

**Agricultural and Biosystems Engineering Department (ABEN) Policy,
Criteria and Procedures for Evaluation, Recommending Promotions in Rank,
Granting of Tenure, and Dismissals, Terminations, and Non-renewals**

1.0 Introduction

1.1 Abbreviations used in this document include:

Agricultural & Biosystems Engineering Department (ABEN)
Promotion, Tenure, and Evaluation (PTE)
North Dakota State University (NDSU)
College of Agriculture, Food Systems and Natural Resources (CAFSNR)
College of Engineering & Architecture (CEA)
Dean of CAFSNR & Director of the Agricultural Experiment Station (Dean/Director
AES) Director of the North Dakota State University Extension Service (Director NDSU
Ext. Ser.) Provost and Vice President Academic Affairs (Provost/VPAA)

1.2. Purpose of This Document

The ABEN PTE Committee and the ABEN Department Head are responsible for making recommendations to the Administration about tenure and promotion within ABEN. In this document for references relating to the PTE process, the Department Head is synonymous with Department Chair. Because of the importance of these issues to faculty well-being and departmental strength, it is imperative that the criteria, documentation format, timetables, administrative functions, faculty responsibilities, and procedures are clearly understood. The criteria, procedures, and other information in this document provide the link between NDSU Policy Manual Section 352 (Promotion, Tenure and Evaluation) and related NDSU policies; the Policy and Procedures for Promotion, Tenure, Evaluation, Dismissal, Terminations, and Non-renewals for CAFSNR; other appropriate colleges, departments or units policies and procedures; and ABEN.

2. Department Vision, Mission, and Goals

2.1. Vision

To be a peer-recognized Agricultural and Biosystems Engineering Department with superior teaching, research and extension programs.

2.2. Mission

To discover and extend knowledge and technology (via teaching, research, and extension programs) that serve to advance the productivity of agriculture, the processing and utilization of biological materials, and the sustainability, use and management of environmental resources.

2.3. Department Goals

- I. Provide high quality undergraduate and graduate education in Agricultural and Biosystems Engineering and Agricultural Systems Management.
2. Attract and retain quality undergraduate and graduate students.
3. Conduct research that extends the knowledge base for:
 - enhancing agricultural efficiency, profitability and/or sustainability
 - maintaining quality and/or adding value to biological materials
 - developing efficient use and stewardship of environmental resources
4. Provide extension and outreach education focused on identified issues and needs such as:
 - agri-production systems
 - biological materials

- environmental resources management
- agricultural safety
- structures and environment

5. Develop and maintain effective collaborative relationships

3.0 Evaluation Philosophy

Refer to NDSU, CAFSNR and other appropriate unit policies.

4.0 Procedures for Periodic Reviews of Faculty and Department Head

The Head makes performance evaluations of faculty in the department annually. In addition, all probationary faculty will be reviewed during their third year (inclusive of tenure credit at time of appointment) of appointment by the department PTE Committee. Reviews for promotion and/or tenure will be made at the time these considerations are required or requested by the faculty member. Reviews of the department Head are covered in Section 4.4.

4.1 Mentoring and Formative Review of Probationary Faculty

Probationary faculty members shall have at least one faculty mentor. The mentor is to be selected by the department Head and the faculty member, normally during the first year in the department. The mentor will advise the faculty member, including advising on the preparation of the portfolio for promotion and/or tenure. Upon request by the faculty member or department Head, the PTE Committee will evaluate the annual report of faculty pursuing promotion or tenure for appropriate progress.

4.2 Annual Report and Review of Probationary and Tenured Faculty

The Head will request from each faculty member an annual comprehensive report of accomplishments, including an updated vita. All faculty members should also have on file, in addition to their vita, a brief (one page) biographical abstract that can be used for news releases, pre-proposal submissions, other departmental requirements, etc.

The annual review is the primary means by which faculty performance and achievement are evaluated. It provides information used for determination of renewal of probationary appointments and is the basis on which merit salary increase recommendations are made. The report is used to gauge the individual's professional growth and contribution to the intellectual life of the department and university. Criteria for evaluating faculty are described in Section 5. The annual review provides the basic input for recommendations about promotion.

4.2.1 Timetable

The Head shall initiate the annual review for all faculty beyond the first year of appointment or as prescribed by the college or university.

4.2.2 Faculty Reporting Responsibility

Faculty members must submit, by the announced due date, the annual comprehensive report of accomplishments. It is the responsibility of each faculty member to document performance and accomplishments according to the criteria set forth in this document.

4.2.3 Department Head Responsibility

The Head will conduct the annual review of performance of all faculty members in person (Head and faculty member only) using the comprehensive report of accomplishments as the foundation for the review. The Head will communicate to the faculty member the evaluation results in writing, counsel the faculty member about performance relative to the job description and department expectations, and provide recommendations for improvement. The review should address where appropriate such matters as: whether the job description is still accurate or needs revision, whether the faculty member's progress is on track for promotion/tenure, and whether documentation of activities is current and adequate for evaluations.

