

# **Policies for Faculty Appointment, Evaluation, Promotion and Tenure**

## **Department of Civil and Environmental Engineering**

### 1. GENERAL POLICIES

This document establishes procedures and criteria for initial appointments of faculty, evaluation of career development of Assistant and Associate Professors, promotion and tenure of tenure track (TT) faculty, and promotion of continuing track (CT) and Research faculty in the Department of Civil and Environmental Engineering (herein called the Department). The procedures contained herein are designed to ensure fairness and govern the operation of the Departmental Promotion and Tenure Committee (herein called Departmental P&T Committee).

The Department will follow University of Delaware (UD) policies on promotion and tenure, as described in *Section 4.4 Promotion and Tenure* of the UD Faculty Handbook, and the College of Engineering Promotion and Tenure document.

### 2. DEPARTMENTAL P&T COMMITTEE MEMBERSHIP

Possible members of the Departmental P&T Committee include all voting faculty in the Department. Both TT and CT faculty are eligible to vote on promotion cases for CT faculty. Voting on promotion cases for TT candidates is limited to TT faculty. Research faculty do not have voting rights. Committee members are eligible to vote only if they participate in the departmental discussions prior to the vote. Faculty may also declare themselves ineligible for cause.

For evaluation of candidates for initial appointment at the rank of Associate Professor, the Departmental P&T Committee will consist of all Departmental faculty at the rank of Associate Professor or Professor except for the Chairperson of the Department. For evaluation of candidates for appointment at the rank of Professor, the Departmental P&T Committee will consist of all Departmental faculty at the rank of Professor except for the Chairperson of the Department. The Departmental P&T Committee will provide its recommendation to the faculty of the Department.

For evaluation of career development of Assistant Professors, the Departmental P&T Committee will consist of all Departmental faculty at the rank of Associate Professor or Professor except for the Chairperson of the Department.

For evaluation of TT, CT or Research candidates for promotion to the rank of Associate Professor, or for tenure as an Associate Professor for TT candidates, the Departmental P&T Committee will consist of all Departmental faculty at the rank of Associate Professor or Professor except those excluded by the *College of Engineering Promotion and Tenure Document* or by *Section 4.4 Promotion and Tenure* of the UD Faculty Handbook.

For evaluation of career development of Associate Professors, the Departmental P&T Committee will consist of all Departmental faculty at the rank of Professor except for the Chairperson of the Department.

For evaluation of TT, CT or Research candidates for promotion to the rank of Professor, the Departmental P&T Committee will consist of all Departmental faculty at the rank of Professor except those excluded by the College Policies for Promotion and Tenure of the College of Engineering or the University Guidelines for Faculty Promotion and Tenure.

At each level of evaluation, the Departmental P&T Committee will provide its recommendation to the Chairperson of the Department. A copy of the recommendation is provided to the faculty member being reviewed except for evaluations for initial appointments.

Meetings of the Departmental P&T Committee are closed to all persons not members of the Departmental P&T Committee. The Chairperson of the Departmental P&T Committee, who is selected from the Faculty of the Department at the rank of Professor, is nominated by the Chairperson of the Department and approved by secret ballot of the Faculty of the Department prior to the first faculty meeting of the academic year. If the nominee is not approved by a majority of the faculty, a faculty meeting will be held within three days for the purpose of permitting additional nominations to be made by the faculty. Voting will be by secret ballot. The Chairperson of the Department is not a member of the committee and may not cast a ballot in the selection of the Chairperson of the Departmental P&T Committee.

### 3. CRITERIA FOR APPOINTMENT OR PROMOTION: TT FACULTY

#### A. Assistant Professor:

Candidates for Assistant Professor must hold a doctorate or terminal degree, and are expected to exhibit promise in the three areas of research, teaching and service.

#### B. Associate Professor:

Candidates for Associate Professor are required to demonstrate excellence in research and a proven commitment to high quality in teaching. The candidate must have initiated an independent, productive high quality research program, documented by rigorous peer review. Such productivity might be demonstrated in many ways, but would normally include publications in refereed journals of recognized high quality, receipt of research support from granting and contracting agencies respected by the engineering profession, and advisement of graduate research. For promotion, the dossier must include evaluations of the candidate's accomplishments in teaching; whenever possible such evaluations should cover the time span since the candidate's previous appointment. Meaningful service to the profession and university community is expected of all candidates.

#### C. Professor:

Candidates for Professor are required to demonstrate excellence in research by documenting a fully developed, highly productive research program. Demonstration of such a program would normally include a substantial record of publications in refereed journals of high quality and a sustained record of external funding from granting and contracting agencies that are highly respected by the engineering profession. Especially noteworthy are publications with M.S. and Ph.D. advisees. Authorship of a leading engineering text or reference work and awards of excellence are also manifestations of productivity. Continued growth as an educator is expected of the candidate for Professor. Service to the engineering profession and University at all levels will be considered as an important component in promotion to Professor, and cannot be neglected relative to teaching and research.

#### 4. CRITERIA FOR APPOINTMENT OR PROMOTION: CT FACULTY

##### A. Assistant Professor:

Candidates for Assistant Professor must hold a doctorate or terminal degree, and are expected to exhibit promise in the major area of assignment.

##### B. Associate Professor:

Candidates for Associate Professor are required to demonstrate excellence in the role (teaching, service or research) aligned with the preponderance of assigned workload, and high quality performance in other roles represented in their workloads. Faculty will be externally evaluated for promotions to Associate Professor. If the predominant role in the workload is teaching or service, appropriate evaluations must be external to the college. When scholarship is the predominant role in the workload, the external evaluations will be performed by individuals outside the University community, as with Tenure Track faculty appointments.

If the candidate's assigned workload includes a relatively minor assignment in scholarship/research or service, evaluation of the minor workload assignment shall be considered with due regard to the assigned percentage of the candidate's workload. A minor assignment of scholarship/research for a CT must be evaluated differently from a major workload assignment of scholarship/research for TT faculty. Scholarship could be considered on a much broader basis, and might include publication of papers or conference presentations exhibiting a focus on teaching rather than research.

##### C. Professor:

Candidates for promotion from Associate Professor to Professor must have accumulated a sustained record of accomplishment demonstrating excellence in the area aligned with the preponderance of their assigned workload.

#### 5. CRITERIA FOR APPOINTMENT OR PROMOTION: RESEARCH FACULTY

A. Assistant Professor:

Candidates for Assistant Professor are expected to exhibit promise in the area of research.

B. Associate Professor:

Candidates for Associate Professor are required to demonstrate excellence in research. The candidate must have initiated an independent, productive high quality research program, documented by rigorous peer review. Such productivity might be demonstrated in many ways, but would normally include publications in refereed journals of recognized high quality, receipt of research support from granting and contracting agencies respected by the engineering profession, and advisement of graduate research.

C. Professor:

Candidates for promotion from Associate Professor to Professor must have accumulated a sustained record of accomplishment and demonstrating excellence in scholarly achievement., documented by rigorous peer review.

6. PROCEDURES

6.1 The Candidate's responsibilities

It is each faculty member's responsibility to know all relevant Departmental, College, and University promotion criteria, policies, and practices. Candidates are referred to the UD Faculty Handbook, *Section 4.4.3: Candidate's Rights and Responsibilities*.

Procedures specific to TT, CT or Research candidates are given here in instances where they are specific to that designation.

6.1.1 ~~TT Faculty~~

The candidate initiates the promotion or tenure process by informing the Department Chair in writing, following the schedule set forth in *Section 4.4.10: Promotion Process Schedule* of the UD Faculty Handbook. Candidates applying for promotion to the rank of Associate and Full Professor shall supply a list of six suggested peer reviewers, including brief biographical statements for each reviewer and an indication of the extent and nature of the candidate's relationship with each suggested reviewer. Individuals who have collaborated closely with the candidate are generally not asked to serve as peer reviewers.

Candidates shall provide an evaluation package for the external reviewers' use.

Candidates shall provide a promotion dossier containing appropriate evidentiary material. Dossiers must be organized following the instructions in *Section 4.4.11 Promotion Dossiers* in the UD Faculty Handbook. The candidate provides the completed dossier to the Departmental P&T Committee by September 1st.

