

# Promotion and Tenure

## Department of Mathematical Sciences

Approved 2/29/08

Promotion and tenure of faculty in the Mathematical Sciences Department are governed by the Faculty Handbook and the College of Arts and Sciences Policy on Promotion and Tenure. Candidates for promotion and tenure should familiarize themselves with these documents. This document specifies departmental procedures for evaluating candidates and additional requirements for promotion.

### 1. Necessary Conditions for Promotion of Tenure Track Faculty

If this section has been revised while a candidate is at rank, (s)he may choose to be evaluated under the old or new criteria.

Minimum standards for promotion are given in the Faculty Handbook. Additional departmental requirements or clarifications are as follows. Further examples of evidential material may be found in the department's workload agreement.

#### 1.1. Promotion to Associate Professor

The primary route for promotion to associate professor with tenure will generally be through excellence in research. The Department will recommend for promotion only those individuals who exhibit high-quality undergraduate teaching, regardless of the intensity and vigor of the candidate's research.

##### 1.1.1. Teaching

Claims of high quality or excellence in teaching must be thoroughly and completely documented. Possible evidence of such claims may include all categories detailed in the Faculty Handbook. The manner in which individuals provide an effective teaching environment may vary. In addition, the department also recognizes the following evidential material:

- Numerical teaching evaluations and written comments by students. When appropriate, the candidate's teaching evaluations should be compared to departmental averages.
- Peer evaluations of teaching.
- Supervision of Ph.D., Masters and undergraduate theses and research.
- Development of new courses, innovative instructional material, or innovative presentation.
- Teaching awards.
- Improvement of instruction grants.
- Other items appropriate to the particular case.

It should be understood that teaching is an activity that must be evaluated as a whole, and undue emphasis must not be placed on any one indicator of a candidate's performance. When using numerical teaching evaluations to determine quality, absolute scores, scores relative to departmental averages, and trendlines should all be considered.

### 1.1.2. Research

The Department will recommend for promotion only those individuals who are actively engaged in a continuing research program which has demonstrable high quality and which has progressed significantly beyond the level of the individual's doctoral work. This holds regardless of the intensity and vigor of the candidate's teaching.

Candidates should demonstrate sustained effort to obtain research funding, either individually or as part of a collaborative group. It is expected that the candidate will have regularly presented his or her research at external conferences or other scientific meetings.

Claims of excellence in research must be thoroughly and completely documented. Possible evidence of research excellence may include all categories detailed in the Faculty Handbook. In addition, the department also recognizes the following evidential material:

- External funding will be viewed as a major indicator of the quality of the candidate's research. The extent of external funding will be considered with regard to the availability of funds in that research area. As appropriate, the source of funding shall also be used to evaluate quality.
- Supervision of Ph.D dissertations.
- Publication of refereed research monographs, the publication of books or book chapters related to the candidate's research, and the production of innovative scientific software for public use.
- Collaborative research is encouraged and shall be viewed positively.
- Invited papers, presentations, colloquium talks at other universities and at research labs, and service on journal editorial boards or on program committees for professional conferences.
- Other items appropriate to the particular case.

In no instance will the presence or absence of a single item above be considered dispositive; rather, the entire case must be considered as a whole.

In most cases, the primary indicator of the quality of the candidate's research is publication in refereed journals and/or refereed conference proceedings. The quality and significance of professional publications will be evaluated carefully by members of the Department and leaders in the candidate's field of research. It is incumbent upon the candidate to disseminate the results of his/her scholarship through publication in high quality refereed journals. Depending on the candidate's area of interest, not all of these journals need be mathematical ones. In no case will a minimum number of publications alone be considered sufficient for meeting research criteria for promotion.

Evaluation of the candidates' research achievements will also be based on the following considerations:

- External reviews of the candidates' research. See Section 4 for procedures for selecting external reviewers.
- Assessment of the journals in which publications have appeared.
- Opinions of colleagues in the department.

If the following items are used to assess quality:

- Journal impact factors
- Citation counts
- Journal acceptance rates

then the evaluator must take into consideration the particulars of the research field. It is the nature of mathematics that journal impact factors, for example, are much less than in other scientific fields. The candidate should be encouraged to list statistical data (medians, etc.) in the dossier to provide context. In no case will simple numerical measures of journal citations or similar measures alone be used to evaluate journal quality.

### **1.1.3. Service**

All faculty are expected to share the service responsibilities of the Department and are encouraged to provide service to the profession. While service cannot normally be considered equivalent to teaching or research, a positive service contribution is necessary for advancement. It is expected that the candidate will have served on at least one committee (University, College or Department) each year at rank.