The Head and/or the faculty member may request additional formal feedback.

4.3. Third Year Review of Probationary Faculty

A comprehensive report of accomplishments should be submitted to the ABEN Head and ABEN PTE Committee by the probationary faculty for a third year review. The report should also be submitted to other appropriate department-level PTE Committees and administrators, as described in Section 5.0. After review and evaluation, the report will be forwarded to the CAFSNR PTE Committee, Dean/Director AES, and Director NDSU Ext. Ser., and other appropriate college-level PTE committees and administrators, as described in Section 5.0. The respective PTE Committees and administrators will provide a formal written evaluation to the individual. Refer to CAFSNR Policy Section 4.1.2.1.

4.3.1 Timetable

The comprehensive report of accomplishments is submitted to the ABEN Head and ABEN PTE Committee and other department-level evaluators on January 1 in the third year of appointment. The comprehensive report, together with the department-level evaluations, is submitted for college-level evaluation on February 1. Refer to CAFSNR Policy Section 4.1.

4.3.2 Faculty Reporting Responsibility

By the scheduled report due date, faculty members subject to the third year review must submit documentation supporting their progress toward tenure and/or promotion to the Head. The documentation shall be prepared following guidelines set forth in this document and the university.

4.3.3 Department Head Responsibility

The department Head will coordinate the department's review and communication of its results. The Head will solicit a report from the department PTE Committee for each faculty member undergoing third year review to be used in the evaluation of the candidate. The Head will make available to the PTE Committee a copy of the candidate's supporting documentation.

The Head will provide a written report to the faculty member being reviewed. The report shall include an evaluation of the faculty member's progress toward tenure and recommendations for improvement. The report shall state expectations and goals for the coming review period. If the faculty member is not making satisfactory progress toward tenure, the report may include recommendation for non-renewal. In making a judgment on satisfactory progress toward tenure, due consideration will 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.

4.3.4 Promotion and Tenure Committee Responsibility

The department PTE Committee will evaluate the Third Year Review document and other available information. The evaluation shall be according to the criteria embodied in this document. As a component of faculty evaluation, the committee may request the faculty member to appear before the committee to provide additional information. Likewise, the faculty member may appear before the committee at his/her request for the purpose of providing additional information. The committee must grant this request. The committee, however, will deliberate its evaluation in the absence of the faculty member under consideration. The committee's report shall include an evaluation of the faculty member's progress toward tenure and recommendations for improvement. The committee's report is provided to the department

Head and is forwarded in parallel to the college dean(s) and PTE Committee(s). If the report includes a recommendation for nonrenewal, the vote will be indicated.

4.3.5 Conflict Resolution

The Head makes the recommendation pertaining to the third year review to the Dean, CAFSNR. In the event of a conflict between the Head and the PTE Committee's evaluation, the Head shall convene a meeting with the PTE Committee for attempted resolution of the conflict. If the conflict remains unresolved, the Head shall convene a meeting of the tenured faculty members who hold rank higher than that of the candidate being reviewed to discuss the evaluation before recommending actions involving renewal or nonrenewal of appointment.

4.3.6 Standards of Notice

In the event of nonrenewal of appointment for probationary faculty, the faculty member will be notified in accordance with NDSU Policy Manual, Section 350.3. Appeals of periodic reviews are made by requesting reconsideration by the evaluating party. If not satisfied, the faculty member may initiate the grievance process pursuant to NDSU Policy Manual, Section 353.

4.4 Evaluation of Department Head

4.4.1 The department Head will annually prepare and share with the faculty and staff, by April 1, a written annual report that summarizes his/her accomplishments and goals. This is normally part of their annual review with the Dean/Director AES.

4.4.2 Formal evaluation will occur at least every three years as is described in CAFSNR Policy Section 4.3.

5.0 Tenure, Promotion and Evaluation

(Relates to NDSU Policy Manual Sections 350.1 & 352 and CAFSNR Policy Section 5.0.)

CAFSNR will have primary college-level responsibility for review of faculty in ABEN. Faculty who teach engineering courses will also be evaluated by CEA. The faculty's job description will list all appointments and responsibilities outside of ABEN and CAFSNR that are subject to evaluation by another department and/or college. In the case of such joint appointments and/or responsibilities, the administrators and PTE Committees of each department and/or college concerned shall review and recommend only for those activities and responsibilities within their department and/or college.

Refer to CAFSNR Policy Sections 5.1 and 5.2 and NDSU Policy Manual Sections 350 and 352 for information related to Time Accounting and Special Circumstances.

