

# **Criteria and Procedures for Promotion, Tenure and Evaluation**

## **Department of Mechanical Engineering**

### **North Dakota State University**

**Revised November 2017**

#### **I. Introduction**

This document provides guidelines for making decisions regarding promotion and/or tenure of faculty in the Department of Mechanical Engineering (ME) in accordance with the broader Promotion, Tenure and Evaluation Policies of the College of Engineering (CoE), North Dakota State University (Section 352 of the NDSU Policy Manual), and the North Dakota State Board of Higher Education (Policy 605.1). These guidelines provide additional material to identify specific factors that apply in evaluating faculty in the Department of Mechanical Engineering.

#### **II. Mission of the Mechanical Engineering Department**

The Department of Mechanical Engineering has a three-pronged mission that is consistent with that of the university. The promotion and tenure policy of the department is designed to encourage faculty to be active contributors to the university's mission. Specifically, the ME Department will contribute to the aspirations of a land-grant university in the three primary components of education, research, and service. In support of these endeavors, the mission of the department is to:

- Educate undergraduate and graduate students in the fundamentals of the discipline, prepare graduates to effectively function in society in the field of their choice, and provide the learning skills to adapt to evolving personal and professional goals.
- Develop and maintain high quality research programs in traditional and emerging areas that build on the diverse strengths of the faculty, foster interdisciplinary collaborations, and address national and global needs.
- Serve the needs of the profession, the state of North Dakota, and regional industries to promote and enhance economic development opportunities.

#### **III. General Expectations**

As described in the CoE PTE document, the expectations for faculty can be unified in the concept of Scholarship, 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.

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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.

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 university policy also expects each academic unit to specify the relative emphasis on teaching, research, and service of the unit and to specify the relative proportion of time assigned to teaching, research, and service to individual faculty members. Successful promotion and tenure candidates will show evidence of positive contributions towards department and university goals, as well as promise for continued professional development.

Professional development activities contribute to a faculty member's continual scholarly growth. Faculty are expected to stay current and competent in his/her academic field and are to be evaluated in relation to the resources made available for these purposes. Efforts on the part of the faculty member to advance beyond the minimum qualifications of the job in support of the department goals and objectives will qualify for this category. Also important is the participation in activities of professional organizations.

Consistent with University Policy (Section 352), it is within the authority of the university administration to grant credit toward early promotion or tenure when substantial previous, relevant experience has been documented in the original letter of appointment (hiring contract). Probationary faculty are encouraged to take full advantage of the customary six-year period appropriate to demonstrate continuing effectiveness with the context of this institution. Faculty committees of the department and the college are bound by the original letter of appointment and the candidate's job description, and 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 North Dakota State University.

Collegiality, as defined by University policy, enhances the ability to be effective in teaching, research, and service. Faculty are expected to contribute to collegiality in the College by being ethical, courteous and helpful to others, as well as respectful of others in all aspects of conduct.

#### **IV. Department Expectations**

Promotion and the granting of tenure are not automatic and no formulas apply. Each faculty member will be evaluated individually, based on his/her accomplishments. The three major areas to be considered in the evaluation process include teaching, research, and service, although these areas do not carry the same weight for all individuals. It is the department's position that goals should be set at the beginning of each evaluation period by the faculty member, the departmental Chair, and the evaluating committee working cooperatively.

##### **a. Teaching**

Teaching refers to the broad area of student/faculty interaction for educational purposes, not only in the classroom but also to the full range of activities, which result in student development. Individual interaction between instructor and student is very important. In order to be effective teachers, the faculty need to be knowledgeable, effective communicators, and concerned about students' academic progress in general. The department expects the faculty to be effective teachers.

### ***Criteria for Tenure, Promotion, and Maintenance of Rank***

1. Promotion from Assistant to Associate Professor  
Competence as an instructor should be demonstrated in all courses taught. “Competence” means that the instructor is knowledgeable and current in the discipline, effective in communicating, and concerned about student learning.
2. Tenure  
A candidate for tenure will be expected, at a minimum, to meet the criteria for promotion from Assistant to Associate Professor. In addition, the candidate should demonstrate long-term potential value related to the purposes, priorities and resources of the department.
3. Promotion from Associate to Full Professor  
A sustained record of teaching effectiveness should be evidenced. This could include effective classroom performance, development or use of improved teaching methods, course development, laboratory development, teaching awards, academic advising, and supervision of senior design projects and of graduate disquisitions.
4. Full Professor  
Full Professors are expected to maintain their work as teaching scholars by continuing to improve the transfer of knowledge using the principles of scholarship outlined above.

