

*Approved and posted*

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*MLA, Interim Vice Provost for Faculty Affairs and Diversity*

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**POLICIES FOR PROMOTION AND TENURE**  
**Department of Chemical and Biomolecular Engineering**  
**University of Delaware**

**I. GENERAL PRINCIPLES**

Faculty members in the Department of Chemical and Biomolecular Engineering are promoted to a higher rank or receive tenure as a result of demonstrated achievement in educational, scholarly and professional activities. The departmental goal is to be one of the outstanding departments in the country. Since such a status is the result of peer recognition, evidence of the development of such recognition must be presented by the candidate for promotion. This may include the receipt of regional or national awards (or the likelihood thereof in the future) and the receipt of invited lectureships from other institutions or at important meetings.

Recommendations for promotion will be based upon all the accomplishments by a faculty member; normally emphasis will be placed on accomplishments since the candidate received his/her present rank and since joining the Delaware faculty.

**II. CRITERIA**

The following areas are considered when applications for promotion and/or granting of tenure are considered:

- Research, professional and scholarly performance
- Teaching performance
- Service to the University and the engineering profession and citizenship within the department.

**Research, Professional and Scholarly Performance**

Research, professional and scholarly performance have as their objectives several or all of the following:

1. to maintain active and creative participation by the candidate in a subject area, developing the subject and advancing the skills used to study it,
2. to involve graduate (and advanced undergraduate) students in research, and to educate through this participation,
3. to contribute to the general reputation and stature of the department and university as a center for learning,

4. to employ specialized professional knowledge and skills to solve engineering problems for industry, government, and the community, thereby enhancing the professional stature of the faculty member and the department.

Three primary indicators of research, professional, and scholarly performance are the publication record, written comments of external experts in the candidate's field, and external sponsorship of the candidate's research. These three indicators are now briefly addressed.

Regarding the publication record, publication in refereed scientific and technical journals and publications of scholarly books will be considered important indications of professional scholarly achievement, as will patents or other indications of professional inventive accomplishments. Lesser weight shall be attached to non-refereed publications, unless the significance of such work is established through outside evaluations conducted by the department or by selection procedures for the publications equivalent to peer evaluations. The number of publications is secondary to their quality. Candidates are encouraged to identify a small number of key publications and to indicate the quality of the journals, and, when appropriate, the number of citations and any other evidence which will assist the university committees in evaluating the impact on the professional community. The candidate should describe his/her contributions to co-authored work, as indicated in the Faculty Handbook (<http://www.udel.edu/provost/fachb/IV-D-9-dossier.html>, II.B.2.a). The candidate is also encouraged to provide a concise statement, usually of two or three pages in length, of the qualities embodied in these key publications and of plans for the future.

Significant weight is placed on letters from external experts. Such letters are to address the aggregate importance of the candidate's work in furthering the field and an assessment of the candidate's likely future as a contributing scholar. The selection of reviewers is carried out as described in Subsection IV.5.

Obtaining contracts and grants through a peer review process to carry out scholarly research or engineering development, while largely regarded as molding promise for future work, also reflects upon the quality of those activities. It is expected that faculty will develop and maintain vigorous research programs; clear evidence of the sustainability of this research is expected, in conformity with national trends, although specific funding levels will not be employed as a condition for promotion or the granting of tenure.

### Teaching

Teaching of high quality is expected of all faculty, at both the undergraduate and graduate levels. We understand that good teaching implies excellence in activities both inside and outside the classroom, the latter involving the availability of the faculty member for counseling and assistance of students on an individual basis and one-on-one work to take research projects to successful conclusion. Classroom teaching performance evaluation will be based upon faculty observation, student course evaluations, and/or demonstration of initiative and innovation in the introduction and/or development of significant new courses and course materials, and improvement of teaching techniques.

### Service

Service on departmental, college and university committees is expected of all faculty members, and is considered in evaluation of the candidate for promotion. Service to the university will be measured by the contributions made by the faculty member on university,

college and departmental committees and administrative assignments. Evaluation letters from the Committee Chairperson or from those affected by the candidate's work and having knowledge of it may be sought in the case of especially significant or demanding activities. Service to the community and the chemical engineering profession will be considered to the extent that such service contributes to the department's scholarship, teaching and stature.

We recognize that the effectiveness of a department, its stature and the quality of the educational experience of students, all depend upon the unselfish devotion of a faculty member to the shared goals of the department. This citizenship responsibility may normally be assumed to be present to a reasonable degree but especially salutary or egregious events are to be recognized as significant. Activities such as the mentoring of students and the initiation and development of joint teaching and research activities are to be noted.

### Promotion to Rank

Associate Professor - For promotion to associate professor, excellence in research, high quality teaching, and satisfactory performance in professional, scholarly, service and citizenship activities are required. The candidate must have demonstrated establishment of an independent, continuing research program of high quality. Such accomplishment might be demonstrated in many ways, but would normally include publications in refereed journals of high quality, favorable reviews by external experts (as per Section IV.5), receipt of external research support and proficiency in advisement of graduate students. Promotion to associate professor carries tenure, and only those candidates who show promise of becoming leaders in the chemical engineering profession in research and education will be recommended favorably.

Professor - Promotion to professor requires, in addition to the requirements for promotion to associate professor, demonstrated international stature in research and demonstrated significant accomplishments in teaching, professional and scholarly activities according to the criteria above. This promotion requires clear evidence, including that obtained through the peer review process, of leadership in the development of chemical engineering.

### III. DEFINITION OF PROMOTION AND TENURE COMMITTEES AND OF ELIGIBLE VOTING FACULTY

Promotion and tenure committees are to be composed of all departmental faculty eligible to vote on the candidate.

All tenured faculty are eligible to vote on the promotion of assistant professors, and all tenured full professors are eligible to vote on promotions to that rank. Faculty holding joint appointments may participate if their major teaching and research commitments are to the department.

Faculty on leave are eligible to vote only if they are able to participate in person in the departmental discussions prior to the vote. Their advice in writing is desirable in all cases. Faculty may also declare themselves ineligible for cause.

Faculty who serve in positions requiring them to vote or act on the dossier at a later time may participate in the discussions, if they are departmental faculty, but are not eligible to vote at the departmental level.

Part-time faculty may participate and vote only if they have previously held full-time tenured appointments in this department.

Emeritus and visiting faculty at the appropriate rank may be encouraged to participate in the promotion and tenure process but they may not vote.

#### IV. PROCEDURES

It is each faculty member's right and responsibility to know all relevant departmental, college and university promotion criteria, policies and practices. It is likewise the right and responsibility of each assistant professor to meet with the Department Chairperson and senior faculty in the same field, who may be formally appointed as mentors, as soon as possible following the initial appointment in order to develop a coordinated plan of career development aimed at preparing the individual for promotion within a reasonable time. (Guidelines to such career development planning are contained in the Faculty Handbook at <http://www.udel.edu/provost/fachb/IV-D-10-development.html>) Each assistant professor's progress is formally assessed by the Departmental Promotion and Tenure Committee during the second and fourth years after the initial appointment, and the letters of evaluation prepared by the Committee are required to be included as evidential material in the promotion dossier. The candidate's consideration for promotion therefore represents the culmination of an ongoing evaluation process, and the documents prepared by the candidate for the pre-tenure evaluations can also serve as the core of the promotion dossier that is subsequently prepared.

Consideration for promotion may be initiated by the faculty member or the Department Chairperson. An assistant professor must be considered for promotion no later than five years following the initial appointment. An associate professor must be considered for promotion no later than five years following his or her appointment or promotion to associate professor, and no less often than every three years thereafter, following the schedule in Section V.

The promotion process normally begins formally approximately 18 months prior to the September in which departmental action is anticipated and follows these steps:

1. The Chairperson will appoint an ad-hoc departmental advisory subcommittee for each candidate by March 31<sup>st</sup> of the year preceding candidacy. Each advisory subcommittee will consist of three members at or above the promotion rank, and will be constructed to provide a balanced view of the candidate's activities in teaching, research and service. Each subcommittee will be chaired by an appropriate faculty member, preferably a full professor, and in the case of an Assistant Professor will typically include representation by the candidate's mentors.
2. A candidate for promotion will assemble a draft dossier, with assistance from the Chairperson and ad hoc departmental advisory subcommittee, for submission to the Chairperson by June 1 of the year preceding candidacy. Assistant Professors may develop this document by expanding upon that prepared for the required pretenure review (<http://www.udel.edu/provost/fachb/IV-C-5-evaluation.html> and Department of Chemical and Biomolecular Engineering Procedures for Pre-Tenure Reviews of Assistant Professors).
3. The Chairperson and the ad hoc departmental advisory subcommittee will meet to critique the draft dossier. The goal of this review is to identify any weaknesses in time for them to be remedied before the final dossier is prepared for consideration in the next year. On rare occasion this group may recommend that a full dossier be prepared

immediately for consideration by the faculty. The opinion of the subcommittee, and a plan for any needed remedial work, is communicated in writing to the candidate, who is privileged to prepare a formal reply.

4. The entire draft dossier, along with a summary of the subcommittee's recommendations, is presented to the full faculty at rank above that of the candidate by the Chair of the ad-hoc subcommittee. This is a most significant step in the process in order to ensure that all information available in the department is brought to bear on the issue at hand. The Departmental Chairperson will participate in these discussions and convey the faculty opinion to the candidate.
5. The candidate must notify the Chair in writing by March 15<sup>th</sup> of the year of candidacy of the intention to apply for promotion (<http://www.udel.edu/provost/fachb/IV-D-8-schedule.html>). At this time, the candidate will supply a list of potential reviewers, with brief reasons for each choice, and a statement of his/her relationship to each potential reviewer. A listing of any external peers whom he or she prefers not be contacted, again with brief reasons, may be provided as well. Working with the advisory subcommittee, the candidate will submit the penultimate draft of the dossier by July 1 of the candidacy year. This draft will be reviewed by the entire Departmental Promotion and Tenure Committee and the Chairperson, no later than July 15.

Peer reviewers, expert and well established in the field of the candidate, will be selected as follows. The Departmental P&T Committee will prepare a list of proposed reviewers. The list will include the entire list supplied by the candidate plus additional names suggested by the Committee. The number of names on the list must be greater than the number of letters to be solicited. The candidate is informed of all names on the complete list and has the opportunity to comment on them. The Committee then selects reviewers from this list. The candidate's listing of those he/she wishes to be excluded will normally be honored. The names of the reviewers selected are not divulged to the candidate. By July 31 the Departmental Committee will request written peer reviews from the list prepared by the candidate as well as from other peers chosen by the department. These letters will be treated as confidential, in accordance with university policy. Preceding each reviewer's letter in the dossier will be a description of the qualifications of the reviewer.

Included in the information requested from the external referees will be the following questions or their equivalent:

- (a) Please identify the most important contributions of the candidate and their influences on the profession. If any of these contributions have led to new research activities or techniques adopted by others, please identify them. If any of these have influenced teaching or professional practice, such influences should be identified explicitly. [In the case of promotion to associate professor, there may not yet have been time for broadly-accepted changes to occur and these sentences,

except for the first, may be modified to include identification of influences or changes which may be expected as a result of the candidate's work.]

- (b) We may wish to be especially sensitive to new insights the candidate may have, even when these have not yet been developed extensively. Do you find new insights or other appropriate measures of creativity in the material attached?
  - (c) Please indicate whether you believe the candidate would be among the top scholars at a comparable stage of development. Specific and quantitative comparisons with other scholars would be very helpful.
  - (d) The goal of the department is to be one of the best in the country. Would this candidate contribute strongly to such a goal?
6. The final version of the dossier must be submitted by September 1 as per the University's schedule (<http://www.udel.edu/provost/fachb/IV-D-8-schedule.html>). Copies of the document will be made available to each faculty member serving on the P&T Committee. When the letters of the external reviewers have been received, but no later than September 30, the Chair of the Departmental Committee will call for a meeting to consider all of the evidence. The Departmental Chairperson will participate in this meeting and contribute to the discussion.

As the meeting (or meetings) evolve toward a decision, the Chairperson will be excused in order that the faculty may complete their deliberations.

7. The Committee vote will be by a written ballot in which each Committee member will be asked to indicate a vote and to provide a written justification. For this balloting to be considered complete, more than 2/3 of the faculty eligible to vote must participate. These ballots, as well as the external reviews, are for the confidential use of the Departmental P&T Committee and are not shared with the candidate. The written justifications may be used in developing the letter of recommendation and will be destroyed once that letter is submitted.
8. The Departmental P&T Committee will prepare a letter of recommendation, to be added to the candidate's dossier. The letter must be addressed to the Chairperson to whom it is transmitted. The letter must indicate the numerical vote, describe the Committee's composition and explain the reasons for the decision. The letter must be signed by all Committee members. Minority opinions, also signed, will be appended to the letter. The candidate is to receive a copy of the letter in full.
9. The full dossier will now be forwarded to the Chairperson for assessment and reporting. At the same time the decision of the Departmental Committee, including the numerical vote, shall be forwarded to the candidate. The candidate may respond in writing to this information.

10. The candidate may provide new or updated objective information, such as new publications, journal acceptances, and new honors, to the dossier at any time during the promotion process.
11. In the case of an unfavorable recommendation, the candidate can appeal the initial decision once, within five working days of his/her receipt of the Committee's letter. The appeal, in writing, is to be submitted to the Chairperson of the Committee and should lay out the basis of the appeal. The Committee will meet to consider the appeal within ten days of its receipt. A letter containing the results of the Committee's appeal deliberations will be given to the candidate within a further ten days. Copies of the appeal letter and of the Committee's reply will be added to the dossier.

## V. SCHEDULE

The following schedule summarizes the discussion above. It is consistent with the current University promotion process schedule (<http://www.udel.edu/provost/fachb/IV-D-8-schedule.html>). Any changes to the University's schedule are to be automatically incorporated by reference.

March of year preceding candidacy	The Chairperson appoints a three-member ad hoc advisory committee for the candidate.
June of year preceding candidacy	Candidate supplies the Chairperson with a draft dossier to be used as the basis of discussions with the Chairperson and with the Department P&T Committee.
15 March of candidacy year	The candidate gives the Chairperson written notification of his/her intention to apply for promotion. Candidate supplies a list of potential reviewers.
March-June	The candidate assembles a (new) draft dossier in consultation with the Chairperson and the advisory subcommittee.
1 July	The candidate submits a penultimate draft of the dossier to the Chairperson.
15 July	The Department's Promotion and Tenure Committee meets to review the draft dossier and to begin the process of soliciting peer evaluations.
31 July	Letters requesting peer evaluations are sent, together with copies of principal sections of the draft dossier and representative publications.
1 September	The candidate submits the final version of the dossier to the Department's Promotion and Tenure Committee and to the Chairperson.
1 October	The Department's Promotion and Tenure Committee's recommendation is forwarded to the Chairperson and the candidate.

15 October	The Department Committee's and the Chairperson's recommendations are transmitted to the College Promotion and Tenure Committee.
1 December	The College Promotion and Tenure Committee's recommendation is forwarded to the Dean.
2 January	The recommendations of the Dean and the College Committee are transmitted to the University Promotion and Tenure Committee.
15 February	The University Committee submits its recommendation to the Provost.
25 February	The Provost publishes his/her recommendation.

## VI. REVISIONS OF THIS DOCUMENT

To revise this document, a majority vote of the full Chemical and Biomolecular Engineering faculty is required, with each full-time member, including the Department Chairperson, having one vote.