It is the candidate's responsibility to present the best case for promotion since the

candidate is most clearly involved in the outcome. It is extremely important that the dossier be well organized and carefully prepared because superfluous or confusing information may obscure more than it enhances one's qualifications and achievements. New evidence may be added to the dossier by the candidate at any time during the evaluation process.

Only the candidate has the right to withdraw the dossier from consideration at any time during the promotion process.

#### 6.1.1 TT Faculty

Suggested peer reviewers for TT candidates shall be from outside UD. Individuals who have collaborated closely with the candidate are generally not asked to serve as peer reviewers.

Evaluation packages for TT candidates shall consist of a full CV, a statement of research and teaching accomplishments, and up to 5 selected publications.

TT Candidates are responsible for providing biographical statements for all potential reviewers provided by the candidate and the Departmental P&T Committee.

#### 6.1.2 CT Faculty

The CT candidate's evaluation package for peer reviewers' use shall consist of a CV and a statement of accomplishments in areas represented in their workload.

#### 6.1.3 Research Faculty

Promotions for Research Faculty do not require formal review beyond the Departmental P&T Committee and Department Chairperson, pending approval from the Dean and Provost.

Candidates shall provide an evaluation package consisting of a CV, a statement of research accomplishments and plans, and selected publications. Promotion evaluations for Research Faculty do not require a Dossier following UD Faculty Handbook guidelines, but clear evidence of accomplishment consistent with the promotion criteria should be provided.

### 6.2 Departmental P&T Committee Responsibilities

The Departmental P&T Committee will determine six additional peer reviewers for inclusion in the candidate's list. The candidate is informed of all names on the complete list. The candidate has the opportunity to request exclusion of any of the recommended peer reviewers and must explain the rationale for the request when doing so. Such requests will normally be honored. In the event of exclusions, the Departmental P&T Committee may select additional reviewers in order to maintain the size of the potential reviewer pool, as needed.

After receiving the package for external review from the candidate, the Departmental P&T Committee will solicit letters of evaluation from a subset of the peer reviewer list. All reviews are confidential.

Each peer review letter is included in the Dossier, and must be accompanied by the

request letter, a curriculum vitae or biographical sketch describing the reviewer's credentials, and an indication of whether the reviewer was taken from the candidate's or committee's list.

The Departmental P&T Committee will meet as frequently as needed to thoroughly discuss the candidate's dossier. Voting for all recommendations will be by secret ballot, with provisions for voting for or against the recommendation and for abstention. The external reviews and the content of committee deliberations as well as verbal and written comments that are not used in the recommendation letter, shall be kept confidential within the Departmental P&T Committee.

The Departmental P&T Committee will prepare a letter of recommendation, addressed to the Department Chairperson, to be added to the candidate's dossier. The letter must indicate the numerical vote, describe the Committee's composition and explain the reasons for the Committee's recommendation. The letter must be signed by all voting Committee members. Minority opinions may be included in the letter or appended to it. The candidate is to receive a copy of the letter in full.

#### 6.2.1 TT Faculty

Peer reviewers will be asked to address research and scholarship and to comment on teaching and service. The peer reviewers will typically be asked to address the following:

- the extent and the nature of the reviewer's association with the candidate,
- the originality, quality and importance of the candidate's research and scholarship;
- the candidate's promise for further growth and significant contributions to their research area;
- the candidate's record of work compared with other top scholars at a similar career stage;

#### 6.2.2 CT Faculty

The Committee will solicit reviews from a subset of the peer reviewer list.

#### 6.2.3 Research faculty

The Departmental P&T Committee will meet to evaluate the candidate's suitability for promotion and submit a recommendation to the Department Chairperson.

### 6.3 Department Chairperson's Responsibilities

Upon receipt of the Departmental P&T Committee's recommendation, the Department Chairperson shall review the dossier and shall either endorse or recommend against the promotion in a written notification to the candidate and the Departmental P&T Committee. The Chairperson shall forward the dossier and recommendation to the Dean of the College of Engineering and to the College of Engineering Promotion and Tenure Committee.

