

ECE PTE Document, approved by the ECE faculty on March 19, 2018

## Section 1. Introduction

This document provides guidelines for making decisions regarding promotion and/or tenure of faculty in the Department of Electrical and Computer Engineering (ECE) in accordance with the policies and procedure of the NDSU College of Engineering. This ECE Document borrows heavily from the NDSU College of Engineering (CoE) document as approved by the College faculty (2015). Section 5 (ECE Department Expectations) borrows heavily from earlier versions of the ECE PTE document.

These guidelines identify specific factors that apply to the evaluation of ECE faculty members in their scholarly performance and development of teaching, research and service responsibilities.

## Section 2. Mission of the ECE Department

The mission of the ECE Department is to provide quality educational opportunities for undergraduate and graduate students through teaching, research and professional service, and to provide specialized support to the greater community.

## Section 3. ECE and CoE PTE Philosophy

### a. Concept of Scholarship

The ECE Department operates within the concept of scholarship as it is addressed in the NDSU College of Engineering PTE document approved by the College faculty in 2015. We strive for the scholarly qualities of integrity, perseverance, and courage. The College expectations for faculty can be unified in the concept of Scholarship.

Scholarship is defined as a "... creative, systematic, rational inquiry into a topic and the honest, forthright application or exposition of conclusions drawn from that inquiry. It builds on existing knowledge and employs critical analysis and judgment to enhance understanding"<sup>1</sup>. Scholarly work must be made public, must be available for peer-review and critique according to accepted standards, and must be reproducible to be built upon by other scholars. Developing and maintaining a Faculty of Scholars necessitates that the University be "not only a place of teaching, but also a place of learning"<sup>2</sup> for students and faculty alike.

### b. Process Overview

The major investment made by the ECE Department in assembly and developing a group of faculty must be the central focus of faculty annual reviews to make the best use of that investment. The PTE process is designed to encourage academic well-being and continuous improvement in all facets of faculty scholarship.

To this end, the ECE PTE expectations are based on the demonstration of scholarship.

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<sup>1</sup> Iowa State University COE Governance Document, 08 March 2012.

<sup>2</sup> C. Wegener, "Liberal Education and the Modern University", 1978 citing D. Gilman, *Launching of a University and Other Papers*, New York: Dodd Mead & Co., 1906.

The PTE process requires that multiple evaluations are conducted over several years, and are performed by a variety of professional colleagues. The intent is to provide regular, constructive feedback to enhance the scholarly development of all faculty members. This feedback is to follow NDSU policies of collegiality, nondiscrimination, and respect.

The PTE process must be used to develop the scholar in a fair, transparent, and open manner. Annual reviews by ECE Department leadership are the foundation of the process. This process takes place in the spirit of honest and constructive feedback in the development of the scholar. The leadership includes the ECE Department Chair and the ECE Department PTE Committee. Multiple evaluations help provide the scholar with more constructive feedback and reduce the likelihood of a negative decision later in the PTE process. If the PTE process is carried out faithfully by all parties throughout the pre-tenure period, the final outcome of the process should never be a surprise to the scholar.

Each faculty member within a department has different interests and expertise. These varying needs, interests, and expertise must be blended together to achieve the ECE Department goals. The faculty member, together with the Chair, should develop a job description and goals that support programs of excellence in the ECE Department while aligning with the faculty member's expertise and strengths.

#### c. Assessment Elements

In the book, *Scholarship Assessed*, Glassick et al. lay out clear assessment guidelines and the ideas expressed herein are borrowed from this work<sup>3</sup>. Scholarship of a faculty member's body of work will be assessed based on evidence provided by the faculty member that addresses the following six criteria: clear goals, adequate preparation, appropriate methods, significant results, effective presentation, and reflective critique.

It is the responsibility of faculty members to explain how the above elements of scholarship are present in their teaching, research, and service responsibilities. A major focus, therefore, will be the narrative that describes scholarly development.

Annual reviews and critical feedback to the faculty member throughout the ECE PTE process must also address the six criteria noted above. In addition, the annual review must address a broader view of the faculty member's work by addressing the following two questions.

1. Is the current cumulative body of work appropriate for the field and for the stage of development of the scholar?
2. Is there an appropriate progression and improvement of the faculty member's scholarship?

#### Section 4. University Expectations

University Policy (Section 352) recognizes teaching, research, and service as the three areas in which faculty are expected to contribute towards the mission of the University. The quality and quantity of contributions in all three areas will be considered at the time of promotion and tenure. Contributions and forms of supporting evidence will vary

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<sup>3</sup> Glassick, C.E., Huber, M.T., and Maeroff, G.I., *Scholarship Assessed- Evaluation of the Professoriate*, Carnegie Foundation for the Advancement of Teaching, 1997.

according to the faculty member's specialty. The performance evaluation of a faculty member for promotion and/or tenure shall also be based upon the individual's job description and work load over the time period under review.

Consistent with University Policy (Section 352), it is within the authority of the NDSU administration to grant credit toward early promotion or tenure when substantial, relevant experience has been documented in the original letter of appointment (hiring contract). Probationary-period faculty are encouraged to take full advantage of the customary six-year period to demonstrate continuing effectiveness within the context of NDSU. The ECE PTE Committee is bound to evaluate the faculty member based on the original letter of appointment and the candidate's job description. Evidence of achievement in the areas of teaching, research, and service shall be evaluated based on a level of documented activity in all areas equivalent to that expected from six-years of service at NDSU. The ECE PTE Committee is also bound to consider whether or not the University provided the level of support promised in the original letter of appointment and whether or not the promised level of support and/or the actual level of support was adequate for the candidate to achieve the expected level of teaching, research, and service productivity.

Collegiality, as defined by University policy, enhances the ability to be effective in teaching, research and service. A basic expectation of all faculty is to contribute to collegiality in the ECE Department by being ethical, courteous, helpful, and respectful in all aspects of professional conduct.

#### Section 5. ECE Department Expectations

The following measures reflect the mission and goals of the Electrical and Computer Engineering Department. A record of performance in each of the areas of teaching, research, and service, as evidenced by a narrative description (see Section 6 of the CoE PTE document) including the measures and guidelines listed below, is necessary. The candidate's position description should be consistent with the expectations in teaching, research, and service described in this section.

**Teaching:** A faculty member should demonstrate his/her commitment to teaching excellence, student learning, and competency in course contents. A candidate should document his/her efforts in course evaluation, revision, and improvement of course material, student advising activities, and participation in student committees. Teaching activities that will enhance or enlarge the research activities of the ECE Department are encouraged. This might include improvement of existing courses, development of new courses, and educational research.

Primary Measures:

- Student evaluation of course materials and the faculty member's ability to communicate knowledge
- Peer and/or other professional evaluations of course content, teaching methods and improvement of instructional programs including assessments of new courses and innovative teaching methods

- Undergraduate and graduate evaluation/peer review of faculty advising, including advising of students conducting various research and teaching activities
- Supervision of theses and dissertations
- Contributions to curriculum development, temporary courses, and special topics

Secondary Measures:

- Presentations at regional and national meetings on innovative instructional techniques and student assessment methods
- Evaluations of continuing education courses and workshops including evaluation of course content and ability to communicate
- Activities that bring professional practice and ethics to the classroom.
- Supervision of capstone projects
- Development of innovative methods to evaluate student performance
- Receipt of awards or special recognition for effective teaching based on student evaluations and recommendations
- Receipt of awards or special recognition for advising based on student evaluations and recommendations
- Recognition for student organization advising by national or international sponsor organization

**Research:** The majority of the faculty member's research activities should be consistent with and help define a candidate's research emphasis. Candidates must publish papers in refereed journals and/or refereed conference proceedings. A candidate must document funding efforts to support research and graduate students, dissemination of research results, and other research-related activities. Research activities that will enhance or enlarge the teaching activities, including the improvement of existing courses or the development of new courses, are encouraged. Note that external peer evaluations of faculty scholarly research contributions, such as evaluations of research proposals and reviews of manuscripts are required. The following are primary and secondary measures of research effectiveness:

Primary Measures:

- Refereed journal publications
- Externally funded research, which is required
- Refereed conference publications
- M.S. and Ph.D. students graduated
- Other demonstrably significant work (such as books, research reports, patents, tutorials at conferences, keynote addresses at conferences, etc.)

### Secondary Measures:

- Other publications and presentations
- Funded research projects (internal to NDSU)
- M.S. and Ph.D. students currently advising
- Other demonstrable work

**Service:** Candidates should participate in activities, such as committees or equivalent bodies, to help develop the department, college and university. Candidates are encouraged to work with student organizations and to seek donations and partnerships to improve the department's teaching and research capabilities. Community service, professional society activity, student recruitment, and promoting good community relations are also encouraged. The candidate should document service activities that complement the teaching or research missions of the ECE Department. The candidate can also document service activities that promote good community relations and enhance the stature of the ECE Department or the University even if those activities are beyond the customary interests of the ECE Department. Service evidence may also include contributions to fostering a campus climate that supports and respects faculty, staff, and students who have diverse cultures, backgrounds, and points of view. Service activities are one component of the development of an engineering professor.

### Section 6. College Expectations for Teaching, Research, and Service

Refer to the CoE PTE document.

### Section 7. Procedures

#### a. Tenure and Promotion for Tenure-Line Positions

The ECE Department will follow the detailed PTE Procedures as outlined and defined in the CoE PTE document and in NDSU Policy 352 Section 6. 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 ECE Department which were provided to the candidate at the time of the candidate's appointment to the position. The ECE Department Chair has the responsibility to provide to the appointee these documents along with 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.

