

# Promotion, Tenure, and Annual Review Guidelines

## Department of Statistics, Texas A&M University

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### **1 Statement of Goals**

The Department of Statistics, together with the other departments of the University, is charged by the Regents and the University Administration with the task of achieving academic excellence in all of its programs. The criteria for promotion, tenure and annual review in the department are based upon the normal standards of academic excellence recognized in major Universities throughout the United States. These include demonstrated excellence in teaching, scholarly activities, and service.

### **2 Personnel and Tenure Committee**

The Department of Statistics has a Personnel and Tenure Committee which makes recommendations to the Department Head regarding granting of tenure or promotion in rank of departmental faculty members. The committee also makes recommendations on appropriate ranks for visiting faculty, on joint appointments, on the granting of Emeritus status, and on appointments to Distinguished Professor. Details of the structure and methods of operation of the Personnel and Tenure Committee are included in the final section of these guidelines.

### **3 Mechanism of Promotion and Tenure Recommendations**

Each year the Personnel and Tenure Committee conducts an annual internal review of all assistant and associate professors. Evaluation of a candidate's scholarly achievements is carried out by the Personnel and Tenure Committee based on information supplied by the candidate. The committee's evaluation of the assistant and associate professors is reported to the Department Head prior to April 1 for use in the annual faculty reviews. Each year a faculty meeting will be held at an appropriate time during the spring semester to discuss candidates for early promotion. The Department Head may nominate an individual whom he/she deems worthy of promotion. An individual may nominate him/herself for promotion, but is urged to consult with the Department Head before doing so. Once a nomination is made the P&T Committee selects a suitable group of referees to provide letters of recommendation about promotion and tenure for that faculty member. The faculty member may also submit a list of names of external referees, and the referees will be chosen from both the candidate's list and the committee's list. The faculty member/candidate may also submit a do-not-call list, from which no names will be selected. The Dean of Faculties guidelines stipulate that at least three letters from outside reviewers be included in the dossier for review. Based on these letters and available internal information, the committee makes a written recommendation based on teaching, research, and service, either recommending the case move forward, or explaining concerns about the case. This report along with the committee's vote is given to the Department Head.

Apart from cases where the department is countering an outside offer, any case for promotion must be initiated before May 1.

For candidates for promotion to Associate Professor with tenure, the committee's recommendations and the candidate's promotion and tenure file are made available by the Department Head to all tenured members of the Department. After allowing time to review the file, a faculty meeting is held to discuss the candidate's case and then all eligible faculty will vote by secret ballot for or against the promotion and tenure. The results of this vote are reported to the Department Head. For candidates for promotion to Full Professor, the recommendations and files are made available by the Department Head to the Full Professors who then vote by secret ballot for or against the promotion. Again the results of this vote are reported to the Department Head. The Department Head will provide the voting faculty a general indication of the results of the vote. The Department Head then makes a recommendation to the Dean of the College of Science, including the vote of the committee and the faculty.

#### **4 Mechanism of Annual Review**

Each year the Department of Statistics, in accordance with the University Statement on Academic Freedom, Responsibility, Tenure, and Promotion (SAFRT), will carry out an annual review of all faculty in the ranks of Lecturer, Senior Lecturer, Instructor, Assistant Professor, Associate Professor, and Professor. The review will follow the basic form of that contained in the SAFRT with the following clarifications:

1. The criteria to be used in evaluating faculty will be those listed in Section 5 below and any other criteria agreed upon by the faculty member and the Department Head.
2. The annual review will take place in the Spring so that it can be used in i) creating the department's annual report, ii) department planning and iii) determining merit raises and candidates for promotion or promotion and tenure.
3. By February 1<sup>st</sup>, each faculty member should submit a written report to the Department Head. The report should consist of three parts:
  - (a) A list of their activities over the past year and how these activities correspond to the indicators of excellence and effectiveness listed in Section 6.
  - (b) A list of courses the faculty member would like to teach during the next year as well as requests for desired service duties.
  - (c) A list of any activities the faculty member may have planned for the next year that could affect the department's planning.
4. By April 15 the Department Head will write a report to each faculty member. This report will contain:
  - (a) Teaching and service duties for the next year as well as comments on the faculty member's plans.
  - (b) An overall evaluation of the faculty member's activities for the previous year. This evaluation will be based on ratings in each of the areas of teaching, research, and service, and will take into account any discussions from previous annual reviews.
5. Shortly after preparation of the Department Head's report, personal meetings between faculty members and the Department Head can be held. Meetings with faculty below the rank of associate professor are required. Meetings with associate and full professors need only be held if either the Department Head or faculty member requests such a meeting.

6. If a faculty member wishes to disagree with anything contained in the Department Head's report, he or she may append a written comment to the report.
7. It is imperative that academic freedom and collegiality be preserved during the annual review process.

## **5 Tenure, Promotion and Annual Review Evaluation**

The evaluation of faculty for tenure, promotion and annual review will be based on accomplishments in each of the three major categories. Excellence in performance is of primary importance; that is, the quality, significance and impact of accomplishments are of much greater importance than their numbers. Evaluations of research, teaching-learning, and engagement will incorporate, as appropriate, interdisciplinary/multidisciplinary collaboration, work that enhances diversity, and international activities.

The judgments of professionals in the faculty member's field provide the best and most reliable basis for making sound decisions about tenure and promotion. Consequently, the level of accomplishment and potential relative to disciplinary norms and standards as judged by peer review are central to the tenure and promotion process. Accomplishments that are not subject to peer review generally will not be a major consideration in tenure and promotion evaluations.

Exceptions to the normal requirements for tenure and promotion may sometimes be warranted. Examples would include (a) gifted and productive teachers who are abreast of their field, but who have not contributed extensively to the development of new knowledge, (b) exceptionally outstanding researchers whose teaching is good, (c) faculty whose service to the University is distinctive and outstanding, with good teaching and research.

## **6 Criteria for Promotion, Tenure and Annual Review**

### **6.1 Categories of Performance**

#### **6.1.1 Teaching**

This category includes, among other things, classroom instruction; development of new courses and teaching methods; publication of innovative pedagogical approaches or instructional materials, including textbooks; and supervision of graduate students in research.

#### **6.1.2 Scholarly Activities**

This category will normally involve original scientific research and publication of the results of such research. In all cases it consists of creation and dissemination of new knowledge or other creative activities.

#### **6.1.3 Service**

This includes service to the institution—to students, colleagues, department, college, and the University as well as service beyond the campus including service to professional societies, research organizations, governmental agencies, the local community, and the public at large.

## 6.2 Levels of Performance

The following factors may be used to judge the level of performance of faculty in each category.

### 6.2.1 Teaching

- *Indicators of Excellence:*

- Selection for a University, college, or professional society outstanding teacher award
- Evidence of courses taught at a rigorous and challenging level
- Publication of widely adopted or acclaimed instructional materials
- Outstanding teaching performance as evidenced by, e.g., outstanding teaching evaluations or outstanding direction of graduate student research.
- Development of innovative pedagogical methods and materials
- Development of new courses or major revision of existing courses
- Extraordinary service on graduate student advisory committees
- Publication in refereed education journals

- *Indicators of Effectiveness:*

- Direction of graduate student thesis or dissertation research
- Member of graduate student advisory committees
- Evidence of high quality in class preparation, interaction, and accomplishments
- Coordination of multisection courses
- Service as departmental undergraduate or graduate advisor
- Significant self-development activities leading to enhanced teaching effectiveness

### 6.2.2 Scholarly Activities

- *Indicators of Excellence:*

- Publications in leading refereed journals
- Receiving major fellowship or research award
- Frequent citation of publications
- Publication of scholarly books
- Editor or member of editorial board of a major journal
- Member of review panel for national research organization
- Presentation of invited papers at international and national meetings
- Receiving significant external peer-reviewed funding for research
- Publications and funding resulting from collaborative efforts with researchers in other fields
- An established reputation as verified through review by leading experts in the field

- *Indicators of Effectiveness:*

- Publications in refereed journals
- Publication of a chapter in a scholarly book

- Presentation of papers at national meetings
- Publications in proceeding of conferences and professional meetings
- Significant self-development activities, such as a Faculty Development Leave, that lead to increased research and publication effectiveness
- Publications and funding resulting from collaborative efforts with researchers in other fields

### **6.2.3 Service**

- *Indicators of Excellence:*

- Officer in a national professional organization
- Service on a major governmental commission, task force, or board
- Administrative leadership role at Texas A&M University
- Editor or member of editorial board of a major journal
- Member of review panel for national research organization
- Program chair or similar chair at a national meeting
- Officer in Faculty Senate
- Chair of major standing or ad hoc Texas A&M University committee
- Committee chair of national professional organization
- Outstanding performance in some of the positions outlined as indicator of effectiveness

