

# Guidelines and Procedures for Promotion and/or Tenure

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## I. General Guiding Principles for Promotion

Faculty of the Department of Biological Sciences may be either tenure-track or continuing-track. Promotion of continuing-track faculty does not carry tenure. Promotion of all faculty requires demonstrated excellence in the faculty member's primary area of responsibility as determined by annual workload assignments. Tenure-track faculty must demonstrate excellence in scholarship regardless of the contribution of scholarship to assigned workload. High-quality performance in the other assigned area(s) is required of all faculty members. The apportionment of accomplishment among teaching, research, and service will vary with the individual, and the impact of administered workload must be considered when requesting external peer evaluations and when evaluating the balance among achievements in these areas. However, unsatisfactory performance in any of these three areas precludes promotion. Although singular achievements such as teaching awards and research grants may figure significantly in the evaluation process, continued and sustained high-quality performance must be evident along with a reasonable expectation that this level of performance will

continue. The following serve as general guidelines for documenting accomplishments in teaching, research, and service.

- A. **TEACHING:** Teaching includes not only effective communication of a body of knowledge in a particular course/laboratory, but can also be exemplified by directing undergraduate and graduate research, participating in colloquia, guest lecturing, and developing instructional materials (i.e., textbooks, laboratory manuals, laboratory exercises, computer software, videos for instruction, etc.). Teaching effectiveness should be documented for all courses and for each semester in which they are taught. Evidence of quality includes consistently positive student and peer evaluations. Additional evidence of quality in the category of instructional activities includes receipt of teaching awards, grants for improvement of instruction, peer reviews of teaching effectiveness, and innovations in methods and materials of instruction.
- B. **RESEARCH:** Research activities may be of an independent or collaborative nature. However, it is incumbent upon faculty to demonstrate scholarly productivity, independence, and the ability to direct a self-supporting research program. The candidate's research program must produce original research contributions that are published in refereed journals. Both quality and number of publications must be considered when addressing an individual's research productivity. Additional evidence in the category of research includes receiving grants or contracts, especially from competitive sources outside of the University; publishing unrefereed materials such as review articles, monographs, chapters in books or symposium proceedings; presenting papers/posters at national and/or international meetings; and presenting seminars at other institutions.
- C. **SERVICE:** Proper functioning of the department, college, and university depends upon effective service efforts by faculty. Service is a requirement for promotion and includes membership/participation on committees, roles in University governing bodies, and/or special activities not related to either teaching or research for which the individual is sought or volunteers. Additional service activities may include service to professional societies (i.e., organizing symposia or meetings, holding an elected office, etc.); membership in special state or national organizations that have a public service function; and consulting and/or reviewing scholarly materials such as research proposals, manuscripts, and books.
- D. **LETTERS OF EVALUATION:** The candidate's professional status in his/her discipline will be measured by letters of evaluation from external reviewers (see Section IV.C.4.h). External evaluations are required for promotion to all ranks. For all tenure-track faculty, external evaluations of scholarship must be performed by individuals from outside the University community. For continuing-track faculty when scholarship is the predominant role in the workload, external evaluations of scholarship must be performed by individuals from outside the University community. For continuing track faculty, when the predominant role in the workload is teaching or service, external evaluations can be performed locally but must be external to the academic unit.

## **II. Criteria for Promotion and Granting of Tenure for Tenure-Track Faculty**

### **A. Appointment to Assistant Professor**

Apart from earning the doctorate or other terminal degree, the primary requirement is the demonstrated ability and desire to achieve excellence in scholarship and teaching and to make positive contributions in all assigned areas. For this rank, past achievements are not so important as evidence of future growth and accomplishment.

### **B. Promotion to Associate Professor**

Since promotion to this rank from within the University carries tenure, the qualifications must be especially rigorous. To be considered for promotion to the rank of Associate Professor, the candidate must present evidence of excellent performance in the primary area of responsibility as determined by annual workload assignments. Tenure-track faculty must demonstrate excellence in scholarship regardless of the contribution of scholarship to assigned workload. High-quality performance is required in the other assigned area(s).

Evidence must be presented that the candidate has established an independent and self-supporting research program. A self-supporting research program is defined as one that is supported by grants or contracts from sources outside the University of Delaware. Major emphasis on evaluating the candidate's research program will be placed on research initiated and completed while in the rank of Assistant Professor. The research program may be related to previous doctoral or post-doctoral research, but it must show an independent approach and must demonstrate the candidate's ability to initiate and complete research at the University of Delaware. In cases of collaborative research efforts, the candidate must clearly identify his/her role and contribution to the effort. Even in cases of collaborative efforts, the candidate must demonstrate that he/she has developed an independent approach to research, and that independence must be supported by letters of evaluation from peers outside of the University. These letters must also address the significance of the research, the quality of the research, and the candidate's productivity relative to other academic researchers in their field at similar stages of their career. The comments of outside evaluators must provide strong support for the candidate's application for promotion. The candidate will summarize his/her research program since appointment to the University of Delaware in a seminar presented to the faculty prior to the Promotion and Tenure meeting. Candidates are expected to attract, train, and mentor graduate students.

Note: Probationary Period

The probationary period of six years beyond the initial appointment to Assistant Professor is the maximum time normally given to demonstrate achievement necessary to be promoted to Associate Professor with tenure. However, candidates with particularly strong records are encouraged to seek promotion before the end of the six-year period.

Note: Mentoring for Faculty Promotion and Tenure (Section 4.4.2 of the UD Faculty Handbook)

“All instructors/assistant professors are entitled to receive formal mentoring to support an orderly and timely progression to promotion. Each Department’s and/or College’s bylaws should include a formal mentoring protocol using available resources that is regularly appraised and updated for effectiveness. Chairs should consult with each assistant professor (mentee) in their unit to mutually identify a senior faculty mentor other than the chair. The minimum standard is one assigned mentor. The effectiveness of the mentor-mentee pairing should be evaluated by the faculty members at the end of each academic term. The main focus of formal mentoring is to support the mentee’s familiarity with departmental and institutional culture, timelines, and interpretation of policies and departmental practices. Formal mentoring begins as early as possible, once a faculty member accepts the position; it becomes especially important surrounding career development opportunities such as workload planning, learning about the cultural aspects of promotion and appraisal, etc. There should be regular formal meetings of the mentor and mentee, ideally several times a semester but at minimum once per semester. The mentor should be recognized by the chair for this service during appraisal and review.

The need for mentoring for the purpose of career development and promotion does not end after the probationary period. Therefore, each Department’s and/or College’s bylaws should include formal mentoring protocols to provide advice for Associate Professors to support their advancement and growth.”

### **C. Promotion to Professor**

To be considered for promotion to the rank of Professor, the candidate must provide unmistakable evidence of significant development and achievement since the last promotion. The candidate must provide evidence of excellent performance in the primary area of responsibility as determined by annual workload assignments. Tenure-track faculty must demonstrate excellence in scholarship regardless of the contribution of scholarship to assigned workload. High-quality performance is required in the other assigned area(s). In cases where research is the primary area of responsibility, evidence must be presented that the candidate has sustained an independent and self-supporting research program. It should be evident that the candidate has been and will continue to be successful in attracting, training, and mentoring graduate students to advanced degrees. In cases where teaching is the primary area of responsibility, the candidate will be expected to have developed scholarship and/or resources that impact the profession in novel, outstanding, and/or significant ways. The candidate must demonstrate that he/she has established a national/international reputation in his/her discipline, and that reputation must be well supported by letters of evaluation from peers outside of the University.

Letters from outside evaluators must address the significance and quality of the candidate's scholarly contributions and the candidate's productivity relative to others in their field at similar stages of their career. The comments of the outside evaluators must provide strong support for the candidate's application for promotion. The candidate will summarize his/her accomplishments in a seminar presented to the faculty prior to the Promotion and Tenure meeting.

#### **D. Tenure Only Decisions**

This category applies only to those who were hired as Associate Professors without tenure, and the decision to grant tenure must be reached by the end of the candidate's third year. Since the review comes this quickly, it is important for the candidate to provide evidence of continuing productivity. This does not mean that prior work by the candidate will be ignored but rather the candidate must offer clear evidence of continuing productivity made after employment at the University. Prior activity can be used to form a meaningful context against which accomplishments at the University can be judged. Otherwise, the areas of achievement to be considered and review process are identical to those of the combined promotion and tenure decision. In addition, the candidate for a tenure only decision must satisfy any additional requirements detailed in his/her letter of hire.

### **III. Criteria for Promotion for Continuing Track Faculty**

#### **A. Appointment to Assistant Professor**

Apart from earning the doctorate or other appropriate terminal degree, the requirement for appointment as assistant professor is the demonstrated ability to achieve excellence in the primary contracted area of responsibility, with the determination to make positive contributions to other areas for which workload has been assigned. For appointment to this rank, past achievements must provide evidence of potential for future growth and accomplishment in the contracted areas of responsibility.

#### **B. Promotion to Associate Professor**

To be considered for promotion to the rank of Associate Professor on the continuing track, the candidate must provide evidence of excellence in the faculty member's primary contracted area of responsibility as determined by annual workload assignments. The candidate must provide evidence of high-quality performance in other areas for which workload has been assigned. There should be unmistakable evidence that the individual has progressed in the primary contracted area of responsibility during the time as an assistant professor, and that the applicant will continue to make significant contributions. A merely satisfactory or adequate record in the primary contracted area of responsibility as an assistant professor is not sufficient to warrant promotion. There must be clear indications, based on convincing evidence and external evaluations that the candidate has

attained high levels of accomplishment in the primary contracted area of responsibility and has also significantly contributed to the other areas for which workload has been assigned. When the predominant role is teaching or service, appropriate external evaluations can be performed locally, but must be external to the academic unit.

### **C. Promotion to Professor**

To be considered for promotion to the rank of Professor on the continuing track, the candidate must provide evidence of excellence in the faculty member's primary contracted area of responsibility as determined by annual workload assignments. The candidate must provide evidence of high-quality performance in other areas for which workload has been assigned. The rank of professor is reserved for truly outstanding individuals who demonstrate a strong reputation in the primary contracted area of responsibility as well as significant, high-level contributions in the other areas for which workload has been assigned since the last promotion. Demonstration of reputation generally requires strong evidence of scholarship related to the primary contracted area of responsibility, and workload assignments should accommodate this requirement. The candidate's claim to have met these requirements must be thoroughly demonstrated by convincing evidence and external evaluations. When the predominant role is teaching or service, appropriate external evaluations can be performed locally, but must be external to the academic unit.

## **IV. Procedures**

NOTE: The responsibility for initiating the promotion procedure lies with the candidate.

### **A. Committees**

1. The Dossier Committee. The candidate, in consultation with the Chair of the Department, will select three (3), higher-ranking members of the Department who will serve as the Dossier Committee. One of the three will serve as the Chair of the Committee. The function of the Dossier Committee is to advise the candidate in preparing the dossier (for a description of the dossier refer to Section III.C); to solicit letters of evaluation (for description of the process refer to Section III.C.4.h); to review the completed dossier; and to prepare an objective, written evaluation of the candidate's credentials. A copy of this evaluation will be included in the dossier. A copy of the evaluation will also be provided to the candidate. The Chair of the Dossier Committee, upon completing this evaluation, will submit the candidate's application for promotion to the Department's Promotion and Tenure Committee.
2. The Promotion and Tenure Committee of the Department. The Promotion and Tenure Committee of the Department of Biological Sciences is comprised of all faculty of the Department (see Bylaws for definition of "Faculty") of the next higher rank(s): i.e., all Associate and Full Professors comprise the Committee for promotions to the rank of Associate Professor; all Full Professors comprise the Committee for promotions to the rank of Full Professor. The Chair of the

Promotion and Tenure Committee shall be appointed by the Department Chair, shall hold academic rank equal to or higher than that rank for which the candidate is applying, and shall not be a member of the Dossier Committee. The candidate's dossier must be made available for all members of the Departmental Committee to read for a period of at least 5 (five) days prior to the announced date of the Committee's meeting. The Chair of the Departmental Promotion and Tenure Committee must announce in writing the date and location of the Committee's meeting. The Departmental Committee shall consider the candidate's professional credentials contained in the dossier, including the letters from outside evaluators, and discuss the candidate's application for promotion. Following discussion, the Committee members in attendance shall, by secret ballot, vote for promotion, against promotion, or abstain from voting. Proxy (absentee) votes will be accepted only for unusual cases (e.g., sabbaticals, scheduled teaching assignments, and professional travel) determined on an individual basis by the Chair of the Promotion and Tenure Committee.