#### b. Promotion for Professor of Practice and Research Professor Positions

While faculty in Professor of Practice and Research Professor positions are not eligible for tenure, promotion through ranks is encouraged and is based on time in rank and satisfactory evaluations of assigned responsibilities. An application for promotion is initiated via a departmental recommendation and follows the same procedure and submission deadlines as for tenure-line faculty.

c. Evaluation

The ECE Department Chair will meet with each faculty member annually to conduct annual reviews. The purpose will be to review the job description for each faculty member, review accomplishments since the last review, review cumulative progression toward promotion, and to collaboratively define expectations for accomplishments for the next review cycle. The ECE Department PTE Committee participates in the third-year process by providing the ECE Department Chair a written evaluation of the probationary faculty member's progress. The ECE PTE Committee will express an opinion as to whether or not the University provided the level of support promised in the original letter of appointment and whether or not the promised level of support and/or the actual level of support was adequate for the candidate to achieve the expected level of teaching, research, and service productivity. In a similar manner, the ECE PTE Committee will express an opinion as to whether or not the candidate's assigned workload and the corresponding institutional support was adequate to allow for the professional growth of the candidate. The faculty member's expectations must be aligned with the ECE Department's goals and needs, the interests and expertise of the faculty member, and the general evaluation criteria listed above.

1. Probationary Faculty

The probationary faculty member will prepare summaries of teaching, research, and service progress and accomplishments for each year. The summary and an updated, cumulative curriculum vita will be provided to the ECE Department Chair to be used for annual review and for setting goals for the upcoming year. The ECE Department Chair and the individual probationary faculty member will establish objectives and review the job description on an annual basis. The summary and an updated, cumulative curriculum vita will also be provided to the ECE Department PTE committee.

The ECE Department Chair and the ECE Department PTE Committee will each provide a performance report to the probationary faculty member as feedback for tenure and promotion purposes. These reports should include an assessment of the faculty member's progress toward tenure and promotion. Assessments should be rated as acceptable, improvement plan required (marginally meeting expectations), or unacceptable (non-renewal). In making a judgment on minimum 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. For the first-year review, the ECE PTE Committee will express an opinion about the appropriateness of the original hiring of the candidate in view of the requirements specified in the original letter of appointment. For the first and subsequent years, the ECE PTE Committee will also compare the candidate's progress and performance to the level of University support provided the candidate so that she/he would achieve the expected level of teaching, research, and service productivity.

If either the ECE Department Chair or the ECE Department PTE committee recommends an improvement plan, the faculty member will meet with both the ECE Chair and the ECE PTE committee to discuss the review and the required areas of improvement. The faculty member will write an improvement plan based on this feedback and the plan should be reviewed and signed by all parties. The signed plan and a summary of progress

made towards the plan must be included in the following year's annual review. The improvement plan will include a commitment as to workload and resources indicated by the ECE Department administration along with the corresponding performance expectations.

If either the ECE Department Chair or the ECE Department PTE Committee make a recommendation for non-renewal, their reports (recommendations) shall be submitted to the CoE for review by the Dean and the College PTE committee. The four recommendations shall then be submitted to the Provost. The non-renewal process shall be carried out according to NDSU Policy Section 350.3.

For third-year reviews, the probationary faculty member will complete the evaluation documents defined by the current NDSU Guidelines for Promotion and Tenure Portfolio Preparation including all annual evaluations by the ECE Chair and the ECE Department PTE committee. Completed portfolios will be submitted for review by the ECE Department Chair, the ECE Department PTE Committee, the CoE Dean, and the CoE PTE committee.

At the beginning of the last year of the probationary period, both the ECE Department PTE Committee and the ECE Department Chair will evaluate the applicant's record and submit individual recommendations for tenure/promotion to the College PTE Committee and the CoE Dean by November 1.

## 2. Tenured Faculty

Consistent with the Scholarship development model of the CoE PTE process, tenured faculty members will periodically present a portfolio for review to encourage continued growth in teaching, research, and service. Portfolios will be reviewed by the ECE Department and the College PTE Committees and will be used to provide constructive feedback. These portfolios typically will be briefer than the much more extensive portfolios presented for tenure and/or promotion. The ECE Department PTE Committee will take its charge as follows: (1) Are there ways and means whereby ECE faculty colleagues can partner with their colleague who is being reviewed to create additional opportunities in teaching, research, and service. For example, would the colleague's career be enhanced by team teaching a course, working on a joint research project, or joining with another faculty member in a service effort? (2) The ECE Department PTE Committee will also consider whether or not their colleague has been given adequate resources to achieve her/his teaching, research, and/or service goals and has been given the opportunity and encouragement to take periodic developmental leaves. (3) Finally, the colleague's teaching and service loads over the past several years will be examined to see if such assignments have contributed appropriately and adequately to the colleague's professional development. Associate Professors will submit a portfolio for review every four years after achieving the rank and Professors will submit a portfolio every six years after achieving the rank. The portfolio should consist of an updated CV, and narratives describing scholarly development in the areas of teaching, research, and service as outlined in Section 5 and the annual performance reports provided by the ECE Department Chair. Faculty are encouraged to use appendices to include other documentation that will help the committees understand the faculty member's progression of scholarship and provide appropriate feedback. Such documentation may