### ***Supporting Evidence***

Although the narrative serves as the primary basis for documenting teaching scholarship, that narrative must be supported by documented evidence. The following are primary examples of supporting evidence that can be referenced to demonstrate teaching and advising scholarship:

- Peer and/or other professional evaluations of course content, teaching methods, improvement of instructional programs, and course or program assessment
- Student evaluation of teaching effectiveness including summary data for all required Student Rating of Instruction questions
- Summaries of feedback from student evaluations of advising
- Presentations at regional and national meetings on innovative instructional and assessment techniques
- Other documentation of innovative methods to evaluate student learning
- Course development including faculty or administrative evaluation
- Supervision of theses and dissertations
- Active involvement in accreditation activities

The following are secondary examples of supporting evidence that can be referenced to demonstrate teaching and advising scholarship:

- Receipt of awards or special recognition for effective teaching
- Receipt of awards or special recognition for advising students and/or organizations
- Offering or contributing to continuing education courses and workshops including evaluation of course content and delivery
- Participation in professional development related to improving teaching effectiveness
- Activities that bring professional practice and ethics to the classroom
- Advising of student organizations

## **b. Research**

Research includes basic and applied research, but does not exclude other scholarly activities. Other activities such as design, problem solving, and consulting, and other expressions of professional creativity are equally important scholarly contributions within the engineering profession. Research should be shared with the professional and scientific community. Developing proposals directing research projects, etc., also qualify as research contributions. Evidence of scholarly activities that achieve regional, national and international recognition is significant. Publication of work in refereed archival publications is the commonly accepted norm.

### ***Criteria for Tenure, Promotion, and Maintenance of Rank***

1. Promotion from Assistant to Associate Professor  
Establishment of a scholarly activity or research emphasis should be evidenced by scholarly work as defined in Section III. The candidate is expected to provide evidence of success in publications, directing students in scholarly activities such as thesis work, and of attaining at least local and/or regional recognition with respect to their research activities.
2. Tenure  
A candidate for tenure will be expected, at a minimum, to meet the criteria for promotion from Assistant to Associate Professor. In addition, the candidate should demonstrate long-term potential value related to the purposes, priorities and resources of the department.
3. Promotion from Associate to Full Professor  
The applicant shall sustain a scholarly activity or research emphasis evidenced by scholarly work as defined in Section III. Sustaining a strong program of research or scholarly endeavor evidenced by publications, directing graduate and/or undergraduate research, and recognition of the applicant's work by other researchers in the field are some indicators of the expected level of effort.
4. Full Professor  
Full Professors are expected to maintain their work as research scholars by continuing to search for new knowledge using the principles of scholarship outlined above.

### ***Supporting Evidence***

Although the narrative serves as the primary basis for documenting scholarship, that narrative must be supported by documented evidence. The following are primary examples of supporting evidence that can be referenced to demonstrate scholarship of research:

- External peer evaluations of faculty scholarly research contributions such as evaluations of research proposals
- Pursuit and success in obtaining external funding to support scholarly research goals
- Publication of original work related to the individual's scholarly goals in refereed journals, books, and other refereed archival publications appropriate to the scholarly field
- Effective direction of graduate students toward completion of dissertations and theses

- Invited technical presentations at national and international conferences
- Collaborative investigations with industrial partners
- Licensing and registration of patents
- Establishment of campus infrastructure to serve as a platform to support scholarly research goals

The following are secondary examples of supporting evidence that can be referenced to demonstrate scholarship of research:

- Publication of original work related to the individual's scholarly goals in non-refereed conference proceedings
- Presentation of original work related to the individual's scholarly goals at regional, national, or international conferences
- Externally requested technical reports
- Awards or other recognition within the faculty member's discipline for research accomplishments
- Participation in multidisciplinary and intercollegiate research activities
- Mentoring postdoctoral researchers and visiting scholars in research
- Citations of publication or research work by peers in the field
- Elected senior memberships in national or international technological societies

The following are examples of supporting evidence that may be used to demonstrate research leadership:

- A strong record of publication citations
- Invitations to speak at national or international meetings
- Holding leadership positions on national or international technical committees
- Developing or directing national collaborative research programs

### c. Service

As part of the land grant charter of the university, the department strives to fulfill the obligation to extend the technological resources and expertise of the department to the state of North Dakota. This service also includes service to the department, the college, and the university; professional service to the community and the nation; and service to one's profession.

