

**PROMOTION AND TENURE PROCEDURES AND CRITERIA**  
**DEPARTMENT OF PHYSICS AND ASTRONOMY**  
*May 20, 2005*

**I. GENERAL POLICY STATEMENT**

In the Department of Physics and Astronomy, to guarantee a recommendation for promotion it is not sufficient for the candidate to meet the minimally acceptable performance standards in the three areas of research, teaching, and service. Such a recommendation requires that the candidate demonstrate excellence in either scholarship or teaching and high quality performance in all other areas.

**II. PROCEDURES**

A. Candidate's Responsibilities

1. A faculty member has the right to apply for promotion at any time (subject to the provisions pertaining to promotion and tenure described in Section 4 of the Faculty Handbook) and he/she has the exclusive right to advance or withdraw the dossier from the promotion process. However, tenure-track faculty in their terminal year may not apply for promotion.
2. According to University guidelines, a candidate for promotion must notify the Department Chair in writing of intent to apply for promotion by March 15 of the year before a decision at the University level would be rendered.
3. No later than May 1, the candidate shall submit to the Chair of the Promotion and Tenure Committee (PTC) a roster of external reviewers, and a *curriculum vitae* with list of publications suitable for inclusion with the solicitation of letters of reference.
4. The candidate shall submit his/her dossier to the Chair of the Department no later than the following September 1. The PTC may refuse to consider promotions of candidates who do not submit a dossier in a timely manner.
5. The dossier is the basis for decisions on promotion and recommendations for tenure. It is the responsibility of the candidate to prepare an organized and cogent dossier, representing the case for promotion as well as possible. The candidate is encouraged to consult with the Department Chair and members of the faculty concerning the content and preparation of this dossier.

The dossier should be organized as follows:

1. Preliminary Material

- a. Table of contents
- b. Application-for-promotion form
- c. A copy of the Department's document on promotion-and-tenure procedures and criteria
- d. A detailed curriculum vitae
- e. Recommendations of various administrative authorities
  - i. The Departmental PTC's recommendation
  - ii. The Chair's recommendation
  - iii. The College committee's recommendation
  - iv. The Dean's recommendation.
  - v. The University committee's recommendation

- f. Any materials relating to appeals (optional)
- g. Copies of the letters of evaluation from external reviewers and supporting material (See below.)
- h. The candidate's statement

## 2. Evidentiary materials

The nature of supporting materials is largely the choice and the responsibility of the candidate. The list below is a suggested set of evidentiary material; none is specifically required, but requests may be made by the various committees or administrators for information not included. Examples of useful information that could be included are:

### a. Research

- 1. A copy of each publication in the relevant time period
- 2. A copy of each manuscript "in press" or "submitted for publication" during the relevant time period
- 3. Copies of monographs produced during the relevant time period
- 4. Copies of current and pending research grant proposals
- 5. Copies of articles citing the candidate's work that may discuss its importance
- 6. A list of co-workers and the current status of each
- 7. A list of collaborators and discussion of contributions of each to the candidate's research program
- 8. Reviews of papers and/or proposals demonstrating the candidate's standing in the scientific community
- 9. A list of talks, lectures or seminars presented at other institutions or at conferences

### b. Teaching

- 1. Information on the initiation of courses and/or substantial revision of existing ones.
- 2. Evidence of interaction, stimulation and motivation of students (testimonials, written comments from persons outside the Department, etc.)
- 3. Sample syllabi, examinations, and assignments.
- 4. Instructional and curriculum improvement proposals and grants.
- 5. Textbooks authored
- 6. Student course evaluations for courses taught, properly tabulated and summarized, with a discussion of the procedures used in obtaining the evaluations
- 7. Summaries of written comments of students submitted with teaching evaluations
- 8. Student test scores on standardized examinations
- 9. Any further information that may demonstrate the teaching effectiveness of the candidate.

