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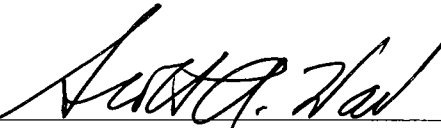
North Dakota State University


General Evaluation Procedures and Criteria for Promotion and Tenure

Last update: 15 September 2014

 9/15/14
Department Chair

 9/15/14
Department PTE Committee Chair

 9/17/14
Dean, College of Science and Math

 9/17/14
Provost

DEPARTMENT OF CHEMISTRY AND BIOCHEMISTRY

General Evaluation Procedures and Criteria for Promotion and Tenure

I. Promotion, Tenure and Evaluation Committee

A standing committee on Promotion, Tenure, and Evaluation (PTE) administers the policies detailed in this document.

Membership: The committee consists of four members. Only tenured faculty members who have completed three years of full-time appointment with the University are eligible for election to the PTE Committee. The Chair of the Department may not be a member of the committee.

Term: The term of the PTE Committee assignment is two calendar years. Elections are held in November for the committee to serve the following two years. Generally, elections are staggered so that two members are elected each year, although a greater number may be required in case of resignations. The new PTE committee shall designate its chair.

Election: Nominations can be made by any member of the faculty. A minimum of two nominations must be made. A paper ballot is used.

II. General Evaluation Procedures

An annual evaluation of all faculty is coordinated by the Departmental Promotion, Tenure, and Evaluation (PTE) committee. The annual evaluation is normally started by mid-January and completed by March 1, employing the following procedures:

- The evaluation encompasses the areas of instruction, research, and departmental service. The time allocation of each faculty member to each of these four areas is assumed to be 40%, 40%, and 20%, respectively, unless otherwise stipulated in the position description.
- Each faculty member submits to the Department an updated vita summarizing accomplishments in each of the three areas of evaluation. Summaries of student evaluations (see below) are appended to each vita.
- The Department distributes to each faculty member a packet containing faculty vitae (excluding the faculty member's own vita). Using a "Quality of Effort" form provided with each vita in the packet, each faculty member rates every other faculty member in the three areas of evaluation, using a numeric scale of 1 (poor) to 5 (excellent). Justification of each rating through written comments is

strongly encouraged. Ratings and comments are based on information provided in the vita as well as first hand observation.

- To preserve anonymity, a departmental secretary collects the "Quality of Effort" forms, types a summary sheet for each faculty member containing all numerical results and verbatim comments, and provides the summary sheets to the PTE committee and Department Chair.
- For each faculty member, an average rating is computed for each of the four areas of evaluation as well as an overall rating using the time allocation percentages as weighting factors. Departmental averages for each of the four areas are also computed. The average ratings and comments are forwarded to the Department Chair.
- First year faculty members are evaluated, but they do not participate in the evaluation of other faculty. However, first year faculty members will receive the packet of vitae for their perusal and to acquaint them with the evaluation process.

A mechanism for collecting the standard university student evaluation forms at the end of each semester has been established. The PTE committee will develop a schedule each semester whereby a PTE committee member or other designated faculty member will be assigned to each course (a faculty member will not be assigned to a course he or she is teaching). The assigned faculty member will distribute the evaluation forms, collect the completed forms, and deliver them to the department office. Alternatively, this evaluation may be conducted via electronic means. This process should take place during the last week of the course. The evaluation results will be reviewed by the PTE Committee. Numerical results and summarizing comments will be forwarded to the Department Chair as described above.

The PTE Committee and the Department Chair will each prepare a letter summarizing progress towards promotion and tenure for each probationary faculty member on a tenure-track appointment. These letters should be completed by the end of April of each year. Pursuant with university procedures, the faculty member has the right to request a meeting with the PTE Committee and to prepare a letter in response to either of these letters.

