

PROCEDURES AND GUIDELINES FOR CONDUCTING PROMOTION AND  
TENURE EVALUATIONS FOR FACULTY IN THE DEPARTMENT OF CIVIL,  
ENVIRONMENTAL & ARCHITECTURAL ENGINEERING

Section 1                      Introduction

- 1.1     These criteria set forth the procedures and guidelines used by the Department of Civil, Environmental & Architectural Engineering to evaluate faculty members nominated for promotion and tenure. The criteria are intended to be in accordance with Article VI of the Rules and Regulations of the University's Faculty Senate and with Guidelines and Criteria for Tenure and Promotion found in the Handbook for Faculty and Other Unclassified Staff and with Article VI of the Rules and Regulations of the School of Engineering.
  
- 1.2     The traditional functions of higher education involve advancing knowledge through research and scholarly activity, conveying knowledge through teaching, and applying knowledge through service. The evaluation of faculty accomplishments in these areas forms the basis of recommendation considerations for promotion in rank and award of continuous tenure.
  
- 1.3     The following sections describe the:
  - a)     Procedures to be followed in an evaluation.
  - b)     General criteria for promotion to the different ranks and for awarding of tenure.
  - c)     Functional categories to be used in an evaluation with specific examples of activities.
  - d)     Manner in which a recommendation is to be documented.
  - e)     Relative expected level of activity to be given to the different categories.

These criteria form a set of guidelines and are not to be construed as a set of inflexible rules. Reasonable flexibility should be exercised in the evaluation of a candidate's accomplishments.

Section 2                      Procedures of the Evaluation Process

- 2.1     Constitution of Promotion and Tenure Committee
  - a)     Associate Professor Rank: For candidates aspiring to the rank of Associate Professor, the Department Promotion and Tenure Committee shall comprise all tenured members of the faculty

in the department of the rank of Associate Professor or Professor.

- b) Professor Rank: For candidates aspiring to the rank of Professor, the Department Promotion and Tenure Committee shall comprise all tenured members of the faculty in the department of the rank of Professor.

## 2.2 Annual Nominations for Promotion and/or Tenure

### 2.2.1 Chronology

The timing of the steps described below is determined by the Dean of Engineering.

### 2.2.2 Nominations

Each year, the Department Promotion and Tenure Committee shall review the qualifications and performance of each member of its faculty below the rank of full Professor with a view toward nomination as a candidate for promotion and/or the awarding of tenure. Early in this process, the Department Committee shall meet with each potential candidate for promotion and/or tenure award to determine whether that person wishes to proceed through the process or to defer consideration of the matter to another year. The person's decision in this matter shall be honored. However, a mandatory tenure review will be made for any tenure-track appointment during the last year (sixth year if no prior service is present) of the allowable duration before attaining tenure. It is suggested that the review process be initiated in the spring preceding the academic year in which the nomination shall be considered. Such early consideration will provide ample time for the candidate to develop a complete promotion and/or tenure dossier. The Committee may delegate the review and may be represented in the meeting with each potential candidate by the Department Chair and the Chair of the Department Promotion and Tenure Committee. Each candidate shall, however, have the right to meet with the full Department Promotion and Tenure Committee.

### 2.2.3 Nomination Outside the Department

An individual faculty member shall always be entitled to recommend himself or herself, or others, for promotion and/or tenure outside the regular departmental review procedure. The rules governing this are detailed in the Rules and Regulations of the Faculty Senate.

#### 2.2.4 Dossiers

Once a person has agreed to become a candidate for promotion and/or tenure award, it is the candidate's responsibility to supply the Department Promotion and Tenure Committee with such materials as he or she believes will support the nomination. Suggested documentation is described in Sections 7 and 8. The Department Promotion and Tenure Committee should supplement the materials provided by the candidate whenever this would be useful in assessing the nominee's qualifications for promotion and/or tenure. All materials so collected shall be assembled in a dossier.