## **1.2. Promotion to Professor**

Throughout his/her career as Associate Professor a candidate for promotion to the rank of Professor must have performed at a level of effectiveness and accomplishment consistent with criteria for advancement to Associate Professor; in addition, he/she will normally be expected to meet all of the following criteria:

### **1.2.1. Research**

The candidate should be an authority in his/her field, nationally recognized for the extent and significance of his/her contributions to the discipline. The qualitative and quantitative evaluation of the candidate's work will be based principally on research, funding, and publication occurring during the candidate's tenure as an Associate Professor. The procedures for evaluation and indicators of performance are the same as those outlined for promotion to Associate Professor.

### **1.2.2. Teaching**

The procedures for evaluation and indicators for promotion are the same as those outlined for promotion to Associate Professor.

### **1.2.3. Service**

During his/her career as Associate Professor, the candidate must play an active part in the service activities of the Department, the University and the profession.

Service to the profession that enhances the reputation and visibility of the Department and the University such as appointments on national committees, service on editorial boards of journals, the organization of conferences or workshops, serving on funding agency panels, and significant outreach activities would be considered favorably in the promotion process.

## **2. Necessary Conditions for Promotion of Continuing Non Tenure Track Faculty (CNTTF)**

If this section has been revised while a candidate is at rank, (s)he may choose to be evaluated under the old or new criteria. Additional examples of evidential material may be found in the department's workload agreement.

## **2.1. Special Considerations**

All candidates for promotion are expected to perform research, teaching, and service. Therefore, candidates should take advantage of sabbatical leave, administered loads, etc., in order to have adequate time to perform their research.

Because of the heavy instructional component of their workload, promotion of CNTTF will rely heavily upon the evaluation of teaching.

Service for CNTTF consists primarily of course coordination for 100-level courses. CNTTF may also serve on various departmental, college, and university committees, but may not be required to do so in any semester when they are teaching four courses.

## **2.2. Promotion to Assistant Professor**

### **2.2.1. Research**

The primary research activity required for promotion to assistant professor is the attainment of a doctoral degree related to mathematics or mathematics education. The quality of the research should be equivalent to that required for initial hiring at the rank of assistant professor.

### **2.2.2. Teaching**

The candidate should exhibit high-quality teaching under the guidelines and evaluation criteria in section 1.1.1.

### **2.2.3. Service**

It is expected that the candidate will have competently exercised any coordination or other service duties assigned.

## **2.3. Promotion to Associate Professor**

In general, the standards for promotion to associate professor will be the same as for tenure-track faculty, except that the weighting of the three areas will be skewed toward excellence in teaching because of their workload. In addition, the department recognizes the following other differences:

### **2.3.1. Research**

CNTTF are not required to seek scholarly funding. Since their scholarly activity may relate to mathematics teaching and learning, examples of high-quality journals may include those described in section A.1.

### **2.3.2. Teaching**

Since teaching forms the bulk of the workload, the candidate should not rely solely on numerical evaluations as an indicator of quality. Instead, candidates should submit a detailed teaching portfolio as part of their dossier, including such documentation as syllabi and other course materials; numerical and discursive student evaluations and testimonials from former students; peer evaluations; samples of student work demonstrating how their performance has improved over the course of instruction; and a statement explaining the candidate's instructional goals and methodologies and his/her impact on student learning.

### **2.3.3. Service**

The minimum service requirement of “one committee each year at rank” shall not apply. However, the candidate will be expected to have extended his/her service work beyond course coordination.

### **2.4. Promotion to Professor**

In general, the standards for promotion to professor will be the same as for tenure-track faculty, except that the weighting of the three areas will be skewed toward teaching because of their workload. The distinctions in section 2.3.1 and 2.3.2 shall also apply.

## **3. The Promotion and Tenure Committee**

### **3.1. Membership**

The Promotion and Tenure Committee (P&T) consists of all tenured associate and full professors with primary appointment in the Department with the exception of the Chairperson of the Department. The subcommittee of the P&T consisting of (full) professors only (P&TF) will address issues concerning individual promotion to Professor; the entire P&T will decide on all other issues. The term “committee” will be used herein to refer to whichever body is appropriate for the matter at hand. Faculty on sabbatical leave or other official leave from the department are not considered eligible voting members of P&T unless they notify an officer of the committee in writing of their intention to participate in committee actions. Such notification should be received by 1st September. The P&T shall abide by the policies of the Faculty Handbook on Standards of Conduct regarding conflicts of interest.

