCOE-D is a sample of the Reference Letter request to be included in the dossier.

6.2.6. Include all letters received on behalf of the applicant in the dossier. Letters are not to be exposed to the applicant.

6.3. September

6.3.1. Finalize the dossiers with reference letters and the peer observation results by September 1.

6.3.2. Distribute dossiers and a copy of WCOE Tenure and Promotions Goals to Emulate (Attachment WCOE-A) electronically to Departmental Tenure and Promotion Committee.

6.3.3. Assign applicants to the external members.

6.3.4. Convene departmental committee, conduct the vote on the applicant (Attachment WCOEB) and write the committee's summary report on each applicant. Record the committee's votes on the Recommendations Form (Attachment WCOE-D)

6.3.5. Write a letter of recommendation regarding the proposed action for each applicant in the department. Provide the chair's recommendation to the applicant at the time the dossier is sent to the dean (Dossier Section 2: Chairperson's Letter).

6.3.6. Sign the Recommendation sheet, OP 32.01 Attachment WCOE-D and assure the dossier meets the format requirements in Section 9 of this OP.

6.3.7. Forward an electronic copy of each dossier to the College before October 1. Forward

original hard copies of the Ballots, Summary of Comments and the Recommendations Form to the

dean's office. **7.   Dean's Responsibilities**

7.1.1. In consultation with the department chair(s) establish a list of accepted peer institutions.

7.1.2. Approve Departmental Expectations Documents, when created and/or revised.

7.1.3. Ensure review of this document by March 1 and solicit faculty feedback by May 1 biannually.

7.1.4. Be available to answer any questions regarding this operating policy.

7.1.5. In consultation with the chair, ensure department's appoint one Professor and one Associate Professor to the WCOE T&P Committee for a two-year period. For departments with insufficient constituency appoint members in consultation with the chair

7.1.6. Dean or Dean's designee review electronic (pdf) versions of each dossier for completeness and to check that all hard copy original documents have been received.

7.1.7. Distribute dossiers electronically to the WCOE T&P Committee two weeks prior to the committee meeting.

7.1.8. Convene WCOE T&P committee and obtain the committee reports by November 1.

7.1.9. Has the authority to adjourn a meeting before the vote if a biased discussion is occurring.

7.1.10. Write a letter of recommendation regarding the proposed action for each applicant in the college. Provide this recommendation, the WCOE T&P Committee report, and cover letter (Attachment WCOE-E: Receipt of Packet Letter) to the applicant within 7 days of its transmittal to the provost.

7.1.11. Sign the Recommendation sheet, OP 32.01 Attachment B/Attachment WCOE-C and assure the dossier is consistent with OP 32.01 and Section 9 of this OP.

7.1.12. Forward the original dossier to the provost on or before the deadline defined by the Provost's Office (typically the week of Thanksgiving Break).

8. Selection of References

Dossiers should include a minimum of 6 letters from references. applicants for promotion will nominate 2 references providing current contact details; including name, address, fax and email. It is appropriate to discuss the selection with the department chair. The chair will request additional references in order to secure at least 6 reference letters. The dean may select up to 3 additional references. At least three of the references must be at institutions among the university's national benchmark peers. References should also be sought from peer institutions designated for the particular department. Chairs shall contact references beforehand to ascertain their willingness to provide a report that *is discoverable* in case of litigation. References shall be persons who have familiarity with the applicant's field and, if from academe, must be from an academic rank *at or above* that to which the applicant is applying. Applicants applying for Professor shall provide references with a national and international reputation (where appropriate based on benchmarks for the discipline). Also, applicants applying for Professor shall provide some references from outside the United States.

References will be arm's length in terms of prior involvement with the applicant

- Not a co-author in the last five years
- Not a co-PI in the last five years
- Not a former advisor/advisee
- Not a relative
- Not a fellow undergraduate or graduate friend
- Not a close friend or acquaintance

- Not a program manager that has funded a TTU research group that the applicant is a member

Letters will provide an objective evaluation of the applicant's achievements in the areas of teaching, research and service. In particular, comments should be sought on the publication record of the applicant and how the applicant might fare in tenure and promotion at their institution. Chairs shall indicate the national/international standing/expertise of each reference and the reason for the person's nomination, in terms of the relevance of that standing/expertise to the case for promotion. The source of each reference, applicant or chair, shall be clearly indicated in the dossier.

At the minimum, chairs shall provide each reference with a copy of the applicant's curriculum vitae, copies of at least 3 of the applicants' journal articles (chosen by the applicant) and this document. Additional material may be included as agreed upon by the applicant and the chair. The department chair shall make every reasonable effort to contact all references listed and a minimum of 8 reference reports are required for a dossier.

Letters of reference shall be processed (invitations sent and received) by the department chair. A copy of each letter received will be forwarded to the Dean upon receipt. All letters received will be included in the applicants' dossier.

The letter soliciting external references shall be patterned off the example letter in Attachment WCOE-D.

9. Format for Tenure and Promotion Dossiers

The department chairperson, on behalf of the applicant, will submit electronically one complete, original copy of the dossier to the Dean's Office. The Dean's Office will then make an electronic version of the document for internal dissemination.

The promotion and tenure dossiers shall be consistent with TTU requirements outlined in OP 32.01 Appendix B. The College of Engineering requires some specific formatting of the TTU- required sections, as well as an Appendix of additional information. The applicant should also include the dossier cover letter (Attachment APP-C) and the Evaluation Criteria Form (Attachment APP-B) and Appendices.

9.1. OP 32.01 Format Requirements:
9.1.1. Title Page (Attachment APP-A)
9.1.2. Table of Contents(Attachment APP-D)
9.1.3. Evaluation Criteria Attachment APP-B)
9.1.4. Recommendations Form (Attachment WCOE-D)
9.1.5. Dossier Cover Letter (Attachment APP-C)
9.1.6. Dean's Letter
9.1.7. Chairperson's Letter
This letter should reflect discussions on expectations or changes in expectations, during the evaluation period in which the applicant is seeking tenure or promotion. In the case of promotion to Professor, the letter will confirm if the promotion decision should be more heavily weighted upon the scholarship of research or the scholarship of teaching or an equal weight on both.
9.1.8. Vita (with chairperson's ratings of publications or creative activities)
Organize the publications list into submitted/under review, peer-reviewed journal, peer-reviewed conference, conference, invited talks and chapters/books categories. Include DOI links of publications. Within each category, list publications by date. Listing of TTU grants with co-PIs must include Office of Research Services prorating of grant funds to the applicant.
9.1.9. Solicited and unsolicited letters from outside references.
The chair will include a list of referees (with contact information) and specify which were selected by the applicant and which by the chair.
9.1.10. Basic information (per OP 32.01), Include all Fall and Spring semester teaching assignments and enrollments since the last promotion, not just the last two years on Attachment APPG. A copy of the original Letter of Hire is included for Tenure and/or Promotion applicants and may or may not include information about the Start-Up package
9.1.11. Peer Observation of Teaching Summary
Per TTU OP 32.01, faculty members seeking tenure must be reviewed annually and those seeking promotion must be observed in the year prior to dossier submittal. The guidelines

of the peer observation program are outlined in Attachment APP-E and Peer Observation Forms (Attachment APP-F) are distributed to observers. Note, the results of the peer observation are treated as letters and will be submitted to the Department Chairperson for each applicant so that the Department Chairperson may include the peer observation summary in the dossier.

9.1.12. Applicant's summary of teaching effectiveness

Include a statement summarizing the applicant's contributions to the teaching endeavor, emphasizing the basic-level and higher-level accomplishments. Student evaluation summaries are only numerical summaries. If student comments are to be included in evaluation summaries, all comments from all courses for the last three years should be included.

9.1.13. Applicant's summary of research and creative activities

Include a statement summarizing the applicant's contributions to the research endeavor, emphasizing the basic-level and higher-level accomplishments. Don't duplicate the publications list from the vita in this section. A listing of grants must be included here or in the vita. A copy of the applicant's start up agreement is to be included in this section. Make note if the start-up agreement is included in the Original Letter of Hire with the Basic Information document.

9.1.14. Applicant's summary of service activities. Include a statement summarizing the applicant's contributions to the service, emphasizing the basic-level and higher-level contributions

9.1.15. Goals: The applicant will create a one-two page statement the applicant envisions where his/her teaching, research/creativity and service to be in five-seven years. Identify posttenure and/or post promotion goals in each area.

9.1.16. Annual Faculty Reports: For Tenure and/or Promotion include the Departmental Expectations Document in place during the applicant's Third-year Review and all Annual Faculty Reports in chronological order from first year through most recent Annual Faculty Report. The Third Year Review should follow the Third Year Annual Faculty Report for all Tenure and/or Promotion applicants. *For Promotion to Full Professor include all Annual Faculty Reports since Tenure and Promotion.*

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10. Exceptions to the Policies Documented in this OP

Because of the complexity of this document, it is anticipated that minor exceptions to the policies documented in this OP may be required. These exceptions will be granted in writing by the Dean. Only procedural exceptions (timing, committee composition, etc.) will be granted. A complete listing of all exceptions granted will be maintained by the Dean's Office and will be made available to any faculty member in the College at their request. Exceptions granted will be reviewed at all meetings of the WCOE T&P Committee. In case the candidate has responsibilities at Dean's office, Dean or Dean's designee will form the review committee.

10.1. College of Engineering Appendices

A. Basis for evaluation (only for promotion to Full Professor cases.)
   The applicant is to specify the weighting of scholarship of teaching versus scholarship of research to be considered in the decision for promotion to Professor.

B. Case for Promotion and/or Tenure Statement (For all applicants)

A statement (up to 3 pages) prepared by the applicant that summarizes the strength of the case for promotion and/or tenure based on the quality, significance and extent of achievements, highlighting the most significant achievements in the areas of teaching, research and service. In the case of promotion to Professor, the case for promotion must be made consistent with the weighting specified in Appendix A (WCOE OP 10.1 A) In the case of collaborative activities in both teaching and research, the application should clearly indicate the applicant's proportion of involvement in, and specific and distinctive contribution to, each element of academic activity.