After these letters are written, the Department Chair will meet with each tenure-track faculty member to discuss progress toward promotion/tenure (P/T) based on input from the PTE Committee and a personal assessment of teaching, research and service. Pursuant with university procedures, the faculty member has the right to prepare a letter in response to the Department Chair's letter.

For tenured faculty members, every five years the General Evaluation Procedure given above will be supplemented by a letter of overall evaluation from the PTE Committee, a meeting with the Department Chair, and a letter of evaluation from the

Department Chair. Progress toward promotion to professor will be addressed where this is applicable. The quality of effort with regard to the faculty member's assignments over the last three years will be reviewed. Pursuant with university procedures, the faculty member has the right to request another meeting with the Department Chair and to prepare a letter in response to the Department Chair's letter.

III. Criteria and Evaluation Procedures for Promotion

Candidates should be judged according to their past, continuing, and projected future contributions to the overall programs of the Department, College, and University. Evidence of accomplishment in the areas of **Instruction, Research, Departmental and University Service, and Other Professional and Scholarly Activities** will be assessed. All of the criteria listed below will be included in reviews for promotion and/or tenure. Although consideration for promotion from Assistant Professor to Associate Professor will normally accompany consideration for tenure, a candidate who exceeds the criteria outlined in *Section III. A.* below may be considered for early promotion.

A. Assistant Professor to Associate Professor

1. Instruction

Criteria:

Competence as an instructor in all courses taught by that instructor and successful advising of students.

Evaluation:

Members of the PTE Committee will visit the classes of each candidate for promotion and/or tenure (P/T) during the year prior to the year of deliberation/decision. Visits during earlier semesters, as well as visits that include at least one undergraduate course, one graduate and (if applicable) one general chemistry/biochemistry course, are encouraged. The candidate will be advised of the week of each visit but not the specific day. The observer should note the topic of discussion and take notes relevant to the teaching performance of the candidate. The committee will then meet to discuss their observations and to write a summarizing statement.

The results of student evaluations administered and collected each semester as described in Section I will also be used to assess instructional performance of the candidate.

2. Research

Criteria:

Development of a high quality independent research program which has become nationally competitive or has made significant progress towards becoming nationally competitive. Collaborative research efforts are an acceptable component of a research program, but candidates are encouraged to provide information on the exact nature of the collaboration.

Evaluation:

Each candidate for P/T should demonstrate regular publication in the refereed literature and regular participation in and presentations at regional and national or international meetings. The candidate is invited to submit the anonymous reviews from published and accepted manuscripts as evidence of the quality of the research.

Each candidate for P/T is expected to demonstrate either success in securing major funding or a clear indication of future success through regular submission of major grant proposals to funding agencies. The candidate is invited to submit the anonymous reviews from funded as well as from submitted but rejected proposals as evidence of a high probability for future major funding of the individual's research program.

The candidate will present a departmental seminar that summarizes research accomplishments at NDSU. Typically, this seminar is presented during August or early September of the year of deliberation/decision. Following the seminar, the candidate will present to the faculty a research plan for the next 5-10 years, including an assessment of any special needs that might facilitate the plan and/or any obstacles that might impede it. This informal presentation will be of the "brown bag" style, with questions and comments permitted throughout the presentation.

The candidate should demonstrate active participation in the Department's graduate program by serving on advising and examination committees, by participation in departmental graduate student seminars, and through effective mentoring of graduate students who join the candidate's research group. The effective mentoring of graduate students includes assisting the student in selecting an appropriate research topic, ensuring a reasonable chance for success of the research project, assisting the student in preparing an acceptable disquisition, and general competence in advising the student on matters relating to course selection, seminars, oral examinations, research, and career goals.

3. Departmental and University Service

Criteria:

Contribute to the governance of the Department, the College and the University.

Evaluation:

The candidate should demonstrate the ability to interact with other faculty members and a willingness to serve on Department and on College and/or University Committees.

The candidate should demonstrate collegiality and the ability to make contributions towards achieving the specific goals of the Department and the broad goals of the College and the University.