Since retention and advancement of faculty are of paramount importance to the Department, all resident members of the P&T should participate in its deliberations and actions.

### **3.2. Selection and Duties of the Officers**

- (i) By 21st February of each year, the Chair of the P&T will conduct the election by P&T of a Chairperson and Secretary. These will be chosen from among the P&TF by majority vote. Their term of office is the calendar year beginning 21st February, unless actions initiated while they are in office are not concluded, in which case they will continue in office on an *ad hoc* basis until these actions are resolved. Consequently, two sets of officers may hold office simultaneously.
- (ii) The Chairperson of the P&T will call and conduct meetings and will be the representative of P&T in matters of policy or communication about its actions.
- (iii) The Secretary of the P&T will maintain a record of attendance, minutes of meetings, prepare and distribute material for meetings and with the Chairperson of P&T prepare and oversee the preparation of materials to be placed into the formal promotion process by P&T.
- (iv) The Chairperson and Secretary of the P&T and the Chairperson of the Department will serve as a committee to determine the issues to be brought before the P&T and to observe that departmental policies and procedures conform to practices set forth in the Faculty Handbook.
- (v) The officers of the P&T will assist the candidates in the preparation of the dossiers.

### **3.3. Procedures**

- (i) A quorum for the committee is 2/3 of all eligible voting faculty.
- (ii) Decisions of the committee with respect to recommendations for personnel promotion and/or tenure are by majority of all eligible voting members. All other decisions require a simple majority of all members present. Balloting related to non-personnel issues may be either hand vote or written ballot (upon request of a member of the committee).
- (iii) If a quorum for a meeting on non-personnel matters of the committee is not realized, the officers of the P&T will call another meeting for the same purpose within three working days. If a quorum is not reached at the second meeting, a balloting on a particular issue will be conducted by mail ballot following the procedure of the Faculty Senate on mail balloting.
- (iv) Any member of the P&T who wishes to present an issue before the P&T should present a request to the committee mentioned in section 3.2(iv). If that committee denies the request or does not bring that issue in a timely fashion for consideration by the P&T, the concerned member should submit a written request signed by at least five members of the P&T. The officers of the P&T must then call a meeting of the P&T for the presentation and discussion of the issue within ten working days of receiving the written request.

## **4. Policies and Procedures Related to the Promotion and Tenure Process**

A member of the Department becomes a candidate for promotion or tenure by nominating himself/herself by a letter to the Chairperson of the Department on or before 15th March preceding the academic year of expected completion of the promotion process. In order that there be sufficient time for deliberation, candidates are required to submit their dossiers to the department committee and chairperson by 15th August. No meeting at which the candidacies are to be discussed will take place before 1st September. The recommendation of the P&T will be sent to the chair by 1st October.

### **4.1. Work Completed Prior to Employment at UD**

As stated in the University P&T document, "Promotion Dossiers", generally postdoctoral work cannot be used for promotion and tenure considerations without a prior agreement at time of hire. At-rank work at another institution may be included in the dossier, but must be clearly labeled as such.

### **4.2. The Dossier**

With the exception of solicited peer evaluations, the responsibility for preparing and presenting a promotion dossier is entirely the candidate's; however, he/she will have the help of the officers of P&T. Except as noted below, the dossier should be organized per the Faculty Handbook.

- (i) The Department Chair, in consultation with the candidate, will include a statement outlining the candidate's workload division and comparing it to departmental averages.
- (ii) Peer-reviewed publications should be listed as such.

- (iii) Collaborative grant awards should be clearly labeled as such. The contribution of the candidate to the project should be listed.

Candidates should consult previously submitted dossiers for guidance about formatting, organization, etc.

Copies of any information added to the dossier by the candidate after it has left the committee should be made available to the committee by the candidate. In order to highlight new information, the candidate should use the “Dossier Addition Form” available from the Department or the College.

### **4.3. External Reviewers**

#### **4.3.1. Selection**

It is the responsibility of the officers of the P&T to compile a master list of potential external evaluators for each candidate in accordance with Faculty Handbook, with the exception that the Chair of the Department will also be solicited for suggestions. The candidate will be asked to submit at least six names. The officers of the P&T will inform the candidate of the master list and select a final list of evaluators. Before May 15th in the academic year preceding the application for promotion, the P&T Committee will meet to review the master list and approve the final list of evaluators. The final list of evaluators may be modified by the P&T Committee (by a majority vote of those present) but must be selected from the master list provided by the officers.

Subject to the exceptions listed in following subsections, the selection criteria shall be:

- (i) At least six letters of recommendation shall be obtained (at least three from the candidate’s list). A statement shall be added to the “External Reviewers” section indicating which reviewers came from which list.
- (ii) The following people shall not be selected:
  - Those employed concurrently with the candidate at an institution.
  - Collaborators on research projects.
  - Collaborators on grants. In the case of far-flung centers or consortia, collaborators may be selected if the committee can establish that there is no conflict of interest.

#### **4.3.1.1. Promotion to Assistant Professor**

For promotion of non-tenure track faculty to Assistant Professor, three letters will be sufficient (at least two from the candidate’s list). In this case it is permissible for letters to be solicited from persons within the University of Delaware and from persons who have worked closely with the candidate such as the candidate’s PhD Advisor or co-authors.

#### **4.3.1.2. Faculty in Secondary Mathematics Education**

The department P&T Committee will consult colleagues in the College of Human Resources, Education and Public Policy for advice on reasonable and appropriate external reviewers. In addition to assessment of research, some of the external reviewers should be chosen to provide an assessment of any student teaching supervision activities and any inservice activities the candidate may be involved in. (Such reviewers may include high school administrators,

etc.) Reviewing of service and research will be handled by two different sets of reviewers. The external reviewers handling service will be given materials (provided by the candidate) concerning supervision of student teachers, curriculum reform and other related activities.

Written testimonials from the candidate's contacts in the nearby high school mathematics teaching community may be included by the candidate in the dossier.

#### **4.3.1.3. Faculty in Industrial Mathematics**

Some of the external reviewers may be chosen to provide an assessment of the industrial activities of the candidate. Besides the usual portfolio of research papers, these reviewers should be given additional materials (provided by the candidate) concerning industrial activities. These materials could include technical reports and other documents chosen by the candidate. Interviews with the candidate's industrial contacts and testimonials from the industrial contacts can also form part of the external review process.

#### **4.3.2. Solicitation**

The Chair of P&T shall write to evaluators requesting advice before May 29. The letter should be accompanied by

- (a) A copy of the candidate's curriculum vitae,
- (b) A copy of the candidate's statement (if one has been submitted),
- (c) Copies of all the candidate's publications (including those "in press" or "submitted") resulting from at rank studies (or, alternatively, a web link to an online repository of this material),
- (d) A copy of this document.

The letter should request the evaluator to:

- (a) Describe the nature of his/her relationship with the candidate, if any,
- (b) Analyze and critically evaluate the candidate's body of work and accomplishments,
- (c) Compare the candidate with others in the same general area of research at a comparable career level,
- (d) Comment on the candidate's potential for future development,
- (e) Submit a copy of his/her curriculum vita. As required by the University P&T document, "Promotion Dossiers", the CV shall be placed in the dossier.

The Chair of P&T may elect to contact evaluators by telephone or electronic mail before sending materials, to determine the individual's willingness to participate in the evaluation.

#### **4.4. Voting**

- (i) All eligible voting members are expected to attend the meetings prior to balloting. Absentee ballots may be employed only if a committee member is informed on the qualifications of the candidate but for serious professional or personal reasons must be absent from a meeting at which balloting is scheduled.

Application for an absentee ballot must be made prior to leaving campus and will be granted at the discretion of the officers of the P&T. To be valid, absentee ballots must be

received by the secretary of the P&T before the official vote takes place. Balloting related to personnel recommendations will be written and private, and will take place at a separate meeting after discussion of all candidates has been completed.

- (ii) Ballots will be counted only after voting has taken place on all candidates.

#### **4.5. Reports**

For promotions to Associate Professor or Professor, the recommendation from the committee should include an explicit statement as to whether or not the candidate has earned a ranking of “Excellent” in either teaching or research as well a summary of the arguments supporting this view. The recommendation should also reflect the deliberations of the committee. Minority opinions are appendices to the recommendation, jointly comprising the committee’s “report”. Thus the entire report is subject to examination by the committee and must be produced in a timely manner.

- (i) With the consent of the committee (by a vote if necessary), at the voting meeting the officers of the P&T will appoint a subcommittee to draft the committee’s recommendation. Once drafted, the recommendation shall be placed in a secure location for review and written comment by the committee.
- (ii) After the initial review period, the officers will finalize the recommendation and submit it for approval.
- (iii) The officers of the P&T must place the entire report (recommendation and final versions of minority reports) in the dossier by October 1.

#### **4.6. Appeals**

- (i) A written notification of intent to appeal any recommendation of the P&T must be received by the secretary of the P&T within five working days of receiving the recommendation. The candidate then has five working days from the time of filing an intention to appeal to submit a written appeal to the officers of the P&T. The officers of the P&T will present the appeal to the committee. The committee will respond to the appeal within five working days of the filing of the written appeal.
- (ii) A notification of intention to appeal any recommendation of the Chairperson of the Department must be received by the Chairperson of the Department in writing within five working days of receiving the recommendation. The candidate has five working days from the date of filing the intention to appeal to complete filing a written appeal. The Chairperson will respond within five working days following filing of the completed appeal.

The officers of the committee will convey any information they have concerning each case to the committee in a timely fashion.

### **5. Faculty Development**

In accordance with the Faculty Handbook, the department will help new arrivals plan for an orderly progression of promotion. By the end of an individual’s second week at the University, the Chairperson of the Department will initiate a mentoring arrangement for the individual. Mentors should make the individual aware of procedures relating to advancement appearing in the Fac-

ulty Handbook; help him/her collect, evaluate and retain information about his/her teaching, research, and service; explain to him/her the differences between University policy and practice in matters of faculty evaluations, etc. Generally, they should provide the new faculty member with informal advice about his/her progress in and contributions to the Department.

## 6. Summary of Important Dates

The timetable for promotion decisions is governed by the dates in the Faculty Handbook. The departmental P&T will adhere to the following timetable.

Date	Event
Feb 21st	Deadline for election of new officers
March 15th	Deadline for candidates to nominate themselves
May 15th	Deadline for choice of peer reviewers
May 29th	Deadline for request for advice from reviewers
August 15th	Deadline for availability of dossiers to the P&T
Sept 1st	Deadline for notification of intent to participate by faculty on leave

## **A. ADDENDUM — Secondary Mathematics Education**

This addendum addresses some issues relating to the promotion of candidates who request to be promoted on the basis of their involvement with our secondary teacher training program. Involvement in this program is recognized by the department as an important, worthwhile and necessary sphere of activity for some of its faculty members. A candidate stressing involvement in this program must document the full extent of his/her activities in this regard.

### **A.1. Research**

Candidates for promotion and tenure are expected to be active in research and to publish their results in the open literature. The P&T Committee should recognize that the demands for extensive service activities may somewhat lessen the frequency of publication. It should be recognized that the candidate's publications may primarily be in scholarly journals in mathematics education rather than mathematics. Publications may also include chapters in refereed scholarly books, proceedings, and invited chapters in handbooks of research.

### **A.2. Service**

Candidates involved in the secondary teacher training program will have a service record of different focus and quality from regular mathematics candidates. Evidence of service to the department may include (but is not limited to) activities from the following list:

- Direction of in-service workshops.
- Curriculum reform.

### **A.3. Teaching**

The candidate is expected to fulfill the criteria in the Departmental P&T document. The primary responsibility with respect to teaching will be courses required for XMS majors and supervision of student teachers. Candidates are also expected to teach undergraduate courses in mathematics.

## **B. ADDENDUM — Industrial Mathematics**

This addendum addresses some issues relating to the promotion of candidates who request to be promoted on the basis of their involvement with Industrial Mathematics. Involvement in Industrial Mathematics via successful links with industry is recognized by the department as an important and worthwhile activity for faculty members. A candidate stressing industrial mathematics must document successful collaborations with industry (see the Service category below).

### **B.1. Research**

Since industrial collaboration is very time consuming, the traditional research output of the candidate may be adversely affected. The committee should recognize this when judging the quality and quantity of the candidate's research output.

It should be recognized that some publications of candidates involved in industrial mathematics may be in journals that are not traditional mathematics journals. Publications in quality applications journals should be counted as regular publications from the point of view of assessing research output. Patents and proprietary reports (available for private reading by the P&T Committee) will also be taken as evidence of research activity.

### **B.2. Service**

Candidates involved in industrial collaborations are likely to have a service record of different focus and quality from regular mathematics candidates. Evidence of service to the department (and successful industrial collaboration) may include (but not be limited to) activities from the following list:

- Organization and development of graduate internship experiences.
- Industrial consulting.
- Mentoring students involved in graduate internships.
- Industrial seminars (for example, organizing seminars on campus by industrial contacts).
- Fund raising from industrial sources.
- Grant application writing for support of industrial programs.

### **B.3. Teaching**

The candidate is expected to fulfill the criteria in the standard Departmental P&T document.