#### 2.2.5 Departmental Committee Recommendations

The Department Promotion and Tenure Committee shall review the assembled dossier, provide the evaluations requested in the University's forms, and determine whether promotion and/or tenure should be recommended affirmatively. If the Department Promotion and Tenure Committee, by majority vote of its members, gives an affirmative recommendation, it shall forward its recommendation on the University form, along with the dossier, to the Engineering Senate's Promotion and Tenure Committee. Action to be taken in the event of a negative recommendation is specified in Section 2.2.6.

After arriving upon recommendations, the Department Committee, via its chair, shall provide written feedback to all candidates on the committee's vote, ratings, and rationale for ratings.

#### 2.2.6 Failure to Receive Affirmative Recommendation; Withdrawal

If the nominee fails to receive an affirmative recommendation by the Departmental Promotion and Tenure Committee, he or she shall be promptly informed in writing by the Chair that their dossier will be forwarded for consideration to, respectively, the Engineering Senate Promotion and Tenure Committee, the Dean and subsequently the UCPT only if the nominee specifically so requests, except in the case of the mandatory review year for tenure. Even in a case of affirmative recommendation by the Department Promotion and Tenure Committee or the Engineering Senate Promotion and Tenure Committee, the nominee may at any time request that the nomination be withdrawn except in the case of the mandatory review year for tenure. In the mandatory review

year for tenure, the dossier will be automatically forwarded to the next level of review.

#### 2.2.7 Request for information from a Higher Committee

Should the Department Promotion and Tenure Committee receive a request for information letter from a higher level committee, the committee shall invite the candidate to assist with the response or to include his or her own response.

#### 2.2.8 Additional Information

No new information may be added to the initial review, except for the inclusion of a written statement by the candidate and/or in response to a request for information from the intermediate review committee.

If a candidate receives a negative recommendation or a final rating of teaching, research or service below the level of “good”, the candidate can submit a written response to the next level of review to be added to the dossier.

### Section 3 General Criteria for Promotion

#### 3.1 Promotion to Associate Professor

Because the rank of Associate Professor represents one of the higher levels of academic rank, a person promoted to this position shall have demonstrated the attainment of beginning stages of authority and knowledge in a declared area of specialty within the broader scope of his or her program.

Specialization is not to be construed as “narrowness” at the expense of isolating a teacher’s scholarly activities from the practical applications of their interest to the broader teaching spectrum. Rather, specialization is to signify in-depth awareness, scholarship, and learning in a manner in which the person’s teaching ability is enhanced. Demonstrated teaching ability, based on such in-depth understanding, is a requirement for promotion to Associate Professor.

At the time of consideration for promotion to Associate Professor, a candidate must have demonstrated sound research capability and potential for continued growth in research and/or professional development activities.

Further, for promotion to Associate Professor, a candidate should have demonstrated successful, substantial, and sustained service efforts to the Department, School, University, his or her profession, and/or the external community.

### 3.2 Promotion to Professor

Because the title of Professor represents the highest level of academic rank, it should be reserved for a person who has demonstrated mastery of a specialty in his or her program, in the sense specialty is defined under the Associate Professor requirements.

The candidate should have clearly demonstrated competence as a teacher. Further, the candidate should be a positive contributor to faculty and student morale and spirit, and have shown leadership in the development of an atmosphere which promotes the pursuit of creative and intellectual learning.

A candidate for the rank of Professor should have been engaged in significant research and publication or other scholarly activities which further the knowledge of the profession, and/or have engaged in significant professional activities which have established their position as a leader in the profession.

The candidate should also have demonstrated a continued contribution by way of substantial service to the Department, School, University, his or her profession, and/or the community at large.

### 3.3 Awarding of Tenure

Normally, the awarding of tenure will be done concurrently with promotion to the rank of Associate Professor. Therefore, the criteria for awarding of tenure are generally the same as those for promotion to Associate Professor. In some cases, where a candidate has demonstrated significant achievements either at the University or through prior service, but where the candidate had been a member of the University faculty for an insufficient time to render a tenure decision, promotion may be recommended without tenure.

### 3.4 Time in Academic Rank

The guidelines for time in academic rank are those specified in the University's Handbook for Faculty and Other Unclassified Staff.

The statement is, “In most fields five to six years between appointment as an Assistant Professor and promotion to Associate Professor, and five or six years from Associate Professor to full Professor.”

Prior service, either at another university or in an industry or government professional position, should be considered for time-in-grade purposes toward promotion. The time-in-grade credit will be negotiated by the candidate and the Provost at the initial hire and will be documented in the official offer signed by the Provost.

The Department Committee on Promotion and Tenure shall make a recommendation for time-in-grade credit for prior service. This recommendation for credit shall be forwarded with the promotion dossier.

The Department of Civil, Environmental & Architectural Engineering encourages the development of a faculty that has professional experience in industry or government. Further, the Accreditation Board for Engineering and Technology (ABET), the accreditation body for engineering degree programs in the U.S. and elsewhere, strongly recommends that a significant portion of the engineering faculty have industrial experience.

Promotion and/or tenure recommendations that are made before the “normal” time in grade has elapsed should be based on truly exceptional performance.

## Section 4 Categories of Evaluation

### 4.1 Introduction

The categories of professional activity which are to be evaluated in the process of consideration for promotion and/or award of tenure are:

- a) Teaching
- b) Research and Scholarship
- c) Service and Administration

These categories are defined in what follows and a listing of activities within each are presented. Because professional development can relate to teaching, research, scholarship, and service activities, it is included as a component within each of the three categories given above. The listing in each is intended to represent examples and is not exhaustive. Thus, where

appropriate, additional activities should be documented and evaluated.

Each candidate shall receive a rating of “excellent”, “very good”, “good”, “marginal”, or “poor” in each evaluation category. Absent exceptional circumstances, successful candidates for promotion and tenure will meet disciplinary expectations in all categories while strong candidates are likely to exceed expectations in one or more categories.

## 4.2 Teaching

### 4.2.1 General Statement

Teaching refers to classroom instructional activities and to small group or individual activities related to classroom instruction. Student advising is also considered a part of the teaching function. At the graduate level, teaching is defined additionally to include supervision of theses and dissertations, direction of individual studies, graduate student committee membership, and student evaluation activities such as Ph.D. qualification and comprehensive examinations. Activities which involve the development of teaching aids and materials such as course syllabi, textbooks, class notes, etc., are also a part of the teaching function.

Professional practice is an important part of the preparation and continuing development of a School of Engineering faculty member. Past and continuing industrial experience and consulting are not only recognized, but in fact emphasized by the engineering accrediting agency.

- a) Teaching of undergraduate courses.
- b) Teaching of graduate courses.
- c) Direction of graduate students’ nonthesis reports, theses, and dissertations.
- d) Teaching special problems courses.
- e) Teaching short courses.
- f) New course development.
- g) Textbook or other educational publications.
- h) Student advising.
- i) Significant course modification.
- j) Development or utilization of innovative teaching methods.
- k) Laboratory development.
- l) Preparation of proposals for improvement of instruction.
- m) Enhancement of instruction using examples and case studies obtained through professional practice.

- n) Doctoral and master's committee membership.
- o) Participation in oral examinations.
- p) Preparation and grading of special graduate examinations.
- f) Attending teaching effectiveness seminars and/or short courses.

#### 4.3 Research and Scholarship Activities

##### 4.3.1 General Statement

Research and scholarship refer to activities related to the discovery and interpretation of facts, critical evaluation of available information, design, and creativity. Activities concerned with the communication of research findings and/or scholarly ideas are a part of this category. Such communication takes the form of publication in scholarly books or journals, presentation at professional meetings, technical reports, etc. Professional practice that extends and develops an individual's research development and productivity are also included in this category.