### c. Service

- 1. Summary of the candidate's activities on Departmental, College and University committees
- 2. Summary of the candidate's activities in professional organizations
- 3. Information concerning the candidate's organization of symposia or meetings relating to his/her area of expertise

4. Evidence of the candidate's active participation in the community of science through peer review of books, articles, research proposals, etc. and service on review panels of government agencies and private foundations
5. Summary of the candidate's consulting activities

## B. Department's Responsibilities

### 1. For Promotion to Associate Professor

#### a. Composition of the Promotion-and-Tenure Committee (PTC)

The PTC consists of all tenured associate and full professors of the Department except the Chair of the Department. The committee selects its own Chair. The Chair of the PTC handles all further details of the committee's evaluation process of the candidate(s), especially the solicitation of letters of reference and the preparation of a written summary of the committee's deliberations, recommendations and decisions.

#### b. Notification

The Chair of the Department shall notify the PTC of receipt of the candidate's letter of intent promptly, but no later than March 18. The Chair shall notify the PTC of receipt of the candidate's dossier no later than September 4.

#### c. The First Meeting of the PTC

No later than April 15 the Chair of DPA will convene a meeting of the PTC. The sole purpose of this meeting is to select a Chair for the PTC.

#### d. Written Comments by External Evaluators

The PTC shall seek the advice of external scientists on the evidence for promotion, particularly about (but not restricted to) the candidate's contributions to research.

The Chair of the PTC shall request the candidate and the members of the PTC to submit lists of potential evaluators within some reasonably short time after the meetings discussed above. The Chair of the PTC will meet with the candidate and provide the candidate with names of all potential evaluators. The candidate shall have the opportunity to comment on any and all of these potential evaluators. The candidate may, for written, cogent reasons, request the Chair of the PTC to exclude certain individuals as external evaluators.

With the advice of the PTC and the Chair of the Department, the Chair of the PTC will choose a minimum of six external evaluators from these lists, so that at least three (3) evaluators are selected from the list submitted by the candidate and three (3) are from the list submitted by the PTC. [If, in the course of contacting the evaluators, one or more should decline to participate, the Chair of the PTC shall choose others from the lists, bearing in mind that there should be a balance between evaluators selected from the two lists.] The final list of names will not be revealed to the candidate to preserve confidentiality.

The Chair of the PTC shall write to evaluators requesting advice in a timely manner. The letter should be accompanied by a copy of the candidate's curriculum vitae, a list of publications, and copies of five representative

publications as provided by the candidate. The letter should request the external evaluator to: (1) analyze and critically evaluate the candidate's body of work and accomplishments and comment on the candidate's potential for future development. The Chair of the PTC may elect to contact evaluators by telephone or electronic mail before sending materials, to determine the individual's willingness to participate in the evaluation.

The letters from evaluators are to be added to the dossier by the Chair of the PTC, and are to be accompanied by a copy of the letter requesting advice and a brief biographical statement summarizing the external evaluator's credentials and his/her relationship to the candidate. All letters received within the time limit set by the Chair of the PTC in the letter must be included in the dossier. All letters of evaluation are to be considered confidential.

Other letters of evaluation not solicited by the Chair of the PTC may be included in the dossier, but they must be distinguished from those specifically requested. It is the responsibility of the Chair of the PTC to notify the members of the PTC of the arrival of letters and to make them available to the members for consideration.

e. Committee Meetings

The Chair of the PTC, after having received a minimum of six (6) letters from external evaluators, or at the latest by September 21, will call a meeting of the PTC to discuss the case of promotion and tenure of the candidate. The PTC can consult with the Department Chair who listens to the PTC discussions at this meeting, but who will not be present during the committee's final deliberations and vote.

f. Written Report of the Recommendation of the PTC

The Chair of the PTC with the advice of the PTC, shall prepare a written summary of the committee's deliberations, recommendations and decisions. The summary shall describe the PTC's composition, the results of the vote, and the evidence from comments in the meeting for the vote. This summary requires approval by the PTC. When they arise, signed separate opinions by members of the PTC may be forwarded as appendices to the main report of the PTC, provided they are received by the Chair of the PTC in a timely manner.

This statement (and any appendices) will be transmitted in writing to the Department Chair and the candidate no later than October 1, and shall be inserted into the candidate's dossier. [To maintain confidentiality, the copy to the candidate shall delete portions of the statement that may identify external evaluators, either by name or by inference.]

g. Recommendation of the Chair of the Department

The Chair of the Department shall review the candidate's dossier, the report of the PTC and Department of Physics and Astronomy's "Promotion and Tenure Procedures and Criteria" document, and make a written recommendation supporting or failing to support the promotion of the candidate. This recommendation is transmitted in full and in writing to the candidate and is also inserted into the candidate's dossier. This must be completed before October 7.

h. Forwarding Procedures

If the PTC and the Chair of the Department agree in recommending promotion and tenure, or if either or both recommend against promotion but the candidate chooses to continue by not explicitly withdrawing the application, then the application, with the recommendations included, goes forward to the College Promotion and Tenure Committee and to the Dean. Under current University guidelines, these documents are to be submitted by October 15.

i. Appeals Procedure

If the candidate wishes to appeal either the recommendation decision of the PTC or of the Department Chair or wishes to suggest amendments to the letters of recommendation, the candidate may request, in writing, reconsideration by the PTC and/or the Department Chair within five (5) business days after he/she has received written notification of the PTC's and/or the Department Chair's recommendation. This written request for reconsideration becomes part of the record and should be included in the dossier.

In the case of any request for reconsideration, the candidate must present in writing the arguments for reconsideration and provide at that time to the PTC and/or the Chair of the Department any additional supporting material for reconsideration.

If the candidate requests reconsideration by the PTC, the Chair of the PTC must convene a meeting of the PTC to consider the candidate's written arguments. At the conclusion of this meeting, a final vote shall be taken by secret ballot and a final recommendation will be made. The Chair of the Department shall not be present at any reconsideration meeting of the PTC, nor participate in its vote, nor participate in the writing of any amendment to its recommendation.

An appeal to the Chair in writing must be considered by the Chair promptly. Any written response from the Chair shall be included in the dossier and the members of the PTC shall be notified promptly.

A copy of any changes in the decisions and/or the letters of recommendation of the PTC and/or the Chair shall be transmitted in writing to the candidate and inserted in the dossier.

j. Schedule Summary

The time schedule for the promotion process is:

By March 15 The candidate notifies the Chair of the Department of the intention to apply for promotion.

By March 16 The Chair notifies the members of the PTC

By April 15 The PTC meets to select a Chair.

By September 1 The candidate submits his/her dossier to the Chair of the Department.

By October 1 The PTC submits a letter of recommendation, including the numerical results of the vote, to the Department Chair, with a copy to the candidate.

By October 7 The Department Chair submits a letter of recommendation, with a copy to the candidate, and notifies the PTC of the decision.

By October 15 The Chair of the Department forwards the candidate's dossier, including the recommendation of the PTC and the Chair's recommendation, to the College Committee on Promotions and Tenure and to the Dean.

By December 1 The College Committee submits a letter of recommendation to the Dean

By January 2 The Dean forwards his/her recommendation and the candidate's dossier to the University Committee on Promotions and Tenure.

By February 15 The University Committee on Promotions and Tenure forwards its recommendations and the candidate's dossier to the Provost.

By February 28 The Provost forwards his/her recommendation to the President, along with the candidate's dossier.

2. For Promotion to Professor

The Promotions Committee (PC) consists of all tenured full professors in the Department of Physics and Astronomy. All the procedures of this committee are the same as those described previously in this document, except PC should be substituted for PTC throughout.

3. For Recommendation for Tenure without Promotion

If a person has been hired at the rank of associate professor or full professor without tenure, then the procedures for evaluating that individual for tenure shall be identical with the procedures used when promotion with tenure is being considered to either associate professor or full professor, respectively. It is expected that a person in one of these categories would not be considered for tenure until he/she has served at least one year in rank.

### III. CRITERIA

#### A. For Promotion to Associate Professor with Tenure

Inasmuch as promotion within the University to this rank generally carries tenure--a binding commitment on the part of the University--the qualifications must be rigorous. At a minimum, the individual should show excellent achievement in scholarship or teaching and high quality performance in all areas. Furthermore, there should be unmistakable evidence that the individual has progressed and will continue to do so. A mere satisfactory or adequate record as an assistant professor is not sufficient; there must be very clear indication, based on hard evidence and outside peer evaluations, that the candidate has in fact attained high levels of accomplishment.

The Criteria are as follows:

##### 1. Research

The candidate must have established a vigorous research program of significance to Physics or Astronomy. Major emphasis will be on research carried out and completed at the University of Delaware which demonstrates the ability to organize and sustain an independent, viable research program. The research program may be related to previous doctoral or postdoctoral research, but must show an independent approach. It must be shown that the candidate has contributed in a vital and innovative way to any collaborative research.

Publication of the results of the research is expected. Review articles and monographs will be considered. The candidate's work should be presented in lectures and papers at institutions and meetings when feasible.

Both the amount and quality of research will be considered. Publication in refereed journals is an important indication of the quality of research. It is expected that the candidate will have obtained external funding to support his/her research program.

Other evidence of the quality of the research may include the following: invited papers and lectures, awards, reputation in his/her field among peers.

A potential for continued growth of the research program is expected.

##### 2. Teaching

A strong performance in teaching is expected of each candidate. This includes both course content and an ability to communicate as judged by the faculty (classroom visitations, syllabus review, etc.) and by students (acceptable course and teacher evaluations) and written or oral opinions of former students.

The candidate should have had an opportunity for both graduate and undergraduate teaching and should be effective at both.

It is expected that the candidate's research program involves students or postdoctoral researchers.

##### 3. Service

The Department expects service on Department, College, or University committees, including Ph.D. research committees. University-related community service and outreach activities will also be considered. The Department will expect involvement in administrative and/or committee duties on the part of assistant professors who should have had an opportunity to participate fully in determining and meeting the goals of the Department.

Service may be indicated by participating in the activities of national professional societies, organizing symposia or meetings, reviewing research proposals, papers, books, etc. Professional activities with high external visibility are valued.

## B. For Promotion to Professor

This rank is reserved for individuals who have established reputations in their fields and whose contributions to their profession and the University's mission are excellent. There should be unmistakable evidence of significant development and achievement in teaching, scholarship and service since the last promotion. Once again, the candidate's claim to have met these requirements must be thoroughly and completely documented by outside peer evaluations and other materials.

The Criteria are as follows:

### 1. Research

The candidate must have established and maintained an outstanding research program of significance to Physics or Astronomy.

Publication in refereed journals is an important indication of the quality of research. Review articles, and monographs will also be included in the evaluation and the candidate's work should have been presented in lectures and papers at institutions and meetings.

It is expected that the candidate will have demonstrated the ability to maintain external funding to support his/her research program.

Other evidence of the quality of the research may include the following: Invited papers and lectures, awards, and the use which the candidate may have made of a sabbatical leave or leave of absence to enhance his/her research program.

### 2. Teaching

A strong performance in teaching at both the graduate and undergraduate levels is expected of each candidate. This includes both course content and an ability to communicate as judged by the faculty (classroom visitations, syllabus review, etc.) and by students (acceptable course and teacher evaluations and written opinions of former students). Other evidence for the quality of teaching may include the following: the receipt of teaching awards or teaching sabbaticals; improvement-of-instruction grants; course initiation and major revision of existing courses; successful innovations in teaching methods; and effective counseling and advising of students.

### 3. Service

The Department expects significant high quality service on Department, College, or University committees, including Ph.D. research committees. University-related community service will also be considered.

Professional development should be indicated by participating in the activities of professional societies, organizing symposia or meetings, consulting, reviewing research proposals, papers or books, etc. Professional activities with high external visibility are valued.

## C. Special Considerations

The preceding does not preclude the possibility that, in the future, an assistant professor or an associate professor may have duties differing substantially from the above. If such is the case, there should be a clear written understanding on the part of all parties of what is expected and what criteria will be used in evaluation for promotion or contract renewal.