C. Departmental and WCOE T&P Committee Reports (OP 32.01 Appendix B) and summary of comments made on committee member ballots

The WCOE T&P Committee may request original documents. Additional Appendices should be kept to a minimum and should not include copies of publications. applicants must provide an application that

- is both concise and coherent,
- presents a strong and accurate case clearly articulating a close relationship between description of activity and independent evaluation of quality and impact,
- relates to quality and not just quantity,
- conveys the significance of achievements,
- informs tenure and promotion committees of involvement in all aspects of academic life and the interconnectedness of these activities,
- demonstrates an active research program connected to teaching and service,
- provides a range of information/materials that support claims,
- demonstrates sustained achievement at the highest level of performance at the present level of appointment, and
- indicates the ability to undertake the level of appointment being sought.

10.2. Length

The aim should be to present information succinctly using summaries for complex or very detailed information. applicants should use plain English where possible and avoid 'jargon' without explanation. Constraints by the Provost's Office in dossier length and format may require that WCOE Appendices not be included in the dossier forwarded to the Provost from the College Dean's Office.

11. **Attachments**

Applicant Attachments (APP-)

Attachment APP-A: Title Page
Attachment APP-B: Evaluation Criteria Form
Attachment APP-C: Dossier Cover Letter Example
Attachment APP-D   Table of Contents
Attachment APP-E: Peer Observation Guidance Document*
Attachment APP-F: Peer Observation Forms
Attachment APP-G: Basic Information

WCOE Attachments for Department and College Committees (WCOE-)

Attachment WCOE-A: WCOE Criteria and Goals - Tenure and Promotion
Attachment WCOE-B: Tenure and Promotion Committee Ballot Sample Attachment WCOE-C: Recommendations Form
Attachment WCOE-D: Reference Letter Example
Attachment WCOE-E: Receipt of Packet Letter (Example)*
Attachment WCOE-F: Guidelines for Department Chair Ratings of Research/Creative Activities
   *Informational documents not included in dossiers

12. Sample Dossier

(Attachments and notes are in italics)

Title Page *(Attachment APP-A)*

Table of Contents *(Attachment APP-D)* **Evaluation Criteria** *(Attachment APP-B)*
Recommendations Form *(Attachment WCOE-D)* **Dossier Cover Letter** *(Attachment APP-C)*

Sections: Note: A title page is required for each section

Section 1:   Dean's Letter

Section 2:   Chairperson's Letter

Section 3:   Vita *(Includes Chairperson's Ratings of Publications & Creative Activities noted in Right Margin)*

Section 4:   Letters from External Reviewers

> **Sample of Reference Request Letter** *(Attachment WCOE-D)*

> **Candidate/Chairperson Selected Reviewers and Biosketches**– Each letter should be preceded by a brief biosketch of the reviewer and identified as being either a candidate or chairperson selected review

Section 5:   Basic Information

> **Original Letter of Hire** – *May also include Start-up Package Information*

> **Basic Information** *(Attachment APP-G)* **Section 6:   Summary of Peer Observation of Teaching** *(Attachment APP-F)* **Section 7:   Summary of Teaching Effectiveness & Statement of Goals Applicant's Summary of Teaching Effectiveness Applicant's Summary of Goals Numerical Summary of Student Evaluations –**

> **Student Comments** *(Optional) Note: If student comments are included it*

> *must include* <u>all</u> *comments from* <u>all</u> *courses in the last three years.*

Section 8:   Summary of Research/Creative Activities & Statement of Goals Applicant's Summary of Research/Creative Activities Applicant's Summary Goals

> **Start-up Agreement**) *(If Start-up Package is already cited in Original Letter of Hire refer to Section 5)*
>
> List of Grants *(If Grants are already cited in the Vita refer to Section 3)*

Section 9:   Applicant's Summary of Service Activities & Statement of Goals Applicant's Summary of Service Activities Applicant's Goals Section 10:   Applicant's Summary of Goals for Next 5-7 years Section 11:   Annual Faculty Reports

> *For Promotion and/or Tenure* – The Departmental Expectations Document in place during the applicant's Third-year Review and all Annual Faculty Reports in chronological order from first year through most recent Annual Faculty Report. The Third Year Review should follow the Third Year Annual Faculty Report for all Tenure and/or Promotion applicants.
>
> *For Promotion to Full Professor* –Annual Faculty Reports since tenure.

Appendices

(For Tenure or Promotion or Tenure and Promotion)

> **Appendix A: Applicant's Case for Promotion Appendix B: Departmental and WCOE T&P Committee Summary Reports and Ballot Comments Appendices**

(For promotion to Full Professor)

> **Appendix A: Applicant's Basis for Evaluation Appendix B: Applicant's Case for Promotion**
>
> **Appendix C: Departmental and WCOE Summary Reports and Ballot Comments**