Application for early promotion does not prejudice the probationary period, and those denied early promotion can reapply for early or for normal timeline consideration (CAFSNR Policy Section 5.2.4).

5.0.1 Timetable and Criteria for Promotion to Associate Professor

Assistant professors are normally eligible to apply for promotion to associate professor in their sixth year. Successful applicants generally will receive tenure and promotion to associate professor at the same time.

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. Expectations for promotion are listed in Section 5.1.

5.0.2 Timetable and Criteria for Promotion to Professor

Promotion to professor is typically considered after the completion of five years of service in rank as associate professor with the portfolio typically submitted during the sixth year. The faculty member has the option of waiting and seeking promotion to professor any time after the sixth year.

Exceptional academic accomplishments may warrant early promotion to professor prior to the completion of five years of service in rank as associate professor. Expectations for promotion are listed in Section 5.1.

5.0.3 Timetable and Criteria for Granting Tenure

Probationary faculty usually apply for tenure in their sixth year unless there are special circumstances as described in Section 5.2 of the CAFSNR Policy and Procedures for Promotion, Tenure, Evaluations, Dismissals, Terminations, and Non-renewals.

5.0.4 Extension of Probationary Period

NDSU Policy 352, Section 3.6 provides for the extension of the probationary period under special circumstances. 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 based on personal or family circumstances. A 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 be granted a one-year extension automatically. The faculty member has the option at any time to return to the original schedule of review. Extensions not exceed three years.

5.0.5 Faculty Reporting Responsibility

To allow sufficient time for evaluations by external peers, the complete portfolio for tenure and/or promotion in rank must be submitted to the department Head by September 1.

It is the responsibility of the faculty member to document performance and accomplishments during the probationary period according to the Performance Criteria in Section 5.3 of this document.

5.0.6 Department Head Responsibility

The department Head will initiate the formation of the department PTE Committee. The candidate's portfolio is submitted to the Head. The Head is responsible for soliciting letters of appraisal from peers in the candidate's field outside the university. These letters will be solicited from peers recommended by the candidate as well as peers selected by the Head and will be included as part of the promotion/tenure document prior to submission to the department PTE Committee. The complete portfolio, including external peer evaluations, should be submitted by the Head to the department PTE Committee by October 1.

5.0.7 Department Promotion, Tenure and Evaluation Committee Responsibility

The composition of the department PTE committee is defined in Section The
department PTE committee will select the committee chair.

The department PTE Committee will evaluate the portfolio and other available information. The evaluation shall reflect the criteria embodied in this document. As a component of faculty evaluation, the committee may request the faculty member to appear before the committee to provide additional information. Likewise, the faculty member may appear before the committee at his/her request for the purpose of providing additional information. The committee must grant this request. The committee, however, will deliberate the decision and make its recommendation in the absence of the faculty member under consideration. The committee will make a recommendation consistent with NDSU Policy Manual, Section 352 and the CAFSNR Policy and Procedures for Promotion, Tenure, Evaluations, Dismissals, Terminations, and Non-renewals, and, when they apply, other college, department and unit policies. Recommendations from the committee will be in the form of a report with the vote indicated, which is included in the candidate's portfolio before it is forwarded to the appropriate college deans.

5.0.8 Standards of Notice

In the event of non-renewal of appointment for tenure track faculty, the faculty will be notified in accordance with NDSU Policy Manual, Section 350. Appeals of non-renewal decisions shall be pursuant to NDSU Policy Manual Section 350 and NDSU Policy Manual Section 352. Appeals of non-promotion decisions shall be pursuant to Section 353.

5.1 Expectations

5.1.1 The criteria and standards of evaluation for faculty performance described in this document reflect ABEN missions and goals. Because the Job Description is fundamental to the review process, each faculty member must have in his/her portfolio for promotion and/or tenure, a Job Description that has been approved by the Head.

5.1.2 Faculty in ABEN are hired to teach and/or do research and/or develop and deliver extension programs. Faculty are also expected to perform service to the department, college, university, profession, and public. Their Job Description will clearly specify which programs are expected of each faculty member. In addition, all faculty are expected to show creativity and scholarship in their program(s). Performance evaluations are designed to determine the extent to which the Job Description expectations are achieved.

5.1.3 Performance evaluations and peer review will be used to make recommendations concerning promotion and the granting of tenure within ABEN. Tenure recommendations are based on demonstrated and potential performance. Merit, rather than years of service, is the basic standard in decisions regarding promotion and tenure. The guidelines and criteria are to be considered reasonably flexible, such that performance in one area (i.e., teaching, extension, research, service) may be balanced against another, depending on the job description, realizing that there must be accomplishment commensurate with the assignment in each area as identified in the job description.

5.1.4 For promotion to higher rank, the candidate must perform well in each of the areas of appointment and in a substantial (to Associate) and distinguished (to Professor) manner in the principal areas as defined in the job description. "Substantial" performance is based on the collective judgment of professional peers and implies demonstrated productivity, and potential for sustained productivity, scholarship and professional growth. "Distinguished" performance also implies sustained professional development; recognition of the candidate's work by peers in the field; and growth in leadership, management and supervising. "Professional peers" includes the other NDSU ABEN faculty. "Professional peers" also may include other NDSU faculty having similar appointments with respect to teaching, extension, research and service; tenure-track faculty at other universities working in the candidate's discipline; and other experts in the candidate's discipline as mutually determined by the candidate and ABEN Head. Criteria and kinds of evidence for evaluation of performance in each area of appointment are given in Section 5.3. An unacceptable performance in any assigned area will automatically preclude the candidate from receiving a recommendation for promotion.

5.1.5 Because performance in teaching, extension, research, and service can be difficult to assess, a variety of evaluation criteria are employed. Teaching and extension quality is judged primarily on the basis of constituent (i.e., students, farmers, etc.) and peer evaluations and recognition of excellence, clientele reaction, soundly conducted surveys, program impact, and scholarship. The primary indicators of a successful research program are manifested as contributions to knowledge and recorded in peer reviewed publications; development of solutions to problems; development of new and innovative products/processes/systems; new techniques; patents; grantsmanship; and recognition of excellence by peers. The primary indicators of faculty's service to the university, professional organizations, and public include serving on committees, faculty governance, administrative activities, outreach activities, professional membership and activities, and reviewing proposals and university documents.

5.1.6 Consistent with NDSU policy, guidelines apply uniformly to each faculty member in ABEN. Consistent with the mission of NDSU as a Land Grant University, the department recognizes no hierarchy of values among teaching, extension, research, and service.

5.2. Statement of Context and Accomplishments for Annual Evaluations

5.2.1. Self-assessment of significant contributions and accomplishments in teaching, extension and outreach, and research

Provide a summary of activities and accomplishments in the context of established goals and objectives and describe how these activities contribute to the department's mission, your professional growth, and productivity. Include a brief statement of resources available for these contributions and any particular impediments to success.

5.2.2. Goals and objectives related to teaching, extension and outreach, and research

Describe specific future goals and objectives. Goals are general statements of what you intend to achieve. Objectives, which relate to attainment of goals, should contain "what," "when," and "how" and are focused on next year. Goals and objectives should encompass professional development.

5.3. Performance Criteria and Evidence Of Accomplishment

The following criteria are examples, and are not intended to be exhaustive; other forms of evidence may be provided in support of the quantity, quality and significance of the candidate's work. The evaluation of a candidate's performance will be based on the individual's assigned responsibilities as reflected in their job description.

5.3.1. Criteria for Evaluation of Teaching

Effective teaching is an essential responsibility of all department faculty. The quality of teaching is an explicit factor in the evaluation of faculty performance for promotion and tenure. Teaching embraces two distinct functions: resident instruction and extension education. Specific criteria exist for each.

5.3.1.1. Resident Instruction

Resident instruction includes undergraduate and graduate instruction in formal courses, seminars, and individual studies. Directing student research is both a research and resident instruction activity. Advising students, including academic and career counseling, is an activity associated with resident instruction.

To judge effectiveness of resident instruction, faculty will be evaluated by students and peers on criteria such as but not limited to the following:

- Ability to organize and present class material with clarity, logic, conviction, and enthusiasm.
- Creativity in course development, methods of presentation, incorporation of new materials and ideas, and assessment of learning.
- Ability to perceive the needs of students and respond with appropriate educational activities.
- Command of subject including incorporation of recent developments into resident instruction.
- Contributions to curricula development.

For evaluation of resident instruction, evidence may include but is not limited to:

a. Awards for instruction, course and curriculum development, or advising

- i. Identify as local, regional, national, or international. Include honors and awards relative to teaching, requests to edit/referee instructional journal articles or other publications, invitations to lecture or present seminars or deliver keynote talks, requests to study with colleagues, host visiting colleagues, award nominations prepared, service on award committees, awards earned by graduate students and student groups, etc. Include dates.

b. Summary of instruction

- i. Present a reverse chronological listing of credit courses taught; from class taught most recently, backward, including course numbers, term/semester, year, and number of students enrolled at the end of the 3rd week, and percent responsibility. This list should coincide with the promotion and/or tenure review period (see university guidelines).
- ii. Present a reverse chronological listing of non-credit workshops, seminars, outreach, and continuing education courses in which the faculty member has had a major responsibility. Indicate the faculty member's role (i.e., program participant, program organizer, instructor). Guest lectures and other assistance should be listed here (see university guidelines).
- iii. Graduate student summaries by year: as major professor- list student name, degree, date of graduation (or anticipated date), and thesis/paper title; as examining committee member -list student name, degree, department and dates; postdoctoral and other trainees - list names and give inclusive dates.
- iv. List primary contributions in curriculum development, with dates, i.e., courses developed, innovations, improvements, curriculum committee service, incorporating new techniques/technology in the classroom, evaluation of instructional materials.
- v. List of educational committees - activities at departmental, college and university level primarily involved with teaching/education.
- vi. Advising: undergraduate number per term, how often typically meet with advisor