- *Indicators of Effectiveness:*

- Officer in regional or state professional organization
- Service as a reviewer for major refereed journals or as an ad hoc reviewer for national research organizations
- Program or committee chair for regional or state professional meeting
- Service as an active member of the Faculty Senate
- Service on University, college, and departmental committees and task forces
- Service as consultant to business or governmental agencies
- Advisor to student organizations
- Administrative roles within the department
- Directing the Department's consulting, continuing education, and outreach to industry efforts

## **6.3 Requirements for Tenure**

### **6.3.1 Teaching**

The department is a major teaching department in the University, providing instruction to both non-majors and majors in a variety of undergraduate and graduate courses. The teaching activities include both formal classroom courses and research experience for undergraduate and graduate students. Candidates for promotion and tenure will normally be expected to have demonstrated their ability to be successful teachers in the full range of departmental teaching

activities. Evaluation of teaching performance is based on information obtained from the following sources.

1. Teaching evaluation forms prepared by students
2. Individual student comments
3. Observation by tenured faculty members
4. Evaluations provided by the coordinators of multi-section courses
5. Annual review of performance by the Department Head

Successful candidates for tenure will be expected to show performance levels that include many indicators of effectiveness and excellence in teaching.

### **6.3.2 Scholarly Activities**

The faculty of a major university must be leaders in developing new areas of knowledge through scholarly activity. Such activity in the Department of Statistics will normally involve original scientific research. Demonstrated excellence in such pursuits is expected for candidates for promotion and tenure. A major method for evaluation of such excellence will involve the review of the candidate's accomplishments by external experts in the field.

Successful candidates for tenure will be expected to show performance levels that include many indicators of effectiveness and excellence in scholarly activity.

### **6.3.3 Service**

Candidates for tenure should have demonstrated a clear willingness to serve the department, the University, and the scientific community through active participation in committee work and professional activities.

Successful candidates for tenure will be expected to show performance levels that include indicators of effectiveness and/or of excellence in service.

## **6.4 Requirements for Promotion to Associate Professor**

Evaluation for promotion from Assistant Professor to Associate Professor and for tenure will be made concurrently and one will not be awarded without the other.

## **6.5 Requirements for Promotion to a Professor**

The candidate should exhibit a continued development of the attributes required for promotion to associate professor and the granting of tenure. A consistent standard of excellence in teaching, recognized leadership in research, and a significant record of service will normally be required for promotion to professor.

## **6.6 Requirements for Satisfactory Annual Review of Tenured Faculty**

For purposes of the Texas A&M System Policy on Post-Tenure Review, a tenured faculty member must meet both of the following criteria in order to receive a rating of satisfactory on their annual review from the department head:

1. Perform his or her teaching activities satisfactorily as measured by teaching evaluations, course materials, and other criteria.
2. Have at least one of the indicators of excellence and/or several of the indicators of effectiveness (as listed in Section 6.2 of this document) in teaching, scholarly activities, or service.

Before giving a rating of unsatisfactory, the department head must obtain in writing the unanimous concurrence of the Full Professors on the Personnel and Tenure Committee. If the faculty member being reviewed is a member of the committee, the written concurrence must be obtained from the other members of the committee.

## **7 Joint Appointments**

Joint appointments to the Department of Statistics faculty for an individual with a primary appointment elsewhere in the University are considered temporary with no privilege of tenure.

## **8 Visiting Appointments**

Visiting Appointments may be made at the discretion of the Department, renewable annually. Such positions are not tenure accruing.

## **9 Emeritus Appointments**

Every individual who, at the time of retirement, holds a tenured appointment in the Department of Statistics and has served the University at least ten years will be considered for emeritus status by the Department unless the faculty member requests in writing that he/she not be so considered. Individuals who are non-tenured or who have served less than ten years may also be considered.

The candidate will submit a comprehensive vita to the Personnel and Tenure Committee. The committee will provide access to the vita for the tenured faculty for ten working days. The department tenured faculty will meet and vote on the case. The recommendation and vote of the faculty along with the candidate's vita will be forwarded to the department head.