include external reviews of research, manuscript or grant proposal review comments, peer reviews of teaching, or documentation of professional service activity and other accomplishments. A principal interest of the ECE PTE Committee will be a consideration of whether or not the Associate Professor's workload and resources are contributing toward the goal of promotion to Professor. In the case of the Professor, the committee will consider whether or not his/her teaching and advising load is consistent with research expectations. Feedback will be returned to the faculty member and the ECE Department Chair as a reference for continued annual evaluations.

d. Recommendations

When a faculty member from the ECE Department is evaluated for promotion and/or tenure, the evaluations by both the ECE Department PTE Committee and the ECE Department Chair shall be forwarded to the Dean and the College PTE Committee. The Dean and the College PTE Committee deal with the evaluations according to existing CoE and NDSU policies.

e. Early Promotion and Tenure

For a faculty member without prior relevant experience, eligibility for tenure requires a probationary period of six years. In this case, evaluations for promotion to Associate Professor and granting of tenure are conducted concurrently. Within this probationary period, faculty members who have demonstrated exceptional academic accomplishments may apply for early promotion (without tenure) prior to the completion of the six years of the probationary period. Petitions for early promotion shall be initiated by the ECE Department Chair, and not by faculty members themselves.

A faculty member with relevant professional /academic experience at the time of initial NDSU appointment may be awarded credit toward tenure. Awarded credit must be stated in the original hiring contract. There are two options:

1. Faculty may be given one to three years of credit (maximum allowed) and then would apply for promotion and tenure prior to the sixth year of academic service. For example: given one year of credit, the promotion and tenure application would be due in the fifth year of service; given three years of credit, the promotion and tenure application would be due in the third year of service.
2. A new faculty appointee who is eligible for award of probationary credit may be allowed 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.

In either option, failure to achieve tenure will lead to a terminal year contract.

f. Extension of Probationary Period

The ECE PTE Committee encourages each candidate for promotion and/or tenure to be aware of NDSU Policy 352 Section 3.6. This policy states that a faculty member may request an extension of the probationary period not to exceed three years based on institutional, family or personal circumstances. The request may be made any time during the probationary period prior to the sixth year (or prior to the year in which the portfolio is due). Written notification to the Provost must be submitted within one year of the beginning of the event for which the extension is requested and approved prior to July 1 of the year in which the tenure/promotion portfolio is due. A faculty member who

submits an extension request during the academic year in which they are to undergo third year review must successfully undergo third-year review and renewal before any extension can take effect. The request must be in writing and will be submitted to the Provost who will review the request and will approve or deny the request. Denial of an extension may be appealed under University Policy 350.4. The award of an extension can't be deemed as an expectation of additional performance concomitant with the length of the extension.

g. ECE PTE Committee Formation and Voting Rights

The ECE Promotion, Tenure, and Evaluation (PTE) Committee shall consist of all tenured (full) Professors and Associate Professors of the Department of Electrical and Computer Engineering, except the department chair and other faculty members who exercise direct supervisory responsibility over ECE Department faculty. All ECE PTE Committee members are eligible to vote for the granting of tenure as well as promotion to various ranks, regardless of the rank of the ECE PTE Committee member. They must have completed three years of full-time employment in the Department of Electrical and Computer Engineering at NDSU. Annually in April of each year they will elect a chair of the committee and a representative of the committee that will serve on the CoE PTE Committee. Prior to commencement of deliberations, the ECE PTE Committee Chair must have received PTE committee training within the last three years, provided through the Office of the Provost. Faculty members and administrators being considered for promotion may not be involved in any candidate review and recommendation process, including the selection of external reviewers, while under consideration. The representative of the ECE PTE committee on the CoE PTE Committee will have voting rights as determined by CoE and NDSU policies.

Section 8. Changes

In those instances, where the ECE Promotion, Tenure and Evaluation Procedures and Criteria must be modified, the ECE PTE Committee will make the proposed changes and forward those changes to the ECE faculty and to the ECE Department Chair for approval at the department level. The procedure for obtaining CoE and Provost approvals will be those CoE and NDSU procedures in effect at the time.

Chair, ECE PTE Committee	Date

Chair, ECE Department	Date

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Chair, College PTE Committee

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Date

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Dean, College of Engineering

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Date

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Provost

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Date