



TEXAS TECH UNIVERSITY  
HEALTH SCIENCES CENTER  
School of Pharmacy™

OPERATING POLICY AND PROCEDURE

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**SOP OP: 60.P.13 PROMOTION AND/OR TENURE DOSSIER ROUTING GUIDELINES**

**PURPOSE:** To establish promotion and/or tenure dossier routing guidelines to ensure and protect the integrity of the document as submitted by petitioning faculty member.

**REVIEW:** This SOP OP will be reviewed bi-annually by the Department Chairs. Recommendations, if any, are to be forwarded to the Dean.

BACKGROUND

The TTU Board of Regents and the TTUHSC publish governing policies which provide guidelines for handling the promotion and tenure review. These policies define tenure and promotion decision processes, review, and approval authorities.

The policies are currently located on-line at:

Texas Tech University System Board of Regents Rules, Chapter 4 – Faculty:  
<http://www.depts.ttu.edu/oppol/>

Texas Tech University Health Sciences Center Operating Policies & Procedures, 60.01 Tenure and Promotion: <http://www.ttuhscc.edu/HSC/OP/OP60/op6001.pdf>

Supplemental guidance is needed to address recordkeeping and management of faculty dossiers within the School of Pharmacy.

POLICY

All documents and deliberations of the promotion and tenure process shall remain confidential.

The SOP shall utilize a promotion and/or tenure dossier checklist to ensure the documents are properly handled and not available to anyone other than those who are participants in the review process.

PROCEDURE

1. All documents shall be secured at all times other than when an authorized faculty member or staff member is personally reviewing the document.
2. If a reviewer wishes to print a copy of the dossier, it is permissible, but that individual is personally responsible to ensure the paper copy is secured at all times and is destroyed at the end of the review.
3. Attachment A shall be submitted as part of a dossier. The checklist provides directive guidance including defined responsibilities for the petitioning faculty, chairs, and dean.

**APPROVAL:**

  
\_\_\_\_\_  
Dean, TTUHSC School of Pharmacy

9-18-09  
Date

### Promotion and/or Tenure Dossier Checklist

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Name of Petitioner

**Directions:** Place this form as the first page of the dossier, in front of the tab for the Dean's Letter (Tab 1); on the original copy only. Initial and date each item as completed. Note: the person responsible is identified at the beginning of each checklist item.

- | <u>Initials</u> | <u>Date:</u> | <u>Checklist Items:</u>   |
|-----------------|--------------|---|
| _____           | _____        | 1. <u>Petitioner:</u> Prepare <u>original</u> dossier according to departmental guidelines. Include this checklist in front of Tab 1 – Reserved for the Dean's Letter of Recommendation. Note: No documents will be returned to the petitioner; therefore, make yourself a copy of all documents submitted.   |
| _____           | _____        | 2. <u>Petitioner:</u> Prepare 1 (one) photocopy of the original dossier and 14 (fourteen) electronic copies on a USB 2.0 drive. Lock the USB drive files as READ ONLY.  |
| _____           | _____        | 3. <u>Petitioner:</u> Label and number each electronic USB drive sequentially from #1 to #14 with your name and sign with your initials certifying that the information provided is your complete dossier.  |
| _____           | _____        | 4. <u>Petitioner:</u> Sign the cover page of the original and photocopy with your original signature (not photocopy of signature), <u>certifying the copy is a complete copy of the original</u> .  |
| _____           | _____        | 5. <u>Petitioner:</u> Personally submit, by hand or certified mail, the photocopy of the original to the Dean's office in Amarillo. Ask the staff member in the Dean's office to sign and date this checklist in the photocopied document.<br>Photocopy<br>Received By: _____ Date: _____   |
| _____           | _____        | 6. <u>Petitioner:</u> Personally submit, by hand or certified mail, the original document and 14 (fourteen) labeled electronic USB drives to your department chair. Have the staff member in department office sign and date this checklist in the original document.<br>Original and 14 (fourteen) USB drives labeled with sequential numbers and name. Received By: _____ Date: _____<br><u>Dept Chair:</u> Retain the original dossier and add scan files of the original documents as you receive them, initial and date the face of each original document before you place it in the original dossier.<br><u>Dept Chair:</u> Mail or provide USB drives to external reviewers and, as appropriate, regional deans' offices for review by departmental committee members:<br>A. Provide USB drives #1 - #4 to members of the department's committee reviews. Erase the files, or be sure that the regional deans erase the files after the department review is completed. USB drives can then be returned to the department after the files are erased for use next year. |

SOP OP 60.P.13 Promotion and/or Tenure Dossier Routing Guidelines  
ATTACHMENT A

- B. Mail USB drives #5 - #10 to each external peer reviewer.
- USB #5 to: \_\_\_\_\_ date mailed: \_\_\_\_\_  
USB #6 to: \_\_\_\_\_ date mailed: \_\_\_\_\_  
USB #7 to: \_\_\_\_\_ date mailed: \_\_\_\_\_  
USB #8 to: \_\_\_\_\_ date mailed: \_\_\_\_\_  
USB #9 to: \_\_\_\_\_ date mailed: \_\_\_\_\_  
USB #10 to: \_\_\_\_\_ date mailed: \_\_\_\_\_

Ask external reviewers to erase the files when their letter is mailed. If any of the copies are not mailed to reviewers, the chair shall erase the extra copies.

- C. Send original dossier with all documents from department review and chair's recommendation to the Dean's Office. Have the staff member in the Dean's office sign and date this checklist in the original document.

Received By: \_\_\_\_\_ Date: \_\_\_\_\_

- D. USB drives #11 - #14 – Send to the Chair of the Faculty Affairs Committee for school-wide committee review. Include with the files the scan of the documents from the department committee's ballots, chair's recommendations, external peer reviewer recommendations, and any additional documents.

Received by FA Committee Chair: \_\_\_\_\_ Date: \_\_\_\_\_

- \_\_\_\_\_ 7. Faculty Affairs Committee Chair: The FAC Chair shall ensure one complete copy of the dossier and departmental files are recorded on the USB drive. The FAC Chair ensures that each FAC member has access to one of the USB drives.
- \_\_\_\_\_ 8. Faculty Affairs Committee Chair: Deliver the original of all documents and signed ballots to the Dean's office. Erase the USB drives and return them to the respective department office.
- \_\_\_\_\_ 9. Dean: Add school-wide committee's ballot and vote on summary document to original and photocopy #1.
- \_\_\_\_\_ 10. Dean: Add Dean's recommendation letter to original dossier.
- \_\_\_\_\_ 11. Dean: Submit original dossier to President and retain Copy #1 with photocopies of all documents included in the original dossier.  
Received By President's Office: \_\_\_\_\_ Date: \_\_\_\_\_
- \_\_\_\_\_ 12. President: Sign summary document.

PLEASE RETURN ORIGINAL DOSSIER TO DEAN'S OFFICE WITH ADDED DOCUMENTS.

- \_\_\_\_\_ 13. Dean: Replace photocopy #1 in official SOP file with original dossier. Remove all added documents (ballots, recommendation letters, etc.) and put them in a separate file, appropriately labeled "NOT TO BE PROVIDED TO THE PETITIONER." Destroy photocopy #1 and all copies of all included documents.