## **10 Structure and Operation of Personnel and Tenure Committee**

### **10.1 Structure and Membership**

The Committee consists of three faculty members appointed by the Department Head, three Full Professors elected by a majority of the entire tenure-track faculty, and one Associate Professor elected by the Assistant and Associate Professors. The Associate Professors will only participate

in activities relating to Assistant Professors. Elections are held in the first week of November. The committee chairman is appointed by the Department Head. Faculty who have served three consecutive years will be removed from the ballot for the following two years.

## **10.2 Responsibilities**

The Statistics Personnel and Tenure Committee provides the Department Head with advice and recommendations on the progress of Assistant Professors toward tenure, as well as the granting of tenure, promotions, and appropriate rank for statistics faculty. The Committee also makes recommendations on joint appointments, visiting faculty, and emeritus status.

## **10.3 Mode of Operations**

The Personnel and Tenure Committee meets as required throughout the year. It reviews the files of all proposed tenure-track appointments and advises the Department Head on the solicitation of evaluations by off-campus professionals and other needed documentation of teaching, research, and University and public service. Records are kept of the final disposition of committee recommendations.

## **10.4 Operating Procedures of Personnel and Tenure Committee**

### **10.4.1 Tenure**

1. Before the end of the fifth year of the non-tenure appointment period, the candidate is requested to supply all information relevant to the tenure decision within the suggested format for his/her departmental file: (1) Eight copies of his/her curriculum vitae which should include a record of publications, research, presentations, seminars, research grants, graduate students, postdoctoral researchers, visiting scholars, teaching and service. (2) Eight complete sets of his/her most recent and important publications (up to six reprints/preprints or original contributions to the refereed literature). (3) A list of six outside referees who are qualified to evaluate the candidate's research; these referees should be distinguished, active research leaders in the candidates field at U. S. universities but not previous mentors or supervisors.
2. Letters are solicited from at least three of the suggested referees, plus others selected by the committee. The faculty member/candidate may also submit a do-not-call list, from which no names will be selected. The letters of recommendation will be treated in accordance with legal decisions concerning confidentiality.
3. A committee member is responsible for assembling a complete file that contains all relevant information about a candidate's research, teaching, and service performance. Relevant information may vary with the individual, but can include the candidate's (i) departmental vitae, (ii) past annual reviews by the Department Head, (iii) solicited and unsolicited evaluations from internal and external referees, (iv) evaluation of teaching and performance from student surveys and faculty comments, including ones derived from classroom observation, (v) material published or submitted for publication by the candidate, and (vi)

other material considered relevant and reliable by the committee. If desired, the candidate may submit other materials to the committee or discuss procedures with the Department Head. The committee does not meet with faculty members under evaluation.

4. The complete file is circulated to the committee for their individual review prior to consideration by the committee. A recommendation is prepared, discussed, and modified until a general consensus on wording is reached. A vote is then taken by secret ballot and the resulting recommendation is transmitted to the Department Head by the committee chairman. The Department Head does not participate in the committee's evaluation of faculty.

#### **10.4.2 Promotion to Associate Professor**

Promotion to associate professor normally is considered with the tenure decision, and one will not be awarded without the other.

#### **10.4.3 Recognition of AAUP Tenure Probation Period**

The timing of the recommendations of the committee is set so that the Department Head has them before October 1 of the sixth year of the candidate's probationary period. After final action is taken by the Administration (spring of the sixth year), the candidate is notified so that the decision is known before the beginning of the seventh year. Thus, an evaluation must begin in the Spring of a candidate's fifth year of service.

#### **10.4.4 Promotion to Full Professor**

Eligible associate professors are reviewed annually. Recommendations for promotion to Professor are made on the basis of criteria set forth in the Department of Statistics Promotion and Tenure guidelines. The first complete evaluation for promotion to full professor by Personnel and Tenure Committee will be made no later than the year after a faculty member has served in the associate professor rank for four years. P&T will make a recommendation on whether the process for promotion should go forward. Each year the associate professors are sent a memorandum that requests that their files be updated. When a candidate is to be put forward for promotion, the file is reviewed and outside letters are solicited to evaluate the quality of the candidate's research. The details for the review procedure, evaluation, and vote are the same as for the tenure recommendation procedure. The deadline for a recommendation for a regularized promotion usually occurs in mid-October in any given year.

#### **10.4.5 Tenure Recommendation for New Faculty Hired at the Associate and Full Professor Level**

The committee advises the Department Head on all appointments which involve the granting of tenure. The committee participates in an evaluation and recommendation procedure that is equivalent to that outlined for granting of tenure.