4. Other Professional and Scholarly Activities (these will strengthen the candidate's case)

Criteria:

Demonstrate professional and scholarly contributions in ways not covered by the three preceding categories.

Evaluation:

Examples of such contributions include serving as an officer in a professional society, serving on editorial boards and committees, serving on review panels, presenting invited lectures and seminars, and non-refereed publications.

B. Associate Professor to Professor

The level of performance for this promotion will substantially exceed that required for promotion to Associate Professor. There should be a recognizable growth in leadership capabilities and overall professional standing. The methods of evaluation will be much the same as those detailed above. Therefore, only the criteria are provided below.

1. Instruction

The candidate should demonstrate a continuous record of excellence in teaching, advising, and related instructional activities.

2. Research

The candidate should demonstrate a nationally competitive research program with regular publication in quality refereed journals, frequent invitations to speak at invited symposia, sustained major funding of the research program, and active participation in the graduate program as defined above in *Section III.A.2*.

3. University Governance

In addition to the criteria outlined in *Section III.A*, the candidate should play a leadership role in the governance of the Department, the College, and the University.

4. Other Professional and Scholarly Activities (these will strengthen the candidate's case)

In addition to the criteria outlined in *Section III.A*, the candidate should demonstrate a leadership role through professional activities which may include a leadership role in regional and national societies, service in an advisory capacity to governmental or industrial agencies, communication of expertise to the public, and significant public service in the area of the profession.

IV. Criteria and Evaluation Procedures for Tenure

The criteria for earning tenure is much the same as that outlined above for promotion. There is no mechanism to tenure an Assistant Professor. The most common case is the promotion from Assistant Professor to Associate Professor with tenure, using the criteria outlined in *Section III.A* above. The criteria for tenure for a person who is already an Associate Professor by reason of recent appointment or early promotion should be the same as those for tenure and promotion to associate professor outlined in *Section III.A*, but not as rigorous as those outlined in *Section III.B*. The criteria for tenure for a person who is already a Professor by reason of recent appointment or early promotion should be the same as those outlined in *Section III.B*.

V. Procedures for Departmental Promotion and/or Tenure Deliberations

The candidate for tenure and/or promotion must prepare a written dossier in the format required by the University that describes his/her accomplishments in teaching, research, and service. A copy of this dossier must be made available to the department faculty at least one week prior to deliberations, which take place in September following the presentation of the candidate's seminar and future research plans.

The Department will solicit external letters of evaluation of a candidate's tenure or promotion package. The candidate will submit a list of four potential external

reviewers to the department chair by June 1 of the summer before tenure/promotion deliberations. This list may not contain the candidate's previous PhD or postdoctoral advisors, but may contain persons with whom the candidate has collaborated on research projects, provided such collaborations are disclosed. The chair, in consultation with the Department PTE Committee, will solicit four letters, of which at least two will be from the candidate's list. By July 1 of the summer before tenure/promotion deliberations, the candidate must have a current version of the dossier ready to distribute to the external reviewers.

Following the candidate's research seminar and presentation of future research plans, tenured and tenure-track members of the Department faculty (member in question absent) shall meet to discuss the candidate's case for tenure and/or promotion. Ballots shall then be distributed to all voting members of the Department faculty. Each voting faculty member is requested to respond "yes" or "no" to the question of whether they support the granting of tenure and/or promotion.

