

**UNIVERSITY OF NORTH TEXAS
COLLEGE OF ENGINEERING
(September 2004)**

PROCEDURE FOR DOCUMENTATION OF PROMOTION AND/OR TENURE CASES

1. GENERAL INSTRUCTIONS

It is the responsibility of the candidate for promotion and/or tenure, the corresponding department Chair and the Promotion and Tenure (P&T) Committee of candidate's department to ensure that the submitted materials are in accord with the UNT Policies Manual (<http://www.unt.edu/policy/>), Faculty Handbook (http://www.unt.edu/vpaa_fhb/homepg.html) and the College of Engineering Procedures for Documentation of Promotion and/or Tenure Cases (as described in this document). Files inconsistent with these procedures will be returned to the candidate and the department will be informed. Promotion and tenure are serious matters affecting the future well-being of the individual, the department, and the university. Candidates will be evaluated based on the departmental, college, and university performance standards of achievement and time table.

The responsibility to justify the unequivocal recommendation in a P&T case, whatever it is, rests with the department making such recommendation. In extraordinary circumstances, deferral of a decision on tenure will be extended beyond the probationary period and then by not more than one year.

Original and two copies of a complete dossier and one copy of publications and supporting materials for each candidate presented to the department for promotion and/or tenure consideration will be submitted to the Dean no later than the stated date in the College of Engineering Calendar.

2. FACULTY RESPONSIBILITIES FOR DOSSIER PREPARATION

Candidates for promotion and/or tenure assume the ultimate responsibility for ensuring that all required materials are available, accurate, and complete and that the dossier has been prepared following college guidelines. External reviewer letters and recommendations from the Chair and the Promotion and Tenure Committee will be added after the dossier is submitted to the Chair and before the documentation and supporting materials are forwarded to the Dean.

3. CREDIT TOWARD TENURE AND/OR PROMOTION

Some candidates for promotion and/or tenure may apply prior service as faculty at another institution toward the UNT probationary period but such must be stated, and agreed to, in the letter of offer of employment. In such cases, it is the responsibility of the candidate to provide documentation including teaching evaluations and other evidence of professional activity for the number of years at the previous place of employment applied toward the UNT probationary period.

4. NOMINATION FOR PROMOTION

Nomination for a promotion evaluation could be initiated by a faculty member himself or herself through the departmental Promotion and Tenure Committee (P&T), or it may be initiated upon recommendation by the departmental P&T committee. Evaluation process by the P&T Committee will determine a recommendation for further actions at the departmental level. The evaluation process by the P&T Committee will be per description in the Faculty Handbook and related university guidelines as well as the College of Engineering rules and procedures.

5. P&T COMMITTEE MEMBERS' RANKS

All members of the P&T Committee for review of a candidate must have at least the rank for which the faculty member is being evaluated. In the case of fewer than five eligible faculty in a department, the Provost (or the Dean with delegation from the Provost) will work with the tenured departmental faculty to establish an ad hoc P&T committee using members from the other departments, preferably in the College of Engineering, at the appropriate rank.

6. MATERIALS TO BE INCLUDED IN EACH DOSSIER FOR PROMOTION AND/OR TENURE REVIEW

All the materials required for the review by the College and the Provost's Office should be included in the dossier; a checklist is provided at http://www.unt.edu/vpaa_fy0405_fhb/Forms/vpaa_promo_tenure_chklist.doc. Items are to be fastened in a loose-leaf binder, major sections separated with labeled index tabs in the order listed below. Accuracy of this information, as in the case of all other information, rests with the candidate.

6.1. Basic Information Form and Faculty Essay

6.1.1. Basic Information Form

(see http://www.unt.edu/vpaa_fy0405_fhb/Forms/vpaa_promo_tenure_chklist.doc)

This form must be accurate and completely filled out. A copy of the department's promotion and tenure criteria must be included in this section. In the case of candidates who are seeking tenure, this section must also include a copy of the candidate's original offer letter.

6.1.2. Faculty Essay

(see http://www.unt.edu/vpaa_fy0405_fhb/Forms/vpaa_promo_tenure_chklist.doc)

The candidate must include a narrative self-assessment of his/her teaching, research and scholarship activities, and service accomplishments, as described in the above website. The self statement could be used to emphasize professional achievements or contributions, explain teaching philosophy, and provide a statement on why record warrants tenure and/or promotion.

6.2. Curriculum Vitae

(see http://www.unt.edu/vpaa_fy0405_fhb/Forms/vita.doc)

A complete and current CV must include factual information about the candidate's publications (indicating whether they are in refereed archival journals, web-based publications, conferences, etc.) and scholarly/creative activities including exhibits, presentations, or seminars; professional activities including those involving holding of offices in learned societies; membership on professional panels; service to the department, college, or university; and other evidence of professional growth which might be unique to the candidate's discipline. The following will be considered as extremely important.

6.2.1. Publications

The materials will include a brief overview of the categorization of publications that are considered typical of a candidate's specific field and their relative importance as contributions in that discipline. The publication section of the CV will separate and clearly identify the candidate's work in sections as follows:

- books;
- Journal articles;
- Conference Proceedings articles.

The guidelines for the publications are as follow:

- in all cases, indicate which publications are peer-reviewed and which are not and the journal or conference, etc. acceptance rates;
- for publications with multiple authors, underline the name of the principal author;
- note which publications, paper presentations, etc. are the result of grants the candidate has received;
- for publications listed "in press," include a copy of the letter from the editor accepting the publication (include letters of acceptance or page proofs, where applicable, in appendix/supplemental materials folder);

- where book reviews are listed, separate them from articles and include a statement of their relative importance in the candidate's discipline;
- a complete bibliographic citation, including page numbers (total number of pages in article) must be provided for each entry in the publications section;
- List of citations in articles by other authors and investigators, indicating the citation index used.

6.2.2. Research including Grants, Gifts and Contracts

All proposals submitted should be listed. The candidate should distinguish between grants for equipment, training, travel, and research indicating whether accepted and funded (include amount) or rejected. It should be identified if the candidate has been Principal Investigator (PI)/Project Director (PD) or Co-PI on the proposals, name of the agency, and the amount of requested and/or funded support and the duration of grant.

6.3 Evidence of Teaching Performance

Comprehensive evidence of teaching effectiveness is required, covering the period of time since the appointment or last promotion. Candidates receiving credit for previous years of service must provide evidence of teaching effectiveness from that university.

The candidate and the department must ensure that good teaching performance is demonstrated and properly documented. Documentation must reflect a systematic appraisal of teaching effectiveness and performance including a quantitative assessment of student opinion, peer reviews, input from the department Chair and/or members of the department PAC/P&T and where appropriate, assessment by other knowledgeable persons. Accompanying the quantitative assessment will be an explanation of the survey instrument and scoring scheme. A summary analysis clearly indicating how the candidate's scores rank relative to the rest of the faculty in the department must be included.

Evaluations must also consider the faculty member's activity in advising students, in supervising graduate students' theses or dissertations (indicating whether chairing such committees or as a member), and in other instructionally related activities.

The candidate may contribute information that he/she considers relevant to evaluating his/hers effectiveness as university instructor. A statement on the candidate's teaching effectiveness philosophy could be included as part of the one page self-assessment. Supporting materials placed in the addenda will include the following items:

- A. sample syllabi and other relevant pedagogical materials of courses taught (indicate if a new course initiated by the candidate)
- B. teaching evaluation forms and the scale of values used on the forms.

6.4 Annual Evaluations

6.4.1. Include all copies of the annual Performance Evaluation Forms, (http://www.unt.edu/vpaa_fy0405_fhb/Forms/faculty_annual_update.doc).

6.4.2. Include, in reverse chronological order, copies of each of the pertinent annual written evaluations the faculty member has received from the department Personnel Affairs Committee, and/or the department Promotion and Tenure Committee, and the department Chair since the last personnel decision. For faculty members seeking tenure the evaluations must include the Recommendation for Probationary Faculty Form (see http://www.unt.edu/vpaa_fy0405_fhb/Forms/recom_probationary_faculty.doc).

6.4.3. Include written communications relative to promotion and/or tenure (such as letters from the Dean).

6.5 External Evaluations

Of critical importance is the initiation of an external review process, which involves the identification of qualified referees and the solicitation of their external review letters. Candidates will provide the department chair with the names of potential external reviewers. Once the candidate supplied his suggestions for external reviewers, he/she should provide the department chair the same updated resume that will be used in the dossier, a selected set of reprints (could be a subset chosen by the candidate of those accompanying the dossier) and any other documents that allow the external reviewers to pass judgment on his/her publications, research and external service qualifications. This timeframe must be followed to ensure that the external letters are available and that the dossier is complete when the department chair and department P&T begin reviewing the candidacy.

At least three (five for promotion and/or tenure to the Professor rank) letters of external evaluation must be submitted by persons in the candidate's area of expertise. It is recommended that the number of external letters requested be five and seven for Associate Professor and Professor, respectively, to save time if some external reviewers will not answer on time. This number will be a choice for the candidate. In submitting these letters in the dossier, departments must adhere to the following guidelines:

6.5.1. The external evaluators will be chosen in the following manner.

1. The candidate will submit to the department Chair a maximum of five names (seven names for promotion and/or tenure in the professor rank) and addresses of individuals who he/she believes are professionally capable of evaluating his/her professional achievements. The names must not include graduate school colleagues, former professors, co-authors, close friends, or former colleagues. A minority of letters may be solicited from the above persons in exceptional circumstances. In such situations, the Chair, in consultation with the candidate and the appropriate department Promotion and Tenure Committee, must decide if extraordinary circumstances exist to warrant their use. Documentation should be provided to justify the exceptional circumstances. In some cases, the candidate may also supply a list of names of individuals who he/she believes would not be able to serve as objective external reviewers.
2. The external reviewers providing letters must be selected from tenured faculty or administrators at institutions with programs at least comparable to those at the University of North Texas; the external reviewers must have the highest possible standing and ranks, but at least the rank for which the faculty member is being evaluated.
3. Members of the department Promotion and Tenure Committee will similarly assemble and submit to the Chair a list of maximum five persons (seven names for promotion and/or tenure at the professor rank) so qualified and with the same restrictions as noted in paragraph 1 above. In cases where there are distinct and appropriate disciplinary sub-fields, it is recommended that the committee solicit such names from department faculty of that sub-field.
4. The department Chair also submits similarly a list of maximum five names of possible reviewers. The department Chair in concert with the department Promotion and Tenure Committee will select a minimum of five (three for Assistant to Associate rank and tenure) referees from these lists, without revealing those names to the candidate before completion of the process. Consideration will be given to selecting at least one external reviewer from each of the lists provided.

6.5.2. Every letter received from an external reviewer must be sent forward with the candidate's file.

6.5.3. The department Chair will write the external referees. In selecting the external referees, the department Chair and the Promotion and Tenure Committee should attempt to ensure that the reviewers meet the criteria have been stated in the faculty handbook.

- 6.5.4. Outside reviewers will receive the candidate's complete vita and relevant supporting material, e.g., selected offprint by the candidate, and copy of the UNT department's criteria for promotion and/or tenure.
- 6.5.5. The external review letters must address the candidate's record as a scholar, the extent his/her scholarly/creative record constitutes a significant contribution to the discipline, and his or her potential for sustained productivity. The reviewers will also address the question of whether the reviewer thinks the candidate should be promoted based on the UNT department's criteria for promotion and/or tenure.
- 6.5.6. Letters of external review will state the reviewer's knowledge of, or relationship to, the candidate. This information will be requested to be part of the letter when arrangements are made for the external reviews. External reviewers will also provide a short copy of their vita with their evaluation letter.
- 6.5.7. Upon receipt of the letters of evaluation, the department Chair shall submit all of them to the department Promotion and Tenure Committee for use in their deliberations. The committee will consider and include these letters by their evaluation which is sent back to the Chair with letters.

6.6. Recommendation of Department

- 6.6.1. The department Promotion and Tenure Committee is responsible for preparing an overall departmental assessment of the candidate being considered for promotion and/or tenure. The committee document shall focus on appraising the candidate's contributions and furnishing insights for those whose disciplines specially are not the same as that of the candidate. The committee shall evaluate scholarly and creative materials, including work in progress, carefully reading relevant scholarly publications. The committee shall also include a history of the candidate's evaluations within the department: while systems for annual peer evaluations vary, as an example, it would be appropriate to include charts, graphs, or tables indicating how this individual has been rated as a teacher, as a scholar, and as a contributor to departmental and University life (service), as well as any overall rating comparing this individual with colleagues.
- 6.6.2. The recommendation of the department Promotion and Tenure Committee shall include a narrative statement. The numerical vote of the P&T must also be presented along with any minority reports from the committee.
- 6.6.3. The departmental Chair will provide his/her own independent evaluation of the candidate's dossier. **This letter is extremely important and should bring into focus the most important aspects of the case presented and the factors supporting the Chair's recommendation.**
 - 1. The Chair will address and evaluate achievements in the three traditional areas of teaching, publications and research, and service.
 - The Chair will indicate what deficiencies, if any, were noted in previous annual evaluations, what counseling took place, and how these deficiencies have or have not been corrected;
 - In tenure cases, the Chair will state the extent to which that, in the normal course of appointments (a six-year probationary appointment at the rank of Assistant Professor), counseling of the candidate took place yearly (annual Recommendation for Probationary Faculty forms) and with special emphasis in the third year regarding deficiencies, and what would be expected of the candidate in order to achieve tenure. In the case of appointments in shorter periods, reference must also be made to annual counseling sessions (Annual Recommendation for Probationary Faculty Forms).
 - In promotion cases, the Chair shall emphasis on evidence of continuing productive performance during the professional career of the candidate. A review of accumulated summary of annual peer review and student evaluations must be presented.

2. The Chair will explain the relative weighting which he/she assigns to these three areas. The weighing factor for the three areas should be uniform for all members of a department. Decisions about weighting should be consistent with **Section II, F** of the *Faculty Handbook* and should be made at the beginning of an evaluation period, not ex post facto.
 3. If there is an unusual gap in performance in one or more of these areas, such as a sustained period of low teaching evaluations or a long period in which professional achievement has not been demonstrated, the Chair will:
 - explain the gap; and
 - explain why he or she believes that the candidate can be reasonably expected to improve his/her performance should promotion be granted.
 4. The Chair will consider in his/her letter the vote of the Promotion and Tenure Committee.
 5. If there is a difference of opinion between the Chair and the Promotion and Tenure Committee evaluation of the candidate's dossier, the Chair will address in his/her letter what attempts were made to resolve the differences. This discussion will occur prior to any submission of material to the Office of the Dean.
 6. Should unresolved differences remain between the Chair and the department Promotion and Tenure Committee, those differences will be reported with appropriate explanation in the Chair's letter.
- 6.6.4. As soon as the departmental recommendation has been put in final form for transmittal to the Dean but at least ten days before it transmitted to the Dean, the departmental Chair shall notify in writing the faculty members concerned as to the departmental recommendation. Those adversely recommended shall be advised of the procedure for appeal to the departmental Chair and/or departmental Promotion and Tenure Committee. Notification to the candidate, as mentioned before, shall be not be less than ten (10) days prior to the date of transmittal to the Dean, in order that departmental hearings may be arranged if desired. Summary reports of such hearings shall be included with the report to the Dean (Policy Manual 15.1.1).
- 6.6.5. In cases involving tenure recommendations, reference must be made to the following assurance statement by the department Promotion and Tenure Committee and the department Chair.

The tenure recommendations must include the assurance, so far as can be determined, that the individual practices professional integrity; that he or she adheres to high standards of professional ethics; that he or she understands the nature of membership in a community of scholars and has the ability and desire to work as a member of a group while retaining all rights of individual expression; and that he or she feels a sense of responsibility for the well-being of the University of North Texas and a commitment to work for the accomplishment of its goals.

7. NOTICE TO FACULTY MEMBERS/FACULTY RIGHTS

In order to ensure the procedural rights of the candidate, the department Chair will provide a copy of these guidelines to the candidate and to all appropriate departmental committees as soon as a determination has been made that the faculty member is to be considered for promotion and/or tenure. In no case shall this occur later than one week after the start of the fall semester during which the candidate is applying. Further, on request of the candidate, the Chair will supply the names of the outside reviewers to the candidate, once all letters have been received and forwarded to the Dean.