#### *Criteria for Tenure, Promotion, and Maintenance of Rank*

1. Promotion from Assistant to Associate Professor  
Participation in the governance of the university, college or department should be demonstrated by responding to the need to serve on various committees. At a minimum, the candidate should have provided service to the department. However, professional service to the community and the profession is highly desirable.
2. Tenure  
A candidate for tenure will be expected, at a minimum, to meet the criteria for promotion from Assistant to Associate Professor. In addition, the candidate should

demonstrate long-term potential value related to the purposes, priorities and resources of the department.

3. Promotion from Associate to Full Professor

Leadership roles in committee participation at the departmental, college, and university levels as well as participation as a professional on community, regional, and national levels will be reviewed. Also considered would be the level of participation in the university outreach program.

4. Full Professor

Full Professors are expected to maintain their work in scholarship of service through thoughtful and active participation in department, college, and university governance as well as broader service to the profession and community.

### *Supporting Evidence*

The following activities are primary examples of supporting evidence that can be used to demonstrate scholarship of service:

- Institutional service at the level of department, college and/or university in terms of faculty governance, formulation of policies, and administrative responsibilities
- Service to technical, professional, and scholarly societies in terms of committee activities, organizing and/or chairing conferences, reviewing manuscripts and proposals, and serving as an editor or on the editorial board of journals
- Service to the public could include discipline-related outreach to local government, businesses, schools, or other community groups
- Leadership roles in any of the above service categories
- Involvement in educational and/or research and/or professional outreach
- Contributions to fostering a campus climate that supports and respects faculty, staff, and students who have diverse cultures, backgrounds, and points of view

The following activities are secondary examples of supporting evidence that can be used to demonstrate scholarship of service:

- Non-remunerative consulting in one's area(s) of expertise
- Service to public and private organizations in areas outside the faculty member's specific discipline (e.g. fraternal organizations, community-based organizations) but done in the capacity as an NDSU faculty member
- Faculty mentoring

The following are examples of supporting evidence that may be used to demonstrate leadership in service activities:

- Taking leadership roles on committees at any level
- Developing or directing collaborative outreach programs
- Developing and/or running university-wide governance initiatives

## **V. Composition of the Department PTE Committee**

The Department PTE committee will consist of no less than three tenured faculty members holding the rank of Associate Professor or Full Professor. Faculty holding administrative appointments, including the Chair and Associate Chair, are not eligible to serve on the committee. 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 committee members will be elected by the faculty of the department annually.

Prior to commencement of deliberations, the committee will elect a chair. The chair of the committee must have received PTE committee training within the last three years, provided through the Office of the Provost.

Any member of the department PTE committee who has voted on the promotion/tenure of a candidate in the department, who is also a member of the college PTE committee, shall be recused from the vote by the college PTE committee for that candidate.

## **VI. Procedures**

### **a. Tenure and Promotion**

For appropriate application procedures refer to the current NDSU Guidelines for Promotion and Tenure.

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 department which were provided to the candidate at the time of the candidate's appointment to the position. The 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. Evaluation**

The Department Chair will meet with each faculty member and together arrive at objectives and a current job description for each faculty member. The Department PTE Committee may participate in these meetings. Selection of these objectives will be based on the department goals and needs, the interests and expertise of the faculty member, and the evaluation criteria discussed above. The annual review and evaluation process shall include a discussion of the resources available to the candidate and the expectations concerning efforts in identifying, locating, and attracting new resources. Every effort will be made to find mutually acceptable objectives. The objectives and job description will be recorded and copies retained by the faculty member and the Department Chair.

The Department PTE Committee should participate in the third year process by providing the Department Chair a brief written evaluation of probