

NORTH DAKOTA STATE UNIVERSITY  
**STAFF SENATE MEETING MINUTES**

March 12, 2008

Visit the Staff Senate website at  
[www.ndsu.nodak.edu/staff\\_senate](http://www.ndsu.nodak.edu/staff_senate)

Full Staff Senate meetings are held the second Wednesday of each month from 9:30-10:30a.m.  
The Executive Committee meets on the fourth Wednesday of each month from 9:30-11:00a.m.

**Upcoming Staff Senate Meetings:**

April 9, 2008	9:30-10:30 am	Prairie Rose Room, Memorial Union
May 14, 2008	9:30-10:30 am	Memorial Union Great Plains Room
June 11, 2008	9:30-10:30 am	Memorial Union Great Plains Room

**Upcoming Executive Committee Meetings:**

April 23, 2008	10:00-11:00 am	Memorial Union Crest Room
May 28, 2008	10:00-11:00 am	Memorial Union Crest Room
June 25, 2008	10:00-11:00 am	Memorial Union Crest Room

***All broadbanded staff members are encouraged to attend.***

North Dakota State University does not discriminate on the basis of race, color, national origin, religion, sex, disability, age, Vietnam Era Veterans status, sexual orientation, marital status, or public assistance status. Direct inquiries to the Executive Director and Chief Diversity Officer, 202 Old Main, (701)231-7708.

Before the meeting, Vance Olson introduced Jaclynn Davis Walette, Multicultural Student Services, who spoke briefly about the upcoming Tri-College Pow Wow on Saturday, March 15 at 1:00 pm on the Concordia College campus. It is free and open to the public.

**I. Meeting was called to order by President Barb Geeslin at 9:30 am.**

**II. Attendance and Substitutions – Bonnie Cooper, substituting for Heather Heger.**

For today's meeting, there was a quorum with 58 senators present and nine absent.

Substitutions:

Janine Trowbridge for Kris Mickelson
Jen Baker for William Vandal

Senators absent without substitutions: Jody Bohn, Pierre Freeman, Steve Harris, Pam Hommen, Brenda Jacobson, William Law, Anna Peterson, Bruce Steele, Tonya Stokka

Guests: Lada Burgard, Ramone Danielson, Connie Jadry, Korey Krabbenhoft

**III. Approval of Agenda.**

The meeting agenda stood as amended.

**IV. Program.**

**Guest Speaker – Eveadean Myers, Executive Director and Chief Diversity Officer, Office of Equity and Diversity.**

Vance Olson introduced Evie Myers, the guest speaker, who spoke about diversity on campus, recent activities, and future plans of the Office of Equity and Diversity. She invited Senators to report instances of sexual harassment and discrimination. She is available to come to departments to talk about diversity. She is working to create a Diversity Center on campus.

**V. Approval of the February 13, 2008, meeting minutes.**

MOTION (Miller/Mattern): to approve the minutes as presented. MOTION CARRIED.  
Staff Senate minutes are available at  
[http://www.ndsu.nodak.edu/staff\\_senate/meetings.shtml](http://www.ndsu.nodak.edu/staff_senate/meetings.shtml).

**VI. Treasurer's Report.**

Laura Dallmann presented the Treasurer's Report. There are fund balances of \$10,739.82 in local funds and a zero balance in appropriated funds.

**VII. Committee Reports.**

**A. Arboretum – Report from Jody Bohn.** See Attachment 1

**B. Election – Steve Bergeson.**

With elections coming soon, Bergeson asked Senators to encourage others to run for open Senator positions. Nominations are now open, with voting to take place in April. Bergeson expressed thanks to Dale Summers from ITS for getting the nomination Web site up and running.

**C. Policy Coordination Committee – Gretchen Bromley.**

**For Information only:** See Attachment 2

Policy 135 Family Medical Leave – Uncompensated  
Policy 143 Sick/Dependent Leave  
Policy 147 Leave Sharing Program  
Policy 352 Promotion, Tenure, and Evaluation  
Policy 713 Records Management

**D. Public Relations – Gretchen Bromley.**

President Geeslin thanked Bromley for the latest issue of the *Messenger* newsletter. Bromley invited Senators to contribute information for the *Messenger* newsletter in the future. Bromley announced that PR committee will be meeting with the Bylaws committee to talk about possible changes to committee responsibilities.

**E. Staff Development – Vicki Miller.**

Miller said they have had a very successful year with staff development activities. The recent photography workshop went very well.

**VIII. Old Business.**

**Sustainability Task Force (STF) – Gretchen Bromley**

Bromley distributed an update of STF activities and the Student Senate's resolution regarding sustainability on campus. The STF is finding that it is a broad topic and could potentially impact many areas. She encouraged Senators to go to the blackboard site and review. She also encouraged Senators to feel free to join the activities at any time. They have much research to do yet and will be reporting to Staff Senate periodically.

**IX. New Business.       None**

**X. Advisor Comments – Broc Lietz.**

Lietz reported that the Compensation Committee of the Human Resources Council (HRC) at University System level has drafted a report which, if adopted, will recommend staff salary funding for the next legislative session. The report is submitted to the State Board of Higher Ed for review; then the legislature will have final review and allocate salary based on what the state can afford. The HRC has recommended a 6.5% increase in salary for each of the two years of the biennium and an additional \$15M in equity pool money.

Each campus determines how salary funds are distributed at that campus. Equity pool money is used to rectify faculty salaries, which is where the greatest need is. In most instances, NDSU faculty salaries are double digits behind in the market. The funding is also used to adjust staff salaries where needed. NDSU staff salaries are on average 2.3% below the market. Seven years ago, staff salaries were 8% below average, so much progress has been made. This campus has been good about keeping attention on BOTH staff and faculty salaries, rather than just focusing more attention on faculty.

Lietz indicated that the salary issue is the single hardest with which he deals. Evie Myers added that she also reviews all hires and makes sure they are equitable, as an extra set of eyes.

Lietz said that the HRC drives policy issues at the University System level. Starting July 1, it is NDSU's turn to have the doctoral representative on the HRC. This person does needed research for the committee and brings outside perspective to the discussion.

**XI. Announcements.**

Janine Trowbridge announced that collections are being taken for the local YWCA Shelters. Contact Bruce Steele, Janine Trowbridge, or Kris Mickelson for more information.

A Campus Kudo with a certificate was presented to Vance Olson by Lori Sholts on behalf of the PR committee. Laura Dallmann had nominated Olson for his role in coordinating the Valentine's Ball.

**XII. Adjournment.**

MOTION (Adams/Prunty): to adjourn the meeting. MOTION PASSED WITH UNANIMOUS CONSENT. The meeting was adjourned at 10:30 am.

**NOTE: Senators who must be absent from a Staff Senate meeting are to send a substitute. Any regular broadbanded employee who is not a senator may be a substitute and will have all the rights and privileges as a Staff Senator at that meeting. Substitutes, please sign in on the attendance sheet listing by the Staff Senator's name for whom you are substituting. Please notify Membership/Attendance Officer Heather Heger prior to the meeting (231-8293 or heather.heger@ndsuh.edu).**

Respectfully submitted,  
Kay Sizer  
Staff Senate Secretary

**Attachment 1**

**Arboretum Committee  
2/26/08 – Student Government Conference Room**

Over the past three months, third year architecture students from the Department of Architecture & Landscape Architecture provided diagrams illustrating the roles, circulation patterns, gathering guidance, use of the existing foundation and vegetation, and the theme for the Dakota Plaza to Land Elements Architecture, for the development of plaza drawings. Land Elements matured these ideas and drawings into two aesthetically pleasant proposals. The proposals focused on circulation patterns, gathering space, warmth of native grasses while being centered around the Dakota marker which will identified the plaza. On February 26<sup>th</sup>, the arboretum committee reviewed both proposals providing ideas and concerns while focusing on proposal one. The committee recommended proposal one with minor changes and adjustments noted by Land Elements. Changes will be made as recommended by the committee and proposal one will be looked at again mid March. Work is still scheduled to begin late spring with the phase I dedication to be conducted during Homecoming activities this fall.

*Submitted by Jody Bohn*

**Attachment 2**

**POLICY CHANGE COVER SHEET**

1. Effect of policy addition or change (explain the important changes in the policy or effect of this policy):  
**Section 135: Family Medical Leave - Uncompensated**  
Because of questions received in the HR/Payroll office regarding how to apply for the leave sharing program, item #11 was added to briefly describe the process.
2. This policy has been reviewed/passed by the following (include dates of official action):  
Policy Coordination Committee – 1/18/08  
University Senate -  
Staff Senate -  
President's Council -
3. This policy revision was originated by (individual, office or committee/organization):  
Office of Human Resources/Payroll

**SECTION 135: FAMILY MEDICAL LEAVE - UNCOMPENSATED**

**SOURCE: NDUS Human Resource Policy Manual, Section 22  
NDSU President**

1. Family leave is an unpaid leave of absence available to all eligible employees for the birth, adoption, or foster placement of a child; or for the serious health condition of the employee, the employee's parent, child or spouse. Consistent with applicable law and upon notice to the employee by the employing entity or election by the employee, family leave may be concurrent with paid sick or annual leave.

1.1

Eligible employees are those individuals employed by NDSU for at least twelve months, and who have worked at least one thousand two hundred fifty hours over the previous twelve months.

1.2

Family leave used for the birth, adoption, or foster care placement of a child must conclude within 12 months of the event.

1.3

Medical certification may be required by NDSU to verify the existence of a serious health condition including date of commencement and probable duration of illness. *If medical certification is requested it must be returned to NDSU within 15 days of the request unless it is not practical under the circumstances to do so despite diligent good faith efforts. If medical certification is not provided in a timely manner, NDSU may deny Family Medical Leave of Absence (FMLOA) until the certification has been provided.*

1.4

The maximum length of *total uncompensated* Family Medical Leave for eligible *full time* employees is twelve weeks within a 12-month period that begins with the first day of leave. *Leave for eligible part time employees is based on pro rata by comparing the new schedule with the employee's normal schedule.* Leave for birth or adoption of a child may be taken intermittently if approved by the employing entity; leave because of the serious health condition of the employee, a parent, child or spouse may be taken intermittently if medically necessary. A married couple is not limited to a total of twelve weeks if both are employed by the state; each is entitled to twelve weeks. Reasonable and practical notice must be provided to the agency.

1.5

*If NDSU has questions regarding a health care provider's certification, a second opinion may be required at NDSU's expense.*

1.6

*While on FMLOA leave, a status report regarding intent to return to work upon conclusion of the leave must be given to the manager or supervisor.*

1.7

*While on FMLOA, holidays are uncompensated unless the employee works the day before and the day after the holiday.*

1.8

*If the FMLOA is due to an employee's serious health condition which makes them unable to perform their job, NDSU requires certification from the health care provider that she/he is able to return to work. The beginning of an employee's FMLOA and returning from an employee's FMLOA leave are considered a "change in family status" for flex plan purposes. A 30-day window from the date of the change is allowed to change election on an employee's flex plan.*

1.9

When leave is completed, the employee must be returned to the same position, or a position with equivalent compensation and benefits. If a reduction in force would have caused the position to be eliminated, this reinstatement does not apply.

1.10

Employees utilizing family leave will be provided health benefits at the same level and as if the employee had not taken leave.

*1.11*

*Contact the Office of HR/Payroll to request family medical leave paperwork. Once completed, return paperwork to Office of HR/Payroll for processing. After eligibility is determined, notice will be sent to employee and supervisor.*

HISTORY: January 1990; Amended September 1993, March 1996; July 1997, March 2004, January 2006

## **POLICY CHANGE COVER SHEET**

1. Effect of policy addition or change (explain the important changes in the policy or effect of this policy):  
**Section 143: Sick/Dependent Leave**  
Language added to section 7 per Board Policy change. This change formalizes the process for deducting any sick leave that was taken in advance of accumulation (from the employees' last paycheck), provided the employee has signed an authorized agreement to do so.
2. This policy has been reviewed/passed by the following (include dates of official action):  
Policy Committee: 10/19/07; 11/21/07; 12/19/07; 1/18/08  
University Senate:  
Staff Senate:  
President's Council:
3. This policy was originated by (individual, office or committee/organization):  
*Office/Department Name (Date submitted)*

**Version 3 (1/22/08)**

## **SECTION 143: SICK/DEPENDENT LEAVE**

**SOURCE: SBHE Human Resource Policy Manual  
NDSU President**

1. Sick leave is a benefit granted by the University to eligible employees and is not a benefit considered to be earned by the employee such as annual leave. It is an insurance benefit

allowing employees to build a reserve of days they can use for their extended illnesses. *Abuse of this benefit may be grounds for disciplinary action or termination.* Employees are responsible for informing their supervisors prior to the start of their work schedule of their sickness.

1.1

The employing department may require satisfactory medical verification as deemed necessary by the department head prior to the payment of sick leave.

1.2

The employee is responsible for furnishing their supervisor or department head with a completed "Notification of Employee Leave" card upon returning to work.

2. Sick leave is granted on the basis of continuous service from date of employment for benefited staff employees, *and benefited 12-month academic staff and other non-banded staff.*
3. Sick leave for full-time eligible employees accrues based on rate per hour at a rate equivalent to 12 days per year. Sick leave for eligible part-time employees working 20 hours or more per week is granted on a prorated basis. Sick leave accumulation is unlimited.
4. Sick leave may be granted to employees who become ill while on vacation provided satisfactory medical proof of such illness is submitted.
5. When a holiday occurs during a paid sick leave, the holiday is not considered a day of sick leave.
6. Upon termination, employees with ten years of continuous state service will receive a payment equivalent to 10% of the dollar value of their accrued sick leave. The amount is computed on the basis of the employee's salary at the time of termination and shall be in the form of a lump-sum payment.
7. At the discretion of the department head and the concurrence of the Director of Human Resources/Payroll, an employee may be granted sick leave in advance of the accumulation thereof. Any sick leave taken in advance of accumulation ~~shall~~ may be deducted from the employee's last paycheck provided the employee has signed an agreement authorizing the deduction. This agreement must be submitted to and approved by the Office of HR/Payroll prior to the employee obtaining a negative accrual balance.
8. *Unless an approved leave of absence has been granted, an employee who is off the payroll for one year shall lose unused sick leave.*
9. Accrued sick leave is transferable from any state agency to the employing institution if employment with the institution occurs within one calendar year of separation of service with the state agency. In the event of a Reduction in Force, sick leave is transferable if reemployment occurs within two calendar years.
10. Sick leave may be used by the employee when:

10.1

The employee is ill or injured and is unable to work.

10.2



The employee has an appointment for the diagnosis or treatment of a medically related condition.

10.3

The employee wishes to attend to the needs of an eligible family member who is ill or to assist them in obtaining other services related to their health or well-being. Eligible family members include the employee's spouse, parent (natural, adoptive, foster, and step-parent); child (natural, adoptive, foster, and step-child); or any other family member who is financially or legally dependent upon the employee or who resides with the employee for the purpose of the employee providing care to the family member.

10.4

Sick leave used for the purposes described in 10.3 shall not exceed forty (40) hours per calendar year. Once the forty (40) hours have been exhausted, the employee must then use annual leave for situations outlined in 10.3.

11. *The accrual of sick leave shall be prorated for the pay period in which employment begins or ends.*
12. *Sick leave is not accrued during developmental leaves or leaves of absence without pay.*
13. *Accumulated sick leave may be used for any period(s) of actual disability caused or contributed to by pregnancy. Beyond the period of disability, an employee may request use of annual leave, family leave, and/or leave without pay to provide for an extended post-delivery period away from work.*
14. *"Notification of Employee Leave" cards are processed on an on-going basis. Each department is responsible for verifying the Departmental Leave Report. Late leave cards and errors must be submitted to the Office of Human Resources/Payroll for entry and/or corrections.*

HISTORY: July 1990; Amended April 1992; July 1997, April 2002, January 2004; November 2005; January 2007

## **POLICY CHANGE COVER SHEET**

1. Effect of policy addition or change (explain the important changes in the policy or effect of this policy):

**Section 147: Leave Sharing Program**

Because of questions received in the HR/Payroll office regarding how to apply for the leave sharing program, item #10 was added to briefly describe the process.

2. This policy has been reviewed/passed by the following (include dates of official action):

Policy Coordination Committee – 1/18/08

University Senate -

Staff Senate -

President's Council -

3. This policy revision was originated by (individual, office or committee/organization):

Office of Human Resources/Payroll

## **SECTION 147: LEAVE SHARING PROGRAM**

**SOURCE: SBHE Human Resource Policy Manual 20.6  
NDSU President**

1. All non-temporary, non-probationary employees with over six months of continuous service with the State are eligible to receive shared leave pursuant to the following conditions:

1.1

The President has determined that the employee meets the criteria described in this section.

1.2

The employee has abided by University System policies regarding the use of sick leave.

1.3

The employee's use of shared leave, including both annual and sick leave, does not exceed four months in any twelve month period.

2. Employees may donate leave to other state employees pursuant to the following conditions:

2.1

Annual Leave Donations -

2.1.1

The receiving employee has exhausted or will exhaust, all annual leave, applicable sick leave, and compensatory time off due to an illness, injury, impairment, or physical or mental condition, that is of an extraordinary or severe nature, and involves the employee, a relative of the employee, or household member of the employee.

--"relative of the employee" is limited to the spouse, child, stepchild, grandchild, grandparent, stepparent, or parent of the employee.

--"household members" means those persons who reside in the same home, who have reciprocal duties to and do provide financial support for one another. This includes foster children and legal wards even if they do not live in the household.

--"extraordinary or severe" means serious, extreme, or life threatening. It does not include conditions associated with normal pregnancy.

2.1.2

The condition has caused, or is likely to cause, the receiving employee to go on leave without pay or terminate employment.

2.1.3

The donating employee donates leave in full hour increments and retains a leave balance of at least forty hours.

## 2.2

### Sick Leave Donations-

#### 2.2.1

The receiving employee has exhausted, or will exhaust, all annual leave, sick leave and compensatory leave due to an illness, injury, impairment, or physical or mental condition, that is of an extraordinary or severe nature.

#### 2.2.2

The condition has caused, or is likely to cause, the receiving employee to go on leave without pay or terminate employment.

#### 2.2.3

The employee may not donate more than five percent of the employee's accrued leave hours, and all leave must be donated in full hour increments.

3. NDSU shall require the employee to submit, prior to approval or disapproval, a medical certificate from a licensed physician or health care practitioner verifying the severe or extraordinary nature and expected duration of the employee's condition.
4. Donated leave is transferable between employees in different state entities.
5. One hour of donated leave must be regarded as one hour of shared leave for the recipient.
6. Any donated leave may only be used by the recipient for the purposes specified within this policy and is not payable in cash.
7. All forms of paid leave available for use by the recipient must be used prior to using shared leave.
8. Any shared leave not used by the recipient during each occurrence as determined by the department head of the employees may be retained by the recipient.
9. All donated leave must be given voluntarily. No employee may be coerced, threatened, intimidated, or financially induced into donating leave for purposes of the leave sharing program.
10. *Contact Office of HR/Payroll to request Leave Sharing paperwork. Once completed, return to the Office of HR/Payroll for processing. After eligibility is determined, notice will be sent to the employee and supervisor.*

HISTORY: October 1993; Amended April 1996; July 1997; October 2007

## POLICY CHANGE COVER SHEET

1. Effect of policy addition or change (explain the important changes in the policy or effect of this policy):  
**Section : 352: Promotion, Tenure and Evaluation**  
*Policy was rewritten by University Senate.*
2. This policy has been reviewed/passed by the following (include dates of official action):  
Policy Committee: 10/19/07; 11/21/07; 12/19/07; 1/18/08; 2/19/08  
University Senate:  
Staff Senate:

President's Council:

3. This policy was originated by (individual, office or committee/organization):  
University Senate (9/11/07)

## SECTION 352: PROMOTION, TENURE, and EVALUATION

SOURCE: NDSU President & NDSU University Senate

### I. INTRODUCTION

A. The promoting of faculty and awarding of tenure, and the prerequisite processes of evaluation and review, are of fundamental importance to the long-term ability of the University to carry out its mission. Promotion recognizes the quality of a faculty member's scholarship and contributions in the areas of teaching, research, and service. Promotion acknowledges that the faculty member's contribution to the university is of increasing value. Tenure assures academic freedom and enhances economic security for faculty members who show promise of sustained contributions in those three areas. Tenure aims to both recognize a candidate's potential long-term value to the institution as evidenced by professional performance and growth and to provide the expectation of continued employment. The decision to award tenure rests on criteria that reflect the potential long-term contribution of the faculty member to the purposes, priorities, and resources of the institution, unit, and program. With the individual autonomy derived from academic freedom and tenure comes the responsibility to create and/or maintain an ethical, respectful, and professional work climate for oneself, one's colleagues, one's students, and others with whom one relates professionally. Due to the emphasis on institutional purposes and priorities, tenure recommendations should be reviewed at department, college, and university levels.

Formatted: Outline numbered + Level: 1 + Numbering Style: I, II, III, ... + Start at: 1 + Alignment: Left + Aligned at: 0.25" + Tab after: 0.5" + Indent at: 0.5"

Deleted: 1.1

Formatted: Outline numbered + Level: 2 + Numbering Style: A, B, C, ... + Start at: 1 + Alignment: Left + Aligned at: 0.88" + Tab after: 1.13" + Indent at: 1.13"

B. From the University's mission flows the expectation that each faculty member will make contributions of high quality to the areas of teaching, research, and service. "Teaching" includes all forms of instruction both on- and off-campus. "Research" includes basic and applied research and other creative activities. "Service" includes public service, service to the University, college, and department, and service to the profession. Because of the University's mission, the quality and quantity of contributions in all three areas will be considered at the times of promotion and tenure. But, because of variations among faculty in strengths and/or responsibilities, faculty members are not expected to exhibit equal levels of accomplishment in all areas. Moreover, disciplines will vary with respect to the kinds of evidence produced in support of quality of contributions.

Deleted: 1.2

Deleted: With the individual autonomy derived from academic freedom and tenure comes the responsibility to create and/or maintain an ethical, respectful, and professional work climate for oneself, one's colleagues, one's students, and others with whom one relates professionally.

C. The policies and standards of each college should be congruent with the University's mission and its policies on promotion and tenure, and also should reflect the college's unique expectations of its faculty members. The policies and standards of academic units within each college should be consistent with the missions of the University and college and their policies on promotion and tenure, and also should designate evidence of how faculty in the academic unit meet the expectations of the college and University.

## II. UNIVERSITY PROMOTION, TENURE, POST-TENURE, AND EVALUATION: CRITERIA AND EVIDENCE

A. Promotion and granting tenure are not automatic. In addition to contributions in the areas of teaching, research, and service, consideration may be given to factors such as professional background and experience.

B. The evaluation of a candidate's performance shall be based on the individual's contributions to teaching, research, and service, on- and off-campus, in regional, national, or international activities. Judgments will be based on evidence of both the quality and significance of the candidate's work.

### 1. TEACHING

#### a. CRITERIA

In the areas of teaching, (as defined above), the following criteria apply to evaluation of contributions by a candidate for promotion, tenure, and post-tenure review:

- i. The effective delivery of instruction to and the stimulation of learning by students and/or clients;
- ii. the continuous improvement of courses or instructional programs;
- iii. the effective advising and mentoring of undergraduate and/or graduate students.

#### b. EVIDENCE

A candidate demonstrates quality of teaching (encompassing both instruction and advising) by providing evidence and information from multiple sources such as:

- i. the receipt of awards or special recognition including certification or licensing for teaching;
- ii. student, peer, and client evaluation of course materials, expertise, and ability to communicate knowledge;
- iii. peer evaluation of an individual's contribution to the improvement of instructional programs through the development and/or implementation of new courses, curricula or innovative teaching methods;
- iv. the dissemination of best practices in teaching;

Deleted: 1.3

Formatted: Outline numbered + Level: 1 + Numbering Style: I, II, III, ... + Start at: 1 + Alignment: Left + Aligned at: 0.25" + Tab after: 0.5" + Indent at: 0.5"

Deleted:

Deleted: 2.1

Formatted: Outline numbered + Level: 2 + Numbering Style: A, B, C, ... + Start at: 1 + Alignment: Left + Aligned at: 0.88" + Tab after: 1.13" + Indent at: 1.13"

Deleted: and no formulas apply

Deleted: ,

Deleted: , and time in rank

Deleted: 2.2

Deleted: assigned responsibilities in

Deleted: or

Deleted: areas

Formatted: Outline numbered + Level: 3 + Numbering Style: 1, 2, 3, ... + Start at: 1 + Alignment: Left + Aligned at: 1.25" + Tab after: 1.5" + Indent at: 1.5"

Formatted: Outline numbered + Level: 4 + Numbering Style: a, b, c, ... + Start at: 1 + Alignment: Left + Aligned at: 1.75" + Tab after: 2" + Indent at: 2"

Deleted: research, and service

Deleted: will serve as general standards for

Formatted: Indent: Left: 2"

Deleted: .

Deleted: <#>2.2.1 A candidate demonstrates quality of teaching (encompassing both instruction and advising) by providing evidence of the following: ¶ 2.2.1.1 t

Formatted ... [1]

Deleted: 2.2.1.2

Deleted: 2.2.1.3

Deleted: 2.2.2

Formatted ... [2]

Formatted: Indent: Left: 2"

Deleted: research

Deleted: of

Formatted ... [3]

Deleted: peer,

- v. evaluation by advisees of the quality of graduate and undergraduate advising.

## 2. RESEARCH

### a. CRITERIA

In the areas of research and creative activities (as defined above), the following criteria apply to evaluation of contributions by a candidate for promotion, tenure, and post-tenure review:

- i. contributions to knowledge, either by discovery or application, resulting from the candidate's research, and/or
- ii. creative activities and productions that are related to the candidate's discipline.

### b. EVIDENCE

A candidate demonstrates quality of research by providing evidence of completed original work (i.e., published/in press, exhibited, or funded) from multiple sources such as:

- i. presentation of scholarly or professional papers, and publication of books or articles;
- ii. juried or invited presentations or productions in the theater, music, or visual arts, design, and architecture;
- iii. the development and public release of new products or varieties, research techniques, copyrights, and patents or other intellectual property;
- iv. peer evaluation of research by colleagues from an individual's discipline or area of expertise;
- v. the receipt of awards or special recognition for research;
- vi. the receipt of grants or other competitive awards.

## 3. SERVICE

### a. CRITERIA

In the areas of service (as defined above), the following criteria apply to evaluation of contributions by a candidate for promotion, tenure and post-tenure review:

- i. contributions to the welfare of the department, college, university, or profession, and/or
- ii. contributions to the public that make use of the faculty member's academic or professional expertise.

### b. EVIDENCE

A candidate demonstrates quality of service by providing evidence and information from multiple sources such as:

- i. the receipt of awards or special recognition for service;
- ii. evaluation of an individual's service contributions by peers, administrators, and constituents;

**Formatted:** Outline numbered + Level: 3 + Numbering Style: 1, 2, 3, ... + Start at: 1 + Alignment: Left + Aligned at: 1.25" + Tab after: 1.5" + Indent at: 1.5"

**Formatted:** Outline numbered + Level: 4 + Numbering Style: a, b, c, ... + Start at: 1 + Alignment: Left + Aligned at: 1.75" + Tab after: 2" + Indent at: 2"

**Formatted:** Indent: Left: 2"

**Deleted:** 2.2.2.2 furthering of or original

**Formatted:** Outline numbered + Level: 5 + Numbering Style: i, ii, iii, ... + Start at: 1 + Alignment: Left + Aligned at: 2.25" + Tab after: 2.5" + Indent at: 2.5"

**Deleted:** 2.2.2.3

**Formatted:** Outline numbered + Level: 4 + Numbering Style: a, b, c, ... + Start at: 1 + Alignment: Left + Aligned at: 1.75" + Tab after: 2" + Indent at: 2"

**Deleted:** 2.2.3

**Formatted:** Indent: Left: 2"

**Deleted:** service

**Formatted:** Outline numbered + Level: 5 + Numbering Style: i, ii, iii, ... + Start at: 1 + Alignment: Left + Aligned at: 2.25" + Tab after: 2.5" + Indent at: 2.5"

**Formatted:** Indent: Left: 2"

**Formatted:** Outline numbered + Level: 3 + Numbering Style: 1, 2, 3, ... + Start at: 1 + Alignment: Left + Aligned at: 1.25" + Tab after: 1.5" + Indent at: 1.5"

**Formatted:** Outline numbered + Level: 4 + Numbering Style: a, b, c, ... + Start at: 1 + Alignment: Left + Aligned at: 1.75" + Tab after: 2" + Indent at: 2"

**Formatted:** Indent: Left: 2"

**Deleted:** 2.2.3.1

**Formatted:** Outline numbered + Level: 5 + Numbering Style: i, ii, iii, ... + Start at: 1 + Alignment: Left + Aligned at: 2.25" + Tab after: 2.5" + Indent at: 2.5"

**Deleted:** 2.2.3.2

**Formatted** ... [4]

**Formatted:** Indent: Left: 2"

**Formatted** ... [5]

- iii. active participation in and leadership of societies which have as their primary objective the furtherance of scholarly or professional interests or achievements;
- iv. active participation and leadership in University governance and programs at the department, college, university, and system levels;
- v. effective management or improvement of administrative procedures or programs.
- vi. contributions to knowledge as editors of scholarly publications, or service on editorial boards, juries, or panels;
- vii. contributions to the operation of state or federal agencies.

C. The foregoing lists are not exhaustive, and other forms of information and evidence might be produced in support of the quality and significance of the candidate's work. The mission statements and specific promotion and tenure criteria of the individual academic units are important in defining the appropriate forms of evidence in the context of the candidate's discipline and distribution of responsibilities.

### III. COLLEGE AND DEPARTMENTAL PROMOTION, TENURE, POST-TENURE, AND EVALUATION CRITERIA

A. Each academic unit is responsible for refining the University promotion, tenure, post-tenure, and evaluation criteria and applying those criteria within the special context of the unit. Thus, each academic unit will develop specific promotion, tenure, post-tenure, and evaluation criteria and designate the types of evidence to be used for evaluation of progress toward tenure, for renewal, promotion, and tenure decisions, and for post-tenure review. Within the framework of the University's promotion and tenure criteria, each academic unit shall specify the relative emphasis on teaching, research, and service, and the extent to which a faculty member's assigned responsibilities can be allocated among teaching, research, and service.

B. A statement of promotion, tenure, post-tenure, and evaluation criteria specific to each college shall be developed by the Promotion, Tenure, and Evaluation (PTE) committee of the college in consultation with the Dean and approved by the faculty of the college. The faculty of each department shall also develop a statement of criteria for promotion, tenure, post-tenure, and evaluation that shall be reviewed and approved by the college PTE committee and the Dean to assure consistency with the college promotion, tenure, post-tenure, and evaluation criteria. The college and departmental statements, and any subsequent changes,

Deleted: <#>2.3 The evaluation of a candidates performance shall be based on the individual's assigned responsibilities in teaching, research, and service, on- or off-campus, in regional, national, or international areas. Judgments will be based on evidence of both the quality and significance of the candidate's work. In evaluating the candidate's performance, evidence and information from multiple sources shall be considered such as: ¶  
<#>2.3.1 the receipt of awards or special recognition including certification or licensing, whether for teaching, research, professional activity, or service; ¶  
<#>2.3.2 presentation of scholarly or professional papers, and publication of books or articles; ¶  
<#>2.3.3 juried or invited presentations of shows, music or fine art; ¶  
<#>2.3.4 the development and public release of new products, research techniques, copyrights, and patents or other intellectual property; ¶  
<#>2.3.5 peer, student, and client evaluation of course materials, of expertise and ability to communicate knowledge, and of respect for students and receptivity to their questions and concerns in all instructional settings; ¶  
<#>2.3.6 peer evaluation of course content and design, of teaching methods, and of an individual's contribution to the improvement of instructional programs through the development and/or implementation of new courses, curricula or innovative teaching methods; ¶  
<#>2.3.7 peer evaluation of the development or implementation of innovative courseware tools that support technology-enhanced learning; ¶  
<#>2.3.8 evaluation by advisees of the quality of graduate and undergraduate advising; ¶  
<#>2.3.9 peer evaluation of research by colleagues from an individual's discipline or area of expertise; ¶  
<#>2.3.10 evaluation of an individual's service contributions by peers, administrators, and constituents; ¶ (... [6])

Formatted: Indent: Left: 1"

Deleted: 2.4

Formatted (... [7])

Deleted: is

Formatted: Indent: Left: 0"

Formatted (... [8])

Deleted: 3.1.

Formatted (... [9])

Deleted: '

Deleted: '

Formatted: Hidden

Deleted: 3.2

shall be reviewed and approved by the Provost/Vice President for Academic Affairs (Provost/VPAA) to assure consistency with University and State Board of Higher Education (SBHE) policies.

Deleted: and

Deleted:

C. For probationary faculty, the basis for review of the candidate's portfolio and any recommendations on promotion and /or tenure shall be the promotion and tenure guidelines and criteria of the academic unit which were provided to the candidate at the time of the candidate's appointment to the position. The dean or director of the college or equivalent unit has the responsibility to provide to the appointee these documents, as well as a position description, contract, or other document that constitutes a tenure or work plan. Tenured candidates for promotion to professor shall be evaluated by the criteria in effect at the time of application.

**Formatted:** 1AutoList8, Outline numbered + Level: 1 + Numbering Style: 1, 2, 3, ... + Start at: 1 + Alignment: Left + Aligned at: 0" + Tab after: 0.25" + Indent at: 0.25", Tabs: Not at 0.25"

**Deleted:** 3.3 The basis for review of the candidate

**Formatted:** Hidden

**Deleted:** '

**Deleted:** For probationary faculty, the basis for review of the candidate's portfolio and any recommendations on promotion and /or tenure shall be the promotion and tenure guidelines and criteria of the academic unit which were provided to the candidate at the time of the candidate's appointment to the position. The responsibility to provide these documents to the appointee rests with the dean or director of the college or equivalent unit. Candidates for promotion to professor shall be evaluated by the criteria in effect at the time of application.

**Deleted:** s dossier and any recommendations on promotion and/or tenure shall be the promotion and tenure criteria of the academic unit which are in effect at the time of the promotion and/or tenure decision.

**Formatted:** Body Text Indent, Space After: 10 pt, Line spacing: Multiple 1.15 li, Outline numbered + Level: 2 + Numbering Style: A, B, C, ... + Start at: 1 + Alignment: Left + Aligned at: 0.88" + Tab after: 1.13" + Indent at: 1.13"

**Formatted:** Header, Indent: Left: 0.88"

**Formatted:** Body Text Indent, Space After: 10 pt, Line spacing: Multiple 1.15 li, Outline numbered + Level: 2 + Numbering Style: A, B, C, ... + Start at: 1 + Alignment: Left + Aligned at: 0.88" + Tab after: 1.13" + Indent at: 1.13"

**Formatted:** 2AutoList8, Indent: Left: 1.25", Outline numbered + Level: 1 + Numbering Style: 1, 2, 3, ... + Start at: 1 + Alignment: Left + Aligned at: 0" + Tab after: 0.25" + Indent at: 0.25", Tabs: Not at 0.25"

1. ?

#### D. Faculty Hired Without Previous, Relevant Experience

For a faculty member without previous academic-relevant experience (first academic position), eligibility for tenure requires a probationary period of six years. Evaluations for promotion to Associate Professor and granting of tenure will ordinarily be conducted concurrently. However, exceptional academic accomplishments may warrant early promotion prior to the completion of the six years of the probationary period. Petitions for early promotion shall be initiated by department heads/chairs, and not by faculty members themselves.

#### E. Faculty Hired with Previous Relevant Experience

A faculty member with relevant professional/academic experience may be given credit toward tenure and promotion when this is negotiated as a provision in the original hiring contract. Tenure recommendations and recommendations for appointment at the rank of Associate Professor or Professor for new hires (administrators or faculty with prior experience) are made by the respective Department and the College PTE Committee. The process of review is initiated by the Chair/Head.

There are two options:

- 1) 1. Faculty may be given one to three years (maximum allowed) of credit. For example, given one year of credit, promotion and tenure application would be due in the fifth year of service; given three years, the application would be due in the third year of service.



2) 2. Faculty may be given the full six year probationary period with the option of applying for promotion and/or tenure at any time following three years of academic service.

**For either option, failure to achieve tenure will lead to a terminal year contract. Any exceptions to Section E. must be approved by the President.**

#### 2. F. Extension of Probationary Period

At any time during the probationary period but prior to the sixth year (or prior to the year in which the portfolio is due), a faculty member may request an extension of the probationary period not to exceed three years based on personal or family circumstances, which, according to reasonable expectations, impede satisfactory progress towards promotion and tenure. Faculty given promotion and tenure credit are eligible for this extension. The request must be in writing and will be reviewed and forwarded sequentially with recommendation by the Chair/Head, Dean, and Provost/VPAA to the President who will approve or deny the request. Denial of an extension may be appealed under NDSU Policy 350.4.

##### 1. Extension of Probationary Period for Childbirth or Adoption

A probationary faculty member who becomes the parent of a child or children by birth or adoption, prior to the year in which the portfolio is due, will, upon written notification to the Provost/VPAA by the Department Chair/Head and the Dean of the college, automatically be granted a one-year extension of the probationary period. While NDSU supports the use of the extension, the probationary faculty member has the option at any time after the birth or adoption to return to the original schedule of review. Any additional extensions beyond the one year must be requested under the provisions of III.F, above. Extensions due to childbirth or adoption may not exceed three years.

**(Granting extensions does not increase expectations for performance.)**

G. Each academic unit shall establish the criteria for promotion and tenure, including early promotion, as part of its statement on promotion, tenure, post-tenure review, and evaluation.

#### IV. PERIODIC REVIEW

A. Periodic reviews of faculty serve multiple functions. The reviews assist faculty members in assessing their professional performance, assist the administration in delineating areas to which particular effort should be directed to aid in improving the professional achievement of the faculty members, and contribute to the cumulative base upon which decisions about renewal, promotion, and tenure are made. In addition, periodic reviews may result in changes in

Formatted: Title, Indent: Left: 1"

Deleted: <#>

Formatted: 1AutoList8, Indent: Left: 0.63", Space Before: 0 pt, After: 0 pt, Outline numbered + Level: 1 + Numbering Style: 1, 2, 3, ... + Start at: 1 + Alignment: Left + Aligned at: 0" + Tab after: 0.25" + Indent at: 0.25", Tabs: Not at 0.25"

Formatted: Body Text Indent, Indent: Left: 1.5", No bullets or numbering

Formatted: Indent: Left: 0.75"

Formatted: Title, Indent: First line: 0.5"

Formatted: Indent: Left: 0.88"

Formatted: Body Text Indent, No bullets or numbering

Deleted: 3.4 Ordinarily, to be eligible for tenure, a faculty member must complete a probationary period of six years of continuous academic service to the institution and meet the criteria for tenure. However, in exceptional circumstances, a faculty member who satisfies the criteria for early tenure may be granted tenure prior to the completion of the probationary period. Each academic unit will establish the criteria for such early tenure as part of its statement on promotion, tenure, post-tenure review, and evaluation.

Formatted: Indent: Left: 0.5", No bullets or numbering

Deleted: Candidates are required to complete the full probationary period before being considered for tenure. Evaluations for promotion to Associate Professor and granting of tenure will ordinarily be conducted concurrently.

<#>Each academic unit shall establish the criteria for promotion and tenure, including early promotion, as part of its statement on promotion, tenure, post-tenure review, and evaluation.

<#>Faculty Hired Without Previous, Relevant Experience¶  
For a faculty member without previous academic-relevant experience (fi...

Deleted: ... [10]

Deleted: ¶

<#>Faculty Hired with Previous Relevant Experience . ... [11]

Formatted: ... [12]

Deleted: 4.1

Formatted: ... [13]

Deleted: with

responsibilities, modified expectations, and/or altered goals for performance.

B. The procedures for periodic review that are developed by each academic unit shall be reviewed and approved by the college PTE committee and the Dean.

Deleted: 4.2

C. All full-time faculty will be reviewed annually. Unless college or department procedures provide otherwise, annual reviews of non-tenured faculty shall be conducted, so that decisions and notifications can be made in accord with the deadlines listed in Section 350.3.

Deleted: 4.3

Deleted: prior to February 1 (see deadlines for non-renewal, SBHE Policy 350.3). For tenured faculty, the annual review shall be conducted prior to April 1 of the academic year in which the review is to be conducted. Formal mid-probationary reviews are to be optional within each unit.

D. Probationary faculty hired into tenure-track positions must receive special review during their third year of service to the institution. This third-year review shall recognize and reinforce areas of strength as well as point out areas of weakness that could jeopardize the case for promotion and tenure. Specific formative evaluations shall be provided to help candidates prepare their strongest case for promotion and tenure. Any extension granted prior to the third year review will delay the review by an equal period.

Deleted: When requested by any party to the tenure process, formal feedback shall be provided to the individual by the department chair, dean, college committee, and the academic vice president.

E. Unless college or department procedures provide otherwise, the department chair or head of the academic unit will be responsible for the conduct of the reviews and the communication of their results. Periodic reviews shall result in a written report to the faculty member being reviewed. The report shall state expectations and goals for the coming review period. For probationary faculty, the report shall include an assessment of the faculty member's progress toward tenure and recommendations for improvement. Should the periodic reviews indicate that a faculty member is not making satisfactory progress toward tenure, the report may include a recommendation for nonrenewal. In making a judgment on satisfactory progress toward tenure, due consideration shall be given to the candidate's academic record, performance of assigned responsibilities, and potential to meet the criteria for promotion and tenure at the end of the probationary period.

Deleted: 4.4

Deleted: its

F. Colleges and departments shall develop specific post-tenure review policies appropriate to their faculty. Annual reviews of tenured faculty shall include an evaluation of the faculty member's performance relative to the current position description. For Associate Professors, annual reviews must include specific recommendations to strengthen the case for promotion. Annual reviews of Professors must recognize and reinforce areas of strength, as well as discuss areas of weakness and recommend improvements. Should the annual reviews indicate that performance of a faculty member is unsatisfactory under the standards for post-tenure review, the report shall include a recommendation for appropriate remedial action.

Deleted: Should periodic reviews indicate that a faculty member's progress toward tenure has been detrimentally affected by exceptional circumstances beyond the faculty member's control, other than exceptional personal or family circumstances governed by Policy 350.1, the report may include a recommendation for an extension of the six-year probationary period or a waiver of the continuous service requirement. The recommendation will be governed by the procedures set forth in Policy 350.1 for an extension or waiver request based on personal or family circumstances.

Deleted: 4.5 For tenured faculty, the report shall include an evaluation of the faculty member's performance, including progress toward promotion when appropriate, and any recommendations for improvement.

G. The faculty member being reviewed shall have 14 days to respond in writing to the written report if the faculty member wishes to do so. The written report, and any written response from the faculty member, shall become part of the faculty

Deleted: 4.6

member's official personnel file.

## V. COMPOSITION OF PTE COMMITTEES

A. Each college shall have a PTE Committee consisting of at least three faculty members elected by the faculty of the college. The college PTE committee shall be as reflective as possible of the college's breadth of disciplines and fields of expertise. Ordinarily, at least three departments or sub-units of a college will be represented on the committee, and usually no more than one member of the same department may serve on the committee at one time.

B. Only tenured faculty members who have completed three years of full-time appointment with the University and who have attained the rank of associate professor or above are eligible for election to a college or department PTE Committee. Faculty members being considered for promotion may not serve while under consideration.

C. The PTE committee is part of a process of peer review. Thus, faculty holding administrative appointments, including those with interim status, are not eligible. ("Administrative appointment" includes appointments as President, Vice President, Dean, Associate or Assistant Dean, or Department Chair or Head, or Director of an academic unit.)

## VI. PTE PROCEDURES

A. The candidate shall ensure that the portfolio is current, accurate and complete for review at the department level using procedures consistent with department and college policies. The chair or head shall forward the portfolio together with the department's recommendations, and an explanation of the basis for them, to the College Dean and the college's PTE Committee no later than November 1.

B. After November 1, the information that may be added to the portfolio is limited to

- a) Recommendations by the evaluating units considering the portfolio at that time;
- b) the candidate's response to those recommendations;
- c) any materials requested by the evaluators.

1. Candidates may petition the college Dean and PTE committee to add additional materials after the deadline. The Dean and PTE committee must both agree in order for additional material to be added.
2. Any additional materials added to the portfolio must pertain to information or material already in the portfolio, such as pending publications or grant proposals.

**Formatted:** Outline numbered + Level: 1 + Numbering Style: I, II, III, ... + Start at: 1 + Alignment: Left + Aligned at: 0.25" + Tab after: 0.5" + Indent at: 0.5"

**Formatted:** Outline numbered + Level: 2 + Numbering Style: A, B, C, ... + Start at: 1 + Alignment: Left + Aligned at: 0.88" + Tab after: 1.13" + Indent at: 1.13"

**Deleted:** 5.1.

**Deleted:** should

**Deleted:** Each college

**Deleted:** will

**Deleted:** shall have a PTE Committee consisting of at least three faculty members elected by the faculty of the college.

**Deleted:** 5.2

**Deleted:** 5.3

**Deleted:** head

**Formatted:** Outline numbered + Level: 1 + Numbering Style: I, II, III, ... + Start at: 1 + Alignment: Left + Aligned at: 0.25" + Tab after: 0.5" + Indent at: 0.5"

**Deleted:** 6.1

**Formatted:** Outline numbered + Level: 2 + Numbering Style: A, B, C, ... + Start at: 1 + Alignment: Left + Aligned at: 0.88" + Tab after: 1.13" + Indent at: 1.13"

**Deleted:** The candidate's dossier will be submitted to the department chair or head of the academic unit for review at the departmental level using procedures developed by the department.

**Deleted:** will

**Deleted:** dossier

**Deleted:** 6.2 The candidate shall ensure that the dossier is complete, current, accurate, and ready for review no later than November 1. Materials added to the dossier after that date will be limited to recommendations made pursuant to this policy and to any response made to the recommendations by the candidate.

**Formatted:** Outline numbered + Level: 3 + Numbering Style: a, b, c, ... + Start at: 1 + Alignment: Left + Aligned at: 1.25" + Tab after: 1.5" + Indent at: 1.5"

**Formatted:** Indent: Left: 1.5"

**Formatted**

... [14]

**Deleted:** , but the decision to include such materials is solely at the dis

... [15]

C. Unsolicited individual faculty input is limited to the department level of review.

Deleted: I

Formatted: Outline numbered + Level: 2 + Numbering Style: A, B, C, ... + Start at: 1 + Alignment: Left + Aligned at: 0.88" + Tab after: 1.13" + Indent at: 1.13"

Deleted: dossier

Deleted: dossier

D. Recommendations and any other materials collected as part of the evaluation process at the department, college, and university levels must be added to the candidate's portfolio before being sent forward to the next level of review. At the time that any written materials are added to the candidate's portfolio, copies of the added material must be sent to the candidate for review. The candidate shall have 14 calendar days to respond in writing to the additional materials. Any response from the candidate to such materials must be in writing and included in the portfolio for review at the next level.

Deleted: dossier

E. Allegations of misconduct discovered after November 1 that could be detrimental to a candidate's case (e.g., academic misconduct) shall be handled through the appropriate University policy and mechanisms. In such cases, the PTE process will be suspended until the allegations are resolved. Once the PTE process resumes, the candidate may update the portfolio.

Deleted: 6.3

Deleted: will

Deleted: dossier

Formatted: Indent: Left: 0.75"

Formatted: Outline numbered + Level: 2 + Numbering Style: A, B, C, ... + Start at: 1 + Alignment: Left + Aligned at: 0.88" + Tab after: 1.13" + Indent at: 1.13"

Deleted: will

Deleted: will

Deleted: included in the candidate's dossier

Deleted: The report and recommendations shall be submitted to the Provost and Vice President for Academic Affairs by January 15.

Deleted: 6.4

Deleted: will

Deleted: will

Deleted: dossier

Deleted: will

Deleted: dossier

Deleted: and Vice President for Academic Affairs

Deleted: 6.5.

Deleted: and Vice President for Academic Affairs

Deleted: Vice President

Deleted: who shall then either make the final recommendation to the SBHE for tenure

Deleted: and/or promotion

Deleted: or shall notify the candidate of

Deleted: nonrenewal

Deleted: promotion or nonselection for promotion.

Deleted: Vice President's

F. Colleges and departments shall document that they have followed all procedures; e.g., by a comprehensive checklist of the steps in the PTE process. The documentation must be included in the portfolio.

G. The college PTE Committee and the college Dean shall separately and independently review and evaluate the candidate's portfolio. To ensure independence, neither the Dean nor the PTE committee shall have access to the other party's evaluation prior to submission of their reports to the Provost/VPAA.

H. The college PTE Committee shall prepare a written report, including recommendations and an explanation of the basis for them, that shall be added to the candidate's portfolio by January 15. A copy shall be sent to the Dean, the chair or head of the academic unit, and the candidate.

I. The College Dean shall prepare a separate written report, including recommendations and an explanation of the basis for them, that shall be included in the candidate's portfolio. The Dean shall forward the report and recommendations, and the portfolio of the candidate, to the Provost/VPAA by January 15. A copy of the Dean's report shall be sent to the PTE committee, the chair or head of the academic unit, and the candidate.

J. The Provost/VPAA shall review the candidate's materials and the recommendations of the department, college PTE Committee, and College Dean. The Provost/VPAA shall make a recommendation in writing, including an explanation of the basis for it, by March 31, to the President. Copies of the Provost/VPAA's written recommendation shall be sent to the candidate, the department chair/head, the College Dean, and the college PTE Committee. The

Provost/VPAA may solicit input from a nonvoting advisory committee consisting of tenured, nonadministrative faculty representing each college.

Deleted: n

Formatted: Indent: Left: 0.75"

K. When appropriate, the President shall then make the final recommendation to the SBHE for tenure. When appropriate, the President shall notify the candidate of promotion or denial of promotion.

Formatted: Bullets and Numbering

L. In the case of joint appointments, the primary responsibility for the review rests with the department and the college that hold the majority or plurality of the appointments. Such department or college shall solicit input from the other units holding the remainder of the appointment as appropriate to the allocation of effort which shall be included in the portfolio.

Deleted: .

Formatted: Indent: Left: 0"

Deleted: 6.6 In the case of faculty holding joint appointments the PTE Committees of each college concerned shall review and recommend only for those activities and responsibilities of the candidate which are defined within their college. Prior to the PTE review, the deans of the respective colleges will consult and determine, with the approval of the Provost and Vice President for Academic Affairs, which PTE Committee shall have primary responsibility for the review.

M. When evaluating faculty participating in interdisciplinary programs, the primary department may solicit input from the director of the interdisciplinary program as appropriate to the allocation of effort.

Formatted: Outline numbered + Level: 2 + Numbering Style: A, B, C, ... + Start at: 1 + Alignment: Left + Aligned at: 0.88" + Tab after: 1.13" + Indent at: 1.13"

Deleted: 6.7 Evaluations for promotion to Associate Professor and granting of tenure will ordinarily be conducted concurrently.

## VII. APPEALS

A. Appeals of periodic reviews are made by requesting a reconsideration by the evaluating party. If not satisfied, the faculty member may initiate the grievance process pursuant to Section 353.

B. Appeals of nonrenewal and nonpromotion decisions shall be pursuant to Policy 350.3.

Formatted: Outline numbered + Level: 1 + Numbering Style: I, II, III, ... + Start at: 1 + Alignment: Left + Aligned at: 0.25" + Tab after: 0.5" + Indent at: 0.5"

## VIII. DOCUMENT RETENTION

Electronic copies of portfolios shall be maintained by the appropriate college for the length of time specified by the university records management policy. Disposal of these documents, as well as filing of archival copies, will also conform to the university records management policy.

Deleted: 7.1.

Formatted: Outline numbered + Level: 2 + Numbering Style: A, B, C, ... + Start at: 1 + Alignment: Left + Aligned at: 0.88" + Tab after: 1.13" + Indent at: 1.13"

Deleted: 7.2.

Formatted: Outline numbered + Level: 1 + Numbering Style: I, II, III, ... + Start at: 1 + Alignment: Left + Aligned at: 0.25" + Tab after: 0.5" + Indent at: 0.5"

Formatted: Indent: First line: 0.5"

Deleted: indefinitely

HISTORY: May 13, 1974; Amended February 10, 1975; December 12, 1988; May 14, 1990,; April 1992; December 12, 1994 (Effective date July 1, 1995); June 1997; November 2000, October 2001, October 2007.

## POLICY CHANGE COVER SHEET

1. Effect of policy addition or change (explain the important changes in the policy or effect of this policy):

### Section: 713 RECORDS MANAGEMENT

Deleted: RETENTION

The policy was renamed and completely rewritten to bring NDSU further into compliance with NDCC 54-46, NDCC 44-04-18, NDCC 12.1-11-05 and NDCC 55-02.1-05. As a state institution, all records produced in the daily course of business at NDSU are subject to state and federal laws/regulations, including retention and disposal.

2. This policy has been reviewed/passed by the following (include dates of official action):

Policy Committee: 2/19/08

University Senate:

Staff Senate:

President's Council:

3. This policy was originated by (individual, office or committee/organization):  
NDSU Records Management Task Force (February 2008)

Draft 2, 2/22/2008

Deleted: RETENTION

### SECTION 713: RECORDS MANAGEMENT

#### SOURCE: NDSU President

NDCC 12.1-11-05, NDCC 44-04-18, NDCC 54-46, NDCC 55-02.1-05 The objective of the Records Management Program is to assist University departments in managing their records throughout the entire record life cycle; from creation or receipt, through the use and maintenance stage, until final disposition. As a state institution, all records produced in the daily course of business at NDSU are subject to state and federal laws/regulations, including retention and disposal.

Deleted: ¶

1. This policy and NDSU procedures are based on the NDCC 54-46, Records Management Law [Link: <http://www.legis.nd.gov/cencode/t54c46.pdf> ], in consultation with the North Dakota Information Technology Department Records Management.
2. The NDSU Records Retention Schedule [Link: [http://www.ndsu.edu/recordsmanagement/records\\_retentiondisposal\\_schedule/](http://www.ndsu.edu/recordsmanagement/records_retentiondisposal_schedule/) ] specifies the criteria for records management procedures.
3. NDSU Audit and Advisory Services is responsible for coordinating the records management program with the assistance of unit records coordinators.
4. Detailed procedures and instructions for compliance are available at the NDSU Records Management Web site [Link: <http://www.ndsu.edu/recordsmanagement> ].
5. Some records may be restricted and subject to special disposition due to specific laws and/or regulations.

Formatted: Level 4, Numbered + Level: 1 + Numbering Style: 1, 2, 3, ... + Start at: 1 + Alignment: Left + Aligned at: 0.25" + Tab after: 0" + Indent at: 0.5"



6. The NDSU Institute for Regional Studies & University Archives is the official depository for all NDSU records determined to have archival value, pursuant to NDCC 55-02.1-05, so designated by the State Archivist of North Dakota, dated November 29, 2007.
7. To assure compliance with all regulatory agencies as well the records retention program, NDSU Audit and Advisory Services may be contacted (NDSU.recordsmanagement@ndsu.edu).

- 1.
- 2.
- 3.

Last updated: August 20, 1996; January 22, 2002; June 11, 2007, August 1, 2007, September 2007

**Deleted:** The records retention period is the length of time records must be retained. NDSU will retain a State Board of Higher Education approved Records Retention Schedule.

**Deleted:** <#> .

¶  
<#>2.1 ¶  
<#>The "Instructions for Completing Records Disposal Request" and the "Records Disposal Request Form" are included in the Records Retention Schedule, which is currently under revision. If you have any questions concerning records disposal, please contact the Audit & Advisory Services Office at 701-231-9413 or [ndsu.Internal.Audit@ndsu.edu](mailto:ndsu.Internal.Audit@ndsu.edu). ¶  
<#>Generally if a department is not a primary or official record holder, records need only be retained for departmental operating purposes. Records may also be maintained to document policies and procedures, and for reference to archival value, etc. ¶  
<#>Decisions on what to retain and for how long should take into account the legal, audit, administrative, fiscal, and historical considerations, as well as state and federal laws, affecting the record. ¶  
To assure compliance with all regulatory agencies as well as the Records Retention Schedule, the internal auditor of the University may be contacted regarding either the retention or disposition of records.

**Deleted:** The Records Retention Schedule specifies the criteria for the management of active records, provides for the systematic transfer of inactive records from the active storage areas to inactive storage areas, specifies the length of time records need to be maintained, and establishes the proper destruction method for those obsolete records. .

Page 13: [1] Formatted	Aubrey.Ketterling	11/14/2007 3:21:00 PM
------------------------	-------------------	-----------------------

Outline numbered + Level: 5 + Numbering Style: i, ii, iii, ... + Start at: 1 + Alignment: Left + Aligned at: 2.25" + Tab after: 2.5" + Indent at: 2.5"

Page 13: [2] Formatted	Aubrey.Ketterling	11/14/2007 3:23:00 PM
------------------------	-------------------	-----------------------

Outline numbered + Level: 4 + Numbering Style: a, b, c, ... + Start at: 1 + Alignment: Left + Aligned at: 1.75" + Tab after: 2" + Indent at: 2"

Page 13: [3] Formatted	Aubrey.Ketterling	11/14/2007 3:28:00 PM
------------------------	-------------------	-----------------------

Outline numbered + Level: 5 + Numbering Style: i, ii, iii, ... + Start at: 1 + Alignment: Left + Aligned at: 2.25" + Tab after: 2.5" + Indent at: 2.5"

Page 14: [4] Formatted	Aubrey.Ketterling	11/14/2007 3:50:00 PM
------------------------	-------------------	-----------------------

Outline numbered + Level: 4 + Numbering Style: a, b, c, ... + Start at: 1 + Alignment: Left + Aligned at: 1.75" + Tab after: 2" + Indent at: 2"

Page 14: [5] Formatted	Aubrey.Ketterling	11/14/2007 3:51:00 PM
------------------------	-------------------	-----------------------

Outline numbered + Level: 5 + Numbering Style: i, ii, iii, ... + Start at: 1 + Alignment: Left + Aligned at: 2.25" + Tab after: 2.5" + Indent at: 2.5"

Page 15: [6] Deleted	Aubrey.Ketterling	11/14/2007 3:55:00 PM
----------------------	-------------------	-----------------------

2.3 The evaluation of a candidates performance shall be based on the individual's assigned responsibilities in teaching, research, and service, on- or off-campus, in regional, national, or international areas. Judgments will be based on evidence of both the quality and significance of the candidate's work. In evaluating the candidate's performance, evidence and information from multiple sources shall be considered such as:

2.3.1 the receipt of awards or special recognition including certification or licensing, whether for teaching, research, professional activity, or service;

2.3.2 presentation of scholarly or professional papers, and publication of books or articles;

2.3.3 juried or invited presentations of shows, music or fine art;

2.3.4 the development and public release of new products, research techniques, copyrights, and patents or other intellectual property;

2.3.5 peer, student, and client evaluation of course materials, of expertise and ability to communicate knowledge, and of respect for students and receptivity to their questions and concerns in all instructional settings;

2.3.6 peer evaluation of course content and design, of teaching methods, and of an individual's contribution to the improvement of instructional programs through the development and/or implementation of new courses, curricula or innovative teaching methods;

2.3.7 peer evaluation of the development or implementation of innovative courseware tools that support technology-enhanced learning;

2.3.8 evaluation by advisees of the quality of graduate and undergraduate advising.

2.3.9 peer evaluation of research by colleagues from an individual's discipline or area of expertise;

2.3.10 evaluation of an individual's service contributions by peers, administrators, and constituents;



- 2.3.11 active participation in and leadership of societies which have as their primary objective the furtherance of scholarly or professional interests or achievements;
- 2.3.12 active participation and leadership in University governance and programs at the department, college, university, and system levels;
- 2.3.13 effective management or improvement of administrative procedures or programs.

Page 15: [7] Formatted	Aubrey.Ketterling	11/14/2007 3:07:00 PM
------------------------	-------------------	-----------------------

Outline numbered + Level: 2 + Numbering Style: A, B, C, ... + Start at: 1 + Alignment: Left + Aligned at: 0.88" + Tab after: 1.13" + Indent at: 1.13"

Page 15: [8] Formatted	Aubrey.Ketterling	11/14/2007 3:57:00 PM
------------------------	-------------------	-----------------------

Outline numbered + Level: 1 + Numbering Style: I, II, III, ... + Start at: 1 + Alignment: Left + Aligned at: 0.25" + Tab after: 0.5" + Indent at: 0.5"

Page 15: [9] Formatted	James Council	2/4/2008 3:54:00 PM
------------------------	---------------	---------------------

Body Text Indent, Space After: 10 pt, Line spacing: Multiple 1.15 li, Outline numbered + Level: 2 + Numbering Style: A, B, C, ... + Start at: 1 + Alignment: Left + Aligned at: 0.88" + Tab after: 1.13" + Indent at: 1.13"

Page 17: [10] Deleted	James Council	2/4/2008 1:56:00 PM
-----------------------	---------------	---------------------

Candidates are required to complete the full probationary period before being considered for tenure. Evaluations for promotion to Associate Professor and granting of tenure will ordinarily be conducted concurrently.

Each academic unit shall establish the criteria for promotion and tenure, including early promotion, as part of its statement on promotion, tenure, post-tenure review, and evaluation.

#### Faculty Hired Without Previous, Relevant Experience

For a faculty member without previous academic-relevant experience (first academic position), eligibility for tenure requires a probationary period of six years. However, exceptional academic accomplishments may warrant early promotion prior to the completion of the six years of the probationary period. Petitions for early promotion shall be initiated by department heads/chairs, and not by faculty members themselves.

Page 17: [11] Deleted	James Council	2/4/2008 1:57:00 PM
-----------------------	---------------	---------------------

#### Faculty Hired with Previous Relevant Experience

A faculty member with relevant professional/academic experience may be given credit toward tenure and promotion when this is negotiated as a provision in the original hiring contract. Tenure recommendations and recommendations for appointment at the rank of Associate Professor or Professor for new hires (administrators or faculty with prior experience) are

made by the respective Department and the College PTE Committee. The process of review is initiated by the Chair/Head.

There are two options:

Faculty may be given one to three years (maximum allowed) of credit. For example, give one year of credit, promotion and tenure application would be due in the fifth year of service; given three years, the application would be due in the third year of service.

Faculty may be given the full six year probationary period with the option of applying for promotion and/or tenure at any time following three years of academic service. For either option, failure to achieve tenure will lead to a terminal year contract.

#### Extension of Probationary Period

At any time during the probationary period but prior to the sixth year (or prior to the year in which the portfolio is due), a faculty member may request an extension of the probationary period not to exceed three years based on personal or family circumstances, which, according to reasonable expectations, impede satisfactory progress towards promotion and tenure. Faculty given promotion and tenure credit are eligible for this extension. The request must be in writing and will be reviewed and forwarded sequentially with recommendation by the Chair/Head, Dean, and Provost/VPAA to the President who will approve or deny the request. Denial of an extension may be appealed under NDSU Policy 350.4.

#### Extension of Probationary Period for Childbirth or Adoption

A probationary faculty member who becomes the parent of a child or children by birth or adoption, prior to the year in which the portfolio is due, will, upon written notification to the Provost/VPAA by the Department Chair/Head and the Dean of the college, automatically be granted a one-year extension of the probationary period. While NDSU supports the use of the extension, the probationary faculty member has the option at any time after the birth or adoption to return to the original schedule of review. Any additional extensions beyond the one year must be requested under the provisions of III.E.3. Extensions due to childbirth or adoption may not exceed three years.

Page 17: [12] Formatted	Aubrey.Ketterling	11/14/2007 3:07:00 PM
-------------------------	-------------------	-----------------------

Outline numbered + Level: 1 + Numbering Style: I, II, III, ... + Start at: 1 + Alignment: Left + Aligned at: 0.25" + Tab after: 0.5" + Indent at: 0.5"

Page 17: [13] Formatted	Aubrey.Ketterling	11/14/2007 3:07:00 PM
-------------------------	-------------------	-----------------------

Outline numbered + Level: 2 + Numbering Style: A, B, C, ... + Start at: 1 + Alignment: Left + Aligned at: 0.88" + Tab after: 1.13" + Indent at: 1.13"

Page 19: [14] Formatted	Aubrey.Ketterling	11/14/2007 4:54:00 PM
-------------------------	-------------------	-----------------------

Outline numbered + Level: 3 + Numbering Style: 1, 2, 3, ... + Start at: 1 + Alignment:  
Left + Aligned at: 1.25" + Tab after: 1.5" + Indent at: 1.5"

, but the decision to include such materials is solely at the discretion of  
the evaluators