- vii. Advising of student organizations (dates of responsibility, special achievements).

c. Student evaluation

- i. Report the university/college approved student evaluations of course/instructor in each course taught as per university guidelines; provide a summary of each course taught, a copy of evaluation instrument(s), and how they are used to improve instruction.
- ii. Student evaluations of advising using department form; include dates and how this information is used to improve advising.
- iii. Letters from present and former students may be solicited (see university guidelines for solicited or unsolicited letters from faculty, staff, and students).

d. Peer evaluation

- i. Evaluation of teaching, including use of new and effective techniques of instruction and instructional materials, (e.g., homework, problem sets, demonstrations, cooperative learning, active learning, electronic/multi-media, field trip agendas, case studies, etc.)
- ii. Evaluation of exams, course syllabi, lecture notes, course handouts or packets, etc.
- iii. Evaluation of contributions to course and curricula development and appropriateness of teaching load with respect to job description, teaching appointment, and curriculum requirement.
- iv. Classroom observation with written and/or scored comments on departmental form.

e. Supporting instructional scholarship

1. Publications authored, co-authored, or edited.
 - Peer-reviewed publications designed primarily to communicate with other educators, e.g., journal articles on curricula, course innovations, recruiting, and student placement.
 - Textbooks and chapters in textbooks or peer-evaluated books or readings.
 - Articles, papers, reviews and other non-reviewed class reading materials.
- ii. Grants and gifts related to teaching; provide project title, participation as principal, co-principal investigator or team member, granting agency, duration, and total funding. Indicate the amount of funding (equivalent value if gift of equipment) made available for the nominee's and/or department's use. Clearly define the applicant's role.
- iii. Presentations at professional meetings; international, national, regional, state, district/local; list title, organization, date, location. Specify volunteered or invited and role in meeting/session, i.e., organizer, chair, invited speaker, discussant, presenter.
- iv. Involvement with professional organizations. List memberships and include offices held, committee service and leadership, advisory or review panels, or any other evidence of the nominee's regional, national, or international stature and service to the profession. Provide role and dates for all activities.
- v. Professional development; updating instructional competence through professional meetings, workshops, conferences, seminars, developmental leaves, and teaching improvement activities.
- vi. Leadership in development of courses, curricula or teaching technology, which goes beyond normal teaching and service expectations.
- vii. Mentoring of junior faculty.
- viii. Advising and helping faculty within the department, college, or university.
- ix. Invited participation on peer review panels of regional/national scope.
- x. Invited speaker on panels.
- xi. Any other information which the candidate may wish to submit.

5.3.1.2. Extension and other Outreach Education

Extension education refers to educational programs and activities by department faculty directed primarily toward clientele outside the campus classroom. Outreach education encompasses, but is not limited to, educational activities conducted through the NDSU Extension Service. Faculty with an Extension appointment are expected to address selected needs and issues with research-supported and knowledge-based programs. They are expected to develop and deliver educational

materials and programs that digest and reduce to practical application established scientific principles and research results for their clientele.

To judge the effectiveness of extension and other outreach education, faculty in the department will be evaluated by clientele and peers for criteria such as but not limited to the following:

- Ability to perceive the needs of clientele and to respond with appropriate educational activities.
- Contemporary command of subject matter and the ability to glean from the subject matter what is useful for identifying and resolving problems.
- Creativity in educational materials development, methods of presentation, and the incorporation of new ideas.
- Ability to communicate effectively with clientele, both orally and in writing.
- Development of effective educational programs and materials.

For evaluation of extension and outreach education, evidence may include but is not limited to:

a. Awards, honors, recognition by peers.

- i. Identify as local, regional, national, or international. Include honors and awards relative to extension/outreach education, requests to edit/referee journal articles or other publications, invitations to lecture or present seminars or deliver keynote talks, requests to study with colleagues, host to visiting colleagues, award nominations prepared, service on award committees, etc. Include dates.

b. Summary of extension and outreach

- i. Educational activities conducted (conferences, workshops, team instruction, presentations; date, location, title, your role, i.e., program participant, organizer, presenter, etc. (NOTE: A summarized listing should be developed for the summative tenure/promotion portfolio).
- ii. Educational aids and materials developed (computer programs, web sites and material, video programs, audio programs, power point presentations, electronic media, slide sets, posters, slide/tape programs, visual materials, displays, teaching packets, booths, others).
- iii. Utilization of print and broadcast/electronic media for information dissemination to the public.
- iv. Clientele education/technical assistance (summaries of direct client education! service provided; phone contacts, office visits, site visits, letter responses, and other methods of extending education/technical assistance)
- v. Courses of study (series of lessons) developed and taught.
- vi. Participation in development of a curriculum of study (series of courses).
- vii. Involvement in program planning and development at the county, multi-county, state, regional, national, and international levels.
- viii. Work with organizations, tours, shows, etc.

c. Clientele evaluation

- i. Summaries of clientele evaluations of educational presentations conducted at extension/outreach meetings, programs, and of extension educational materials.
- ii. Letters from extension clientele or outreach students and others involved in outreach education. (see university guidelines for solicited or unsolicited letters).

d. Peer evaluation

- i. Peer review of extension program (written assessments of program quality and scope) obtained from department or non-department faculty at NDSU.
- ii. Solicited outside letters of evaluation from leaders in the field or from Extension scholars at comparable Land Grant universities (no more than three) only for promotion and tenure evaluation.

e. Supporting extension and outreach scholarship

- i. Peer-reviewed publications designed primarily to communicate with clientele, other educators, or to serve as basic references, e.g., bulletins, circulars, journal articles, books and book chapters, proceedings, etc.
- ii. Popular and technical articles designed primarily to communicate timely subject matter directly to

extension/outreach clients and the public, e.g., articles in magazines, newspapers, trade journals, newsletters, etc.

- iii. Grants related to extension/outreach education; provide project title, participation as principal, co-principal investigator or team member, granting agency, duration, and total funding. Indicate the amount of funding made available for the applicant's use. Clearly define the applicant's role.
- iv. Presentations at professional meetings; international, national, regional, state, district/local; list title, organization, date, location. Specify volunteered or invited and role in meeting/session, i.e., organizer, chair, invited speaker, discussant, presenter.
- v. Professional development; updating competence through professional meetings, conferences, workshops, developmental leaves, course completions, continuing education, industry visits, interaction with practitioners, etc.
- vi. Educational innovations and improvements; innovations in educational materials, courses, curricula, new techniques in presentations of teaching technology, evaluation of instructional materials, etc.
- vii. Involvement with professional organizations. List memberships and include offices held, committee service and leadership, advisory or review panels, or any other evidence of the nominee's regional, national, or international stature and service to the profession. Provide role and dates for all activities.
- viii. Activities on professional committees, both as a committee officer or committee member. Include dates.
- ix. Interdisciplinary collaborations - NDSU, other universities, organizations.
- x. Mentoring of junior faculty.
- xi. Advising and helping faculty within the department, college, or university.
- xii. Invited participation on peer review panels of regional/national scope.
- xiv. Invited speaker on panels.
- xv. Technical assistance on projects.
- xvi. List other information as appropriate to one's discipline.

5.3.2. Criteria for Evaluation of Research

Research productivity is the responsibility of each faculty member. Research productivity takes many forms: theoretical innovation, the development of solutions through basic research, applied research, and empirical techniques, and the creative application of existing concepts, knowledge, and empirical methods to problem solving. It includes the conduct of and/or participation in demonstration/research that provides needed data. For example, this could involve a potato storage design and evaluation that is documented, solves a problem, and applies or helps establish design criteria.

Each faculty member with an Agricultural Experiment Station appointment is expected to develop a research program, the focus and scope of which reflects the job description, professional interests, and departmental goals. There should be evidence that the faculty member is productively engaged in research of high quality and significance. Research quality should be judged by professional peers, as defined in section 5.1.4. The primary indicators of research productivity and quality are peer-reviewed publications, books and book chapters, patents and original software. For promotion and tenure purposes, publication quality and usefulness may be additionally assessed by employing indicators such as the citation indices, reprint requests, letters from peers, or other evidence that research results have influenced peers and users.

For evaluation of research, evidence may include but is not limited to:

a. Awards, honors, recognition by peers.

- i. Identify as local, regional, national, or international. Include honors and awards relative to research, requests to edit/referee journal articles or other publications, invitations to lecture or present seminars or deliver keynote talks, requests to study with other researchers, visiting scientist, host to visiting scientist, etc. Include dates.

b. Summary of research and publication

- 1. Cooperative research - list the projects in which the nominee has participated. Include experiment station and extension service projects. List project number, title or subtitle, and dates started and completed. Designate whether principal investigator (PI), co-principal investigator (Co-PI) or team member (TM). Clearly define the applicant's role.
- ii. Demonstrations or problem solving.
- iii. Anonymously peer reviewed publications; journal articles, books, book chapters, some proceedings, abstracts, other (designate). Underline principal author of each publication if the order of authorship does not adequately reflect overall scholarly contributions. Indicate the role of the applicant.

- iv. Peer reviewed/edited publications; journal articles, bulletins, circulars, some proceedings, technical papers, books/chapters, fact sheets, brochures, regional research and application handbooks (if reviewed by committee), other (designate).
- v. Citable publications and reports that are not peer reviewed; some proceedings, workshop papers, professional meeting papers, and project reports.
- vi. Creative activities and development of new items- research techniques, equipment, patents issued and pending, copyrights issued and pending, software developed, etc. Provide detailed information including the contributions of other individuals and the impact of the development. Include dates and status information.
- vii. Research laboratories and equipment developed and installed.

Note: Each publication entry must include the complete citation including all authors (in the order listed on the publication). Indicate the role of the applicant.

c. Client evaluation

- i. General feedback from research clientele, i.e., users of the research (researchers, farmers, extension, etc.).
- ii. Solicited letters from research clientele (see university guidelines for solicited or unsolicited letters).

d. Peer evaluation

- i. Peer review of research productivity (written assessments of quality and scope) obtained from department or non-department faculty at NDSU.
- ii. Outside letters of evaluation from leaders in the field or from scholars at comparable research universities solicited by the Head only for promotion and tenure evaluation. (See university guidelines for solicited or unsolicited letters).

e. Supporting research scholarship

- i. Presentations at professional meetings; international, national, regional, state, district/local; list title organization, date, location. Specify volunteered or invited and if peer reviewed and role in meeting/session, i.e., organizer, chair, invited speaker, discussant, presenter.
- ii. Grants, contracts, or awards - provide project title, participation as principal, co-principal investigator or team member, granting agency, duration, and total funding. Indicate the amount of funding made available for the nominee's use:
 - a. grants awarded
 - b. grants submitted but not funded
 - c. grants submitted (pending).
- iii. Professional development to improve research capabilities- list type, place and date; sabbaticals, developmental leave, course completion, workshops, professional meetings, international activities.
- iv. Involvement with professional organizations. List memberships and include offices held, committee service and leadership, advisory or review panels, or any other evidence of the nominee's regional, national, or international stature and service to the profession. Provide role and dates for all activities.
- v. Activities on local and regional research, and other professional committees, both as a committee officer or committee member. Include dates.
- vi. Interdisciplinary collaborations - NDSU, other universities, other organizations.
- vii. Mentoring of junior faculty.
- viii. Advising and helping faculty within the department, college, or university.
- ix. Invited participation on peer review panels of regional/national scope.
- x. Invited speaker on panels.
- xi. Technical assistance on projects.
- xii. List other information as appropriate to one's discipline.

5.3.3. Criteria for Evaluation of Service

Refer to NDSU Policy Manual Section 321.

5.3.3.1 Definition of Service

Service is work done or duties performed within the scope of university employment for others at all levels within the university; professional services to government, industry, and the public; and service to professional associations at local, state, national, and international levels. Personal service contributed to civic organizations, church, charities, community, and other organizations does not fall within the definition of professionally oriented service used herein.

5.3.3.2 ABEN deems service to programs of the department, colleges, NDSU Extension Service, ND Agricultural Experiment Station, university, professional organizations, and state/public as a responsibility of each faculty member. It is recognized that service will vary among faculty members and for a faculty member over time depending, in part, on the specific faculty appointment. However, a faculty member is encouraged to perform in each of the following major categories: university, profession, and public.

For evaluation of service, evidence may include but is not limited to:

a. Awards for service

- i. Recognition for service either on campus, to one's profession or in the community. Indicate awarding institution, date of award and the title of the award.

b. University service

1. List department, college, ND Agricultural Experiment Station, NDSU Extension Service, and university committees, with dates. Include role (*e.g.*, chair, committee member).
- ii. Other institutional service, such as but not limited to involvement in graduation exercises, assessment responsibilities, serving on faculty governance, etc.
- iii. Administrative activities within the department, college, ND Agricultural Experiment Station, NDSU Extension Service, university or Tri-college; Include titles, if any, and summarize duties and accomplishments (*e.g.*, improvement of procedures, design of effective programs). Include dates.

c. Service to one's profession/professional associates and in professional organizations

1. List state, regional, national, and international offices, task forces, and planning groups, with dates. Include role (*e.g.*, chair, committee member). Briefly describe service to professional associates that has enhanced their efforts.

d. Service to the public

- i. List service to public with dates. Include role, *e.g.*, chair, committee member and contribution. Service could include contributions to economic development work, outreach activities, service units, and governmental committees, etc.

e. Peer responsibilities

- i. Reviewing course outlines, course syllabi, internal manuscripts, internal and external research proposals, funding proposals and extension publications; regional and national project writing committees; data collection and experimental design; assisting students and other faculty with computer, analytical and modeling problems; design of instruments for teaching evaluation; and participation in teaching evaluation.

5.4 Inclusion of Materials in Promotion and Tenure Portfolios

5.4.1 The format prescribed by the university, outlined in the current NDSU Guidelines for Promotion and Tenure Portfolio Preparation document (available from the Office of the Provost/VPAA), serves as the official guideline to prepare the portfolio for promotion/tenure. This standard format is intended to expedite the review process. Some categories within the format may not be applicable to all Portfolios, and blanks are not necessarily considered deficiencies. When entries could justifiably be listed in any of several categories, applicants should exercise judgment, but record the accomplishment only once. Applicants are encouraged to annotate, expand, or explain any portion to increase clarity, justify inclusion, or in some other way help reviewers evaluate the Portfolio. The candidate's entire record should be included in the Portfolio, but the primary focus of the evaluation will be on the period of review.

Because of the unique relationship among faculty in the CAFSNR and clientele (commodity groups, agribusiness, and others), candidates should identify and maintain clear records of these activities. Letters of support from peer scientists and/or clientele are encouraged for promotion to Associate Professor and required for promotion to Professor. The department Head solicits the letters.

5.4.2 Applicants are entrusted to prepare accurate and concise representations and/or summaries of activities. Candidates should have available, if requested, a copy, or parts thereof, of supplemental materials that illustrate the candidate's achievements in teaching, research, and service referred to in the portfolio. Submitting such documents in an appendix is necessary only if requested.

5.4.3 Additions to the portfolio after November 1 will be written and be limited to 1) evaluations and recommendations by the CAFSNR PTE Committee, Dean/Director AES, Director NDSU Ext. Ser., and other PTE committees and administrators as described in Section 5.0; and 2) materials requested by the CAFSNR PTE Committee, Dean/Director AES, and/or Director NDSU Ext. Ser., and other PTE committees and administrators as described in Section 5.4.2 (Note: Items in 2 will be reciprocally shared so the college-level evaluators review identical portfolios)

6.0 Policy on Nonrenewals and Terminations of Probationary Faculty Prior to the Sixth Year (NDSU Policy Manual Section 350.3)

Refer to CAFSNR Policy Section 6.0

7.0 Dismissal of Tenured Faculty (NDSU Policy Manual Section 50.3)

Refer to CAFSNR Policy Section 7.0

8.0 Composition of the Department PTE Committee

The department's PTE Committee will be comprised of at least three members who are elected by the faculty as needed for a one-year term. A PTE Committee member must be tenured, have attained the rank of associate professor, and have a minimum of three years of service to the university. Committee membership will include, as possible, faculty members which represent each of the department's mission areas, i.e., teaching, extension, and research. If fewer than three eligible faculty are available in the department, university faculty outside the department may be requested to serve on the committee. Such faculty will be selected by a majority of the department's faculty. Faculty members being considered for promotion will not serve on the PTE Committee for that year.


9.0 Changes to the ABEN Policy and Procedures

The ABEN Policy, Criteria and Procedures for Evaluation, Recommending Promotions in Rank, Granting of Tenure, and Dismissals, Terminations, and Nonrenewal must be modified to comply with State Board of Higher Education, NDSU and/or CAFSNR and CEA policies, to correct errors, to edit for clarity, to respond to issues that are not well addressed, and to reflect the intent of faculty related to policy and procedures. The ABEN PTE Committee will make the changes and place those changes into effect with a majority vote of the tenured and probationary ABEN faculty. The proposed changes are to be shared with faculty at least ten (10) business days prior to voting. A summary of the corrections/edits will be forwarded to the Dean/Director AES, Director NDSU Ext. Ser., CAFSNR PTE Committee, CEA Dean, CEA PTE Committee, and Provost/VPAA for their approval. Upon approval, faculty will be informed of the changes to the policy. The ABEN Policy, Criteria and Procedures for Evaluation, Recommending Promotions in Rank, Granting of Tenure, and Dismissals, Terminations, and Nonrenewal will be placed on the ABEN Department Web site by the department Head.

Signatures signifying approval Policy, Criteria and Procedures for Promotion and Tenure Evaluations
Agricultural and Biosystems Engineering Department:


Chair, ABEN Department PTE Conunittee

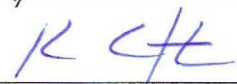
10-20-2010
Date


Chair, ABEN Department

20 Oct. 2010
Date


Chair, CAFSNR PTE Committee

29 Oct. 2010
Date


CAFSNR Dean/ Director AES

10/29/10
Date


Chair, CEA PTE Committee

6/6/11
Date


CEA Dean

11/16/2010
Date


Provost/VPAA

05 Jun 2011
Date