### 6.3.1 CT Faculty

For CT candidates, the chairperson's letter should include a description of the candidate's workload distribution during the time in rank, and how that workload relates to the recommendation concerning promotion.

### 6.4 Candidate's Right to Appeal

The candidate has the right to appeal the decision of the Departmental P&T Committee or the Department Chairperson. The process for handling appeals is described in the *UD Faculty Handbook, Section 4.4.4*

## 7. EVIDENTIAL MATERIAL

Material serving as a basis for appropriate evaluation differs widely from one discipline to another. For evaluation for promotion in the Department of Civil and Environmental Engineering, the following criteria should be followed in developing the Dossier. TT candidates should include evidential materials in all of the categories listed below. CT and Research Faculty candidates should include evidential materials in the categories which are aligned with their workload.

### 7.1 Teaching

This section must include at least the following: chronological listing (by semester) of all courses (both scheduled and individual study) taught at the University, including class size; representative student evaluations, including a sample evaluation instrument; and a summary of thesis and dissertation advisement and any textbook publication or other course material development the candidate wishes to include. Such documentation should include reviews and adoption lists insofar as these are possible. If student evaluation letters were solicited then they should be included in this section.

### 7.2 Scholarship

This section must include: a list of publications, a list of all funded research grants and contracts including the portion of the grant that is applicable to the candidate, and a description of outside consulting efforts that bear upon research and professional development (rather than upon service). Reprints of selected publications are to be included in an appendix. The level of scholarly achievement demonstrated by the selected publications should be addressed. Types of evidence of scholarly achievement in the form of citation statistics or comparable quantitative evaluations may be included as appropriate. A descriptive evaluation is also possible, that indicates how the results of the research have contributed to the development of the field of investigation.

### 7.3 Service

This section must contain a listing of service activities within the Department, College, and University, as well as in the engineering profession and community. Especially significant activities (such as chairing University committees, organizing research conferences, and serving in an editorial capacity for a professional journal) should be described in detail.

## 8. SCHEDULE FOR PROMOTION AND TENURE PROCESS

The schedule for the promotion and tenure process follows guidelines stated in the UD Faculty Handbook (*Section 4.4.8 Promotion Process Schedule*). Dates given below are subject to changes appearing in future versions of the handbook.

30 April:

The candidate for promotion gives their Chairperson written notice of their intention to apply for promotion. The candidate provides a list of six potential peer reviewers, a curriculum vita or biographical statement describing each potential reviewer's credentials, and a statement of the relationship of each potential evaluator to the candidate.

21 May:

The Departmental P&T Committee provides the candidate with a list of six additional potential reviewers.

25 May:

Candidate informs Departmental P&T Committee if there are potential reviewers who may be non-suitable and provides written reasons.

1 June:

Candidate provides package for external evaluation to Departmental P&T Committee.

15 June:

Departmental P&T Committee completes process of soliciting external reviews.

1 September:

Candidate submits dossier to Departmental P&T Committee and Chairperson.

1 October:

Departmental P&T Committee provides recommendation to the Chairperson.

15 October:

Chairperson provides recommendation to the College Committee and the Dean.

## 9. REVISION

The Policies for Faculty Appointment, Evaluation, Promotion and Tenure of the Department of Civil and Environmental Engineering may be revised by a majority vote of the voting faculty of the Department. The proposed revisions must be provided to all voting faculty of the Department no less than two weeks prior to a vote. The vote will be by mail ballot.

The revised Policies for Faculty Appointment, Evaluation, Promotion and Tenure of the Department of Civil and Environmental Engineering become effective upon their approval by



the College of Engineering Committee on Promotion and Tenure and Dean, the University Committees on Promotion and Tenure, and the Provost.

TT faculty who are candidates for promotion and/or tenure during the probationary period prior to the granting of tenure may choose to be evaluated at their next promotion according to either the Policies document in effect at the time of their hiring, or the present approved document, as described in the UD Faculty Handbook (*Section 4.4.13 Changes in Unit Priorities*). Tenured faculty shall be reviewed under the Policies in force at the time of their application for promotion. CT faculty will be evaluated according to the present document as long as it remains the only document describing CT promotion policies.

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