##### 4.3.2 Extramural Funding

The candidate shall demonstrate the ability to obtain extramural funding to sustain and grow their research activities. All candidates seeking promotion must demonstrate identifiable, independent, and essential research contributions to funded projects. Evidence for such contributions include but are not limited to:

- a) Serving as a Principal Investigator or Co-PI
- b) Significant contributions to research publications
- c) Advising and graduating PhD students
- d) Supporting statements from collaborating investigators
- e) Supporting statements in external review letters.

Candidates seeking promotion to professor must additionally demonstrate the ability to independently obtain extramural funding.

Collaborative and interdisciplinary research is strongly encouraged with the candidate clearly identifying their contributions to projects in the dossier.

##### 4.3.3 Research Publication Practices

Publication practices vary among disciplines and sub-disciplines within civil, environmental and architectural engineering.

Generally, however, promotion to associate professor requires the publication of six papers in highly recognized national or international refereed scholarly journals and promotion to professor requires publication of an additional six to eight papers in the same journals. Details pertinent to each discipline may be provided in individual dossiers by the candidate, by those responsible for the initial review, and in external review letters. Candidates are encouraged to describe their role in major publications in their dossier as they deem necessary.

Collaborative and interdisciplinary research is strongly encouraged with the candidate clearly identifying their contributions to publications in the dossier.

#### 4.3.4 Example Research and Scholarship Activities.

Research and scholarly activities considered in the evaluation may include, but are not limited to:

- a) Preparation and submission of research project proposals to funding agencies.
- b) Supervision of funded and/or unsponsored research projects.
- c) Advising graduate students, completed or in progress.
- d) Contributions to research publications
- e) Presentation of papers and seminars at national or international professional conferences.
- f) Presentation of invited lectures.
- g) Receipt of special honors, fellowships, lectureships, etc.
- h) Receipt of patents.
- i) Publication of external technical reports.
- j) Research development through professional practice, sabbaticals, participation in courses, schools, etc
- l) Presentation of papers and seminars at local meetings.

#### 4.4 Service and Administration

##### 4.4.1 General Statement

Service includes professionally related activities that are of benefit to University, local, state, national, or international communities, but which are not teaching, research, or scholarship. Professional practice which does not directly and demonstrably enhance teaching or research productivity is considered a service activity.

Service in an administrative position that is related to the academic and/or research mission of the University is included in this category.

#### 4.4.2 Example Service and Administration Activities

Service and Administration Activities considered in the evaluation may include, but are not limited to:

- a) Service to professional and academic societies (officer, major committees, program chair, etc.).
- b) Service as a member of the editorial board of professional journals.
- c) Service on local, state, national, and international committees.
- d) Service on major departmental, school, or university committees.
- e) Service as a program director for conferences, institutes, short courses, etc.
- f) Service in a major academic administrative position.
- g) Service in a major research administrative position (director of laboratory or institute, etc.).
- h) Service in major department administrative positions.
- i) Service as an advisor to student professional and academic societies
- j) Service on minor committees.
- k) Service in professional and academic societies
- l) Participation in KU Speaker's Bureau
- m) Speak at civic organization meetings
- n) Reviews of others' books, articles, reports and proposals.

## Section 5 Documentation of the Evaluation

### 5.1 General Statement

The three main categories of evaluation for promotion and tenure are listed in Section 4.1 as teaching, research and scholarship, and service and administration. The candidate and the department should present as much information as possible in the dossier to document the candidate's performance in each area. The information should be well-organized, concise, complete, and easily understood in its basic form with appendices providing more detail as necessary.

Documentation of performance for a person who holds a joint appointment in two or more University units should receive special attention by the candidate and the units to ensure that all pertinent

information is presented. The Department Promotion and Tenure Committee of the candidate's primary department is normally responsible for organizing the unit-related documentation. Every effort should be made to coordinate the evaluation activities with the units in which the joint appointment is held.

Particular items of documentation for evaluation of candidates for promotion and tenure are suggested in the subsections that follow.

## Section 6 Documentation of Teaching, Research, and Service Performance

### 6.1 Documenting Teaching Performance

Effective teaching is often difficult to document in a recommendation for promotion or tenure. It is important that a variety of factors be considered and it is incumbent on the evaluators to develop means of objectively assessing teaching competence. Factors in addition to classroom performance, as indicated in Section 4, are relevant in the evaluation procedure.

Suggested items of documentation to be used in the evaluation of teaching follow.

#### 6.1.1 Documentation Directly Related to Classroom Teaching

- a) Semester-by-semester listing of courses and numbers of students taught.
- b) School, university, regional, national, or international awards for teaching excellence.
- c) Reporting and assessment of current and past student evaluations.
- d) Solicited or unsolicited statements by current and past students.
- e) Solicited or unsolicited statements by alumni (this may be particularly important for some faculty members whose contributions are better recognized by students after they graduate than while the students are in school).
- f) Statements by peers (including peer teaching reviews), within and outside of the School of Engineering, relating to the:
  - i) Faculty member's instructional performance.
  - ii) Faculty member's depth of understanding a particular field.
  - iii) Ability to relate the field of specialization to other areas.
- g) Statements by the departmental Chair regarding teaching ability.

### 6.1.2 Specific Evaluation of Graduate Teaching

- a) Evaluation by graduate students. This may be done better on an individual basis than by surveys where the number of graduate students per class is small.
- b) Documentation of quantity of individual student guidance (problem courses, master's theses, dissertations).
- c) A measure of the quality of individual student guidance. This may be provided by peers or by careful evaluation of the student comments.
- d) Evaluation of the quality of theses, dissertations, and master's non-thesis problem work.
- e) Statements by the department's Chair or other faculty on the performance of the individual as a member of graduate student committees and an examiner in oral examinations for graduate students.

### 6.1.3 Other Teaching Activities

- a) Documentation on the authorship of textbooks or courses including information as to the quality, originality, and amount of effort involved.
- b) Statements by the department on the breadth of courses taught by the individual and the importance of this breadth to the department.
- c) Description of short courses and seminars, including evaluations where appropriate.
- d) Description of innovative teaching methods with comments as to quantity and quality of effort.
- e) Documentation of development of new laboratories or improvements of existing laboratories.
- a) Statements relative to special advising activities.

## 6.2 Documentation of Performance in Research, Scholarship, and Professional Development

In this documentation, emphasis should be given to the levels of excellence and the contributions to knowledge due to the candidate's work. Specifically, documentation of the following type should be considered.

### 6.2.1 Technical Papers

- a) Listing of peer-reviewed papers, including an indication of the type and prestige of the journal or other publication venue,

the type of paper (e.g., letter to editor, review or invited paper, new material).

- b) Listing of papers submitted for peer review but not yet accepted (rejected papers must not be included), with a review by School or other peers if possible.
- c) Listing of non-peer reviewed presentations and publications including an indication of the prestige of the venue, method of selection of papers, etc.

#### 6.2.2 Research Reports

- a) Listing of reports, including an indication of the newness and importance of the material, thoroughness of treatment, breadth of distribution, extent of review by research sponsor or others, and candidate's contribution in the case of a report with multiple authors.
- b) Listing of reports published as a government document or a part of a report series.
- c) Indication of references made to candidate's reports by other researchers.

#### 6.2.3 Books

Listing of research or scholarly books, including an indication of the prestige of or the "series" of which the book is a part, and extent of adoption by other universities or other research or scholarly organizations. Textbooks or other educational materials are to be documented in the teaching portion of the candidate's dossier.

#### 6.2.4 Patents

Listing of patents and a statement by peers as to the importance of the patents.

#### 6.2.5 Research Projects

- a) Listing of submitted research project proposals indicating titles, funding agencies, requested amounts, whether awarded or not, and the participation of the candidate in preparation of the proposal (e.g., PI, Co-PI, Co-I, etc.).
- b) Listing of completed and ongoing research project titles including, where appropriate, an indication of the quality of work, dollar amount of projects, number of students working on and funded by the projects, and degree of satisfaction by

the sponsor, and the participation of the candidate in completion of the project.