The Chair of the Departmental Promotion and Tenure Committee shall then draft a comprehensive report that reflects accurately the proceedings of the Committee and records the vote. The report shall not contain any direct comments or quotations from outside evaluators that might violate assurances of confidentiality. The report must be made available for all Committee members to read and sign, and the signed report shall be given to the Chair of the Department of Biological Sciences for inclusion in the candidate's dossier. A copy of the report shall also be given to the candidate.

3. Since the department chairperson's evaluation of the candidate is independent, he/she may offer counsel but shall not participate in or be present at the final deliberations of the Promotion & Tenure Committee nor vote on its recommendations.

## **B. Appeals**

The candidate, through the Chair of the Dossier Committee, may request that the Promotion and Tenure Committee reconsider its recommendation. Appeals must be based on additional information. After the Promotion and Tenure Committee hears an appeal, the Chair of the Promotion and Tenure Committee will draft a supplemental report that reflects accurately the proceedings of the appeal meeting and records the vote. The Committee members shall sign the supplemental report, and it shall be given to the Chair of the Department for inclusion in the candidate's dossier along with the initial report. A copy of the supplemental report will also be given to the candidate.

## **C. Format for the Dossier**

The format of the dossier shall follow that published in The Faculty Handbook (Section 4.4.9), to which the candidate should refer. The following is a brief description of the information that should be included in the dossier.

1. A table noting for each semester the percent effort in each of the three categories: teaching, research and service. This information shall be taken from the annual activity reports.
2. A copy of the letter of hire minus any confidential information about salary.
3. Under the category of teaching activities.
  - a. A list of all courses taught, including course titles, dates, and the number of students. Undergraduate special problems should be included.
  - b. Student evaluations. Evaluations of all courses taught for each semester should be presented in a summary format similar to that supplied during annual evaluations. A sample evaluation form, indicating the "percentage" of the students responding to each question/response, might be used for each course. A summary of written comments for each course should also be included. A table or graph summary to document consistent performance should be included.
  - c. Letters from students and faculty evaluating course content and classroom performance.
  - d. A list of all graduate students and post-doctoral students (past and present) along with the title of their dissertation and date of receipt of the Ph.D. degree.
  - e. A list of undergraduate senior thesis students (past and present) along with the title of their senior thesis project.
  - f. For Continuing-Track faculty, when the predominant role in the workload is teaching, letters of evaluation from external peers must be included. Appropriate external evaluations can be performed locally, but must be external to the academic unit. The procedure for obtaining external evaluations is as follows. The candidate and the Dossier Committee shall prepare separate lists of appropriate individuals. The candidate will be allowed to comment on the appropriateness of any names on the Committee's list and may request exclusion of reviewers. The Dossier Committee will select individuals from the two lists and solicit letters of peer evaluation. Those individuals chosen will each receive an identical letter from the Chair of the Dossier Committee requesting an evaluation of the candidate. The form and content of the letter may vary somewhat according to the individual candidates but must be approved by the Department Chair and Dean of the College. Appended to each letter will be a copy of the promotion policies (Sections I, II, and III of this document), a curriculum vitae, a teaching statement, and copies of relevant evidential materials, including publications. The Chair of the Dossier Committee shall receive all replies to this request directly, and each reply must be included in the dossier. At least five (5) letters must be obtained. In the event that a candidate withdraws his/her application for promotion, all letters from outside evaluators will be held on file in the office of the Chair of the Department of Biological Sciences. If the candidate reapplies for promotion, the new Dossier Committee will decide whether the original evaluators will be asked to reevaluate the candidate. None of the original letters may, however, be used. If any of the original



evaluators are chosen, then all must be chosen; additional evaluators may be identified at this time from lists compiled by the candidate and the Dossier Committee.

- g. Other supportive documents related to demonstrating quality of teaching activities. Examples are teaching awards, improvement of instruction grants, published textbooks, manuals, etc.
4. Under the category of research activities.
- a. List of publications in refereed journals. Full citations should be included. Articles "in press" and manuscripts "submitted" should be included. Materials "in preparation" should not be included.
  - b. List of other publications (i.e., review articles, book chapters, monographs, and abstracts).
  - c. A copy of each publication.
  - d. Commentary on the nature of each of the journals in which articles were published.
  - e. Commentary on the candidate's contribution to collaborative research efforts and publications.
  - f. A list of professional meetings attended. Meetings where papers were presented should be noted, and abstracts of these papers should be cross referenced with the publication list.
  - g. A list of evaluators from whom outside letters were sought. Each respondent should be identified. A commentary about each responding evaluator's academic credentials that documents his/her competence to evaluate the candidate's research should be included. A short form curriculum vitae (mini-vitae) for each evaluator should also be included. The commentary must also clearly describe the relationship, if any, between the candidate and the responding evaluator.
  - h. Letters of evaluation from external peers.  
Procedure: The candidate and the Dossier Committee shall prepare separate lists of appropriate individuals. The candidate will be allowed to comment on the appropriateness of any names on the Committee's list and may request exclusion of reviewers. The Dossier Committee will select individuals from the two lists and solicit letters of peer evaluation. Those individuals chosen will each receive an identical letter from the Chair of the Dossier Committee requesting an evaluation of the candidate. The form and content of the letter may vary somewhat according to the individual candidates but must be approved by the Department Chair and Dean of the College. Appended to each letter will be a copy of the promotion policies (Sections I, II, and III of this document), a curriculum vitae, research statement, and copies of relevant evidential materials, including publications. The Chair of the Dossier Committee shall receive all replies to this request directly, and each reply must be included in the dossier. At least eight (8) letters must be obtained. In the event that a candidate withdraws his/her application for promotion, all letters from outside evaluators will be held on file in the office of the Chair of the Department of Biological Sciences. If the candidate reapplies for

promotion, the new Dossier Committee will decide whether the original evaluators will be asked to reevaluate the candidate. None of the original letters may, however, be used. If any of the original evaluators are chosen, then all must be chosen; additional evaluators may be identified at this time from lists compiled by the candidate and the Dossier Committee. For Continuing Track Faculty, when scholarship is the predominant role in the workload, the external evaluations must be performed by individuals outside the University community, as is the case with tenure-track faculty appointments.

- i. A list of all research funding obtained. Include the title, duration, source and amount of funding.
  - j. Other materials documenting research achievements: research awards, copies of chapters from textbooks describing the candidate's work, letters from referees of journal articles and grant proposals, etc.
5. Under the category of service activities.
- a. A list of all Departmental, College and University Committees, including graduate student thesis committees. The dates of service and the level of service (i.e., member, chair) must be included.
  - b. A list of other profession-related service, such as published book reviews, manuscripts and grant proposals reviewed, organization of symposia, lectures to outside groups, student recruiting trips, etc.
  - c. A list of non-profession-related service.
  - d. For Continuing-Track faculty, when the predominant role in the workload is service, letters of evaluation from external peers must be included. Appropriate external evaluations can be performed locally, but must be external to the academic unit. The procedure for obtaining external evaluations is as follows. The candidate and the Dossier Committee shall prepare separate lists of appropriate individuals. The candidate will be allowed to comment on the appropriateness of any names on the Committee's list and may request exclusion of reviewers. The Dossier Committee will select individuals from the two lists and solicit letters of peer evaluation. Those individuals chosen will each receive an identical letter from the Chair of the Dossier Committee requesting an evaluation of the candidate. The form and content of the letter may vary somewhat according to the individual candidates but must be approved by the Department Chair and the Dean of the College. Appended to each letter will be a copy of the promotion policies (Sections I, II, and III of this document), a curriculum vitae and copies of relevant evidential materials, including publications. The Chair of the Dossier Committee shall receive all replies to this request directly, and each reply must be included in the dossier. At least five (5) letters must be obtained. In the event that a candidate withdraws his/her application for promotion, all letters from outside evaluators will be held on file in the office of the Chair of the Department of Biological Sciences. If the candidate reapplies for promotion, the new Dossier Committee will decide whether the original evaluators will be asked to reevaluate the candidate. None of the original

letters may, however, be used. If any of the original evaluators are chosen, then all must be chosen; additional evaluators may be identified at this time from lists compiled by the candidate and the Dossier Committee.

#### **D. Timetable**

The promotion process schedule will be as indicated in the Faculty Handbook (Section 4.4.10)