Any tenured faculty member with an appointment of greater than 50% of full time in the Department of Chemistry and Biochemistry is eligible to vote on tenure and promotion decisions, with the following exceptions:

- 1) Faculty members with less than one academic year of service in an appointment of greater than 50% of full time in the NDSU Department of Chemistry and Biochemistry are not eligible to vote. However, they are welcome to participate in the departmental discussion(s).
- 2) If two or more faculty members are under consideration for promotion from Associate Professor to Full Professor during the same year, those two faculty members are not eligible to vote on each others' promotion cases. Each is welcome to participate in the departmental discussions of their colleague's case for promotion.
- 3) Faculty members who are, or have been at any time during the candidate's tenured/tenure-track service at NDSU, a spouse or domestic partner of the candidate, are not eligible to vote on that person's case for tenure and/or promotion. Because of the potential for conflict of interest in this situation, such a faculty member shall not be present at the departmental discussion(s) of the other's case. In addition, a member of the departmental PT&E Committee shall recuse himself/herself from evaluations of a current or former spouse or domestic partner.
- 4) In the event of an unforeseen conflict of interest not addressed above, a voting faculty member may be recused from the discussion and vote, provided that a majority of an ad hoc committee comprising the Chair of the Department and the Promotion, Tenure and Evaluation Committee of the Department approve the recusal in writing or by email. If the ad hoc committee approves the request, subsequent approval by the Dean of the College of Science and Mathematics is also required.

Although probationary faculty members are not eligible to vote on tenure/promotion decisions, they are welcome to participate in the departmental discussions, except for the partner exception described in V.3.

If at least two thirds of the voting faculty vote “yes,” the departmental recommendation will be in favor of tenure and/or promotion. When two thirds of the voting faculty is not a whole number, the nearest whole number will be used, rounding up when the fraction part is greater than 0.5, truncating when the fractional part is 0.5 or smaller. Otherwise, the faculty will have recommended against tenure and/or promotion. All faculty members who are eligible to vote must do so. Abstention shall be counted as a “no” vote.

In the case of a negative vote, the faculty member in question has the option to appeal the Department’s recommendation and request a second ballot. The candidate can take up to two weeks to present a case for tenure and/or promotion, either in writing or via an additional oral presentation. Following discussion at a second faculty meeting (member in question absent) a second ballot shall be taken. The criteria delineated in Sections III and IV shall constitute the basis for the tenure and/or promotion recommendation.

The Department’s recommendation, with supporting documentation, including the vote count, is transmitted to the College by a letter from the Departmental PTE Committee. In addition, a letter from the Department Chair will transmit the decision of the faculty along with the Department Chair’s independent recommendation.

The Department Chair shall make every effort to schedule departmental tenure/promotion deliberations at times when all voting faculty can attend. If a voting faculty member is unable to be present during these proceedings, every effort should be made to provide that faculty member with a copy of the candidate’s written dossier. That faculty member may provide written input to be read by the Chair during the deliberations and, if necessary, submit a vote via e-mail communication to the Chair.

VI. Early termination of a probationary faculty appointment in the NDSU Department of Chemistry and Biochemistry

The Department Chair in concurrence with the PTE Committee may, at any time during the probationary period of a faculty member’s appointment, open a discussion within the department for early termination of that member’s appointment.

Discussion shall be initiated by a letter to the faculty stating the reasons for considering early termination, and calling a special meeting to begin formal discussion of the issue. The letter shall be signed by the department chair and all members of the PTE Committee. If any required signatories are away from the University at the time of these deliberations, they shall provide written indication (letter or email message) of their concurrence with the chair and the rest of the PTE

Committee before formal discussions can begin.

Procedure

- All faculty shall be eligible to participate in the discussion at the special meeting, with the exception of the partner conflict of interest described in Section V.3. The discussion may be completed in a single sitting, or distributed over more than one meeting. It shall culminate in a vote of the faculty, the outcome of which indicates whether to proceed with, or to table, the issue of early termination of the probationary appointment for an unspecified period of time. This vote will be taken at the meeting by secret ballot, and all eligible faculty members must vote. Abstention or failure to submit a ballot will count as a vote to proceed with the process of early termination of the appointment. Eligibility for voting shall be determined using the criteria for a tenure vote, described in Section V.
- If the outcome of this vote is greater than 50% in favor of proceeding, the member in question will be notified in writing that they have a maximum of 14 days from the time of this written notification to prepare a presentation of their case for continuation. The written notification shall also indicate that following presentation of their case, the faculty will vote again on whether to recommend early termination of their tenure track faculty appointment.
- The candidate will then have the opportunity to present his/her case to the faculty. Presentation can take whatever form the candidate deems appropriate, and may include an open-ended question and answer discussion between the candidate and the faculty. The candidate's case to the faculty may include, but is not limited to, a seminar-style presentation, and/or written materials (i.e. proposals, proposal reviews and letters of support from outside colleagues, instructional materials developed by the candidate, teaching evaluation comments from students, etc.).
- If a voting member of the faculty is away from the University at the time of these deliberations, it is the responsibility of the candidate to make materials available to the absentee faculty member(s) within this time frame so they can cast an informed vote (by letter or e-mail).
- Within two days following the presentation, another vote of the faculty will be taken. If the outcome is >50% in favor of early termination, the department chair shall make a written recommendation to the dean for early termination of the candidate's tenure track appointment.

VII. Changes to Departmental Promotion/Tenure Policies

Changes to the departmental Promotion and Tenure policies (this document) require the approval of 75% of the faculty, rounded as described in the voting procedures in

Section V. The only difference is that all tenure-track faculty are eligible to vote on proposed policy changes.

History

- Approved May 5, 1994 by the Faculty of the Department of Chemistry.
- Revised December 20, 1994.
- Approved by the College of Science and Mathematics PT&E Committee (after minor editorial corrections) on May 3, 1995.
- Revised October 2, 1997. Additional editing on October 23, 1997. Approved by College PT&E Committee on October 31, 1997. Approved (after minor revision), Vice-President Academic Affairs, 21 November, 1997. Approved by faculty as revised, 11 December, 1997.
- Section VI adopted by the Department of Chemistry faculty on 31 August 2000.
- Revised February 24, 2006. Approved by the faculty of the Department of Chemistry and Molecular Biology on 25 May 2006.
- Approved by Dean, College of Science & Mathematics, 31 May 2006.
- Revised Section V by the Department of Chemistry and Molecular Biology, 13 November 2009.
- Approved by Dean, College of Science & Mathematics, 19 January 2010.
- Updated name of Department to Chemistry and Biochemistry throughout document, 22 April, 2010.
- Revised March 6, 2013. Approved by the faculty of the Department of Chemistry and Biochemistry.
- Revised September 15, 2014. Approved by the faculty of the Department of Chemistry and Biochemistry. Updated procedures for conflict of interest to include process for unforeseen conflicts.

Department of Chemistry and Biochemistry
Quality of Effort Form

Name: _____

Year: _____

Rating 1-5 with 5 being exceptional.

A. INSTRUCTIONAL _____

- a. Teaching effectiveness
- b. Teaching enthusiasm
- c. Maintenance of high academic standards
- d. Student evaluations
- e. Innovation
- f. Course development
- g. Student advising
- h. Teaching awards

B. RESEARCH _____

- a. Publication record
- b. Funding status
- c. Quality and originality of research
- d. Proposal writing
- e. Directing undergraduate, graduate and post-doctoral research students
- f. Participation in national and international conferences
- g. Organization of conference and symposia
- h. Editorial functions for professional journals
- i. Office-holding in national professional societies
- j. Review of proposals and manuscripts for funding agencies and journals

C. SERVICE _____

- a. Departmental, College and University committee service
- b. Other formal administrative responsibilities (e.g., center directors)
- c. Advisor to student organizations
- d. Service on graduate advisory committees
- e. Participation in seminar program (attendance, hosting speakers, etc.)
- f. Participation in visitation programs for seminar speakers
- g. Recruiting activities
- h. Outreach (e.g., science fair judging, ACS section participation, community involvement)
- i. Departmental proposals (e.g., ILI, Dept. of Education, equipment, centers)