- c) Statement of the relation of the research to the frontier of knowledge (i.e., position in the spectrum of research from conventional to frontier).
- d) Statement, where appropriate, regarding national and international cooperation involved in the candidate's research.
- e) Statement regarding the degree to which the candidate cooperated with other faculty in his or her research.

#### 6.2.6 Awards

A listing of any awards received by the candidate for papers, research projects, or general research, scholarly, or related professional development merit.

#### 6.2.7 Consulting

- a) A statement relative to the quality of the consulting. This probably will require exterior judgment by someone associated with the work.
- b) Statement as to whether the consulting is routine or involves frontier areas of knowledge.
- c) Statement regarding any publications that resulted from the consulting.
- d) Statement as to whether the consulting enhances teaching and research, and if so, in what way.

#### 6.2.8 Prior Industrial Service and Industrial Leave

Prior industrial service or industrial service during leave is of great importance to the School of Engineering faculty. However, this must be evaluated to the extent possible. Documentation might include the following:

- a) Statement from appropriate outside persons regarding both the quality and the level of the work.
- b) Statement as to whether the industrial work is, in some manner, equivalent to a comparable amount of teaching and research at a university. This is important because of the need to evaluate equivalent times spent in universities and industrial or government organizations.
- c) Statement regarding the importance of the position held by the candidate, preferably supported by referees external to the University.
- d) Statement regarding the relevance of the outside work to the

University position held by the candidate.

### 6.3 Documentation of Service and Administration

Service activities are often diffuse and/or “taken for granted” and therefore may require particular care in their documentation. Accomplishments in the performance of major administrative duties should be described as the time commitment is often substantial. Examples of types of acceptable documentation of service and administration follow.

#### 6.3.1 General Service to the University Community

- a) Specification of committee work with statements highlighting special accomplishments (e.g., indication of committee responsibility such as Chair, Secretary, etc.).
- b) Service for student organizations with supporting statements from students or peers where appropriate.
- c) Documentation of minor administrative responsibilities.

#### 6.3.2 Service to Local, State, National, or International Community

- a) Specification of the nature and value of the service.
- b) Statement, from persons outside the University, indicating the importance of the service and the time commitment.
- c) Documentation of special professional society service, such as committee activities, program and/or conference organization, etc.

#### 6.3.3 Major University Administrative Service

- a) Documentation of the nature of the administrative position, including primary responsibilities and time commitment.
- b) Evaluations of performance by the person’s supervisor and others who dealt with him or her in their administrative capacity. Special accomplishments should be described.

## Section 7 Relative Percent Effort of the Categories of Evaluation

- 7.1 The relative importance of the different categories (teaching; research and scholarship; service and administration) is variable by individual, and by rank. Normal ranges of weighting for each category are set forth in this document to provide guidelines. The weightings are to serve as a general guide in assessing a relative importance to be placed on each category and are generally

applicable for faculty within the Department of Civil, Environmental & Architectural Engineering.

7.2 In addition, the percent effort are set forth for the following purposes:

- a) To encourage a certain minimum effort in all three categories.
- b) To recognize, insofar as reasonable, variation of individual capabilities and/or interests.
- c) To encourage the development of teaching effectiveness by junior members of the faculty and an increasingly broad range of activities on the part of senior members.

Table 7.1 gives the range of Percent Effort for promotion to each rank.

**Table 7.1 Normal Percent Effort for Promotion to Each Rank**

| <b>Category</b>                   | <b>Promotion to</b>        |                  |
|-----------------------------------|----------------------------|------------------|
|                                   | <b>Associate Professor</b> | <b>Professor</b> |
| <b>Teaching</b>                   | 40-60%                     | 30-50%           |
| <b>Research and Scholarship</b>   | 30-50%                     | 30-50%           |
| <b>Service and Administration</b> | 10-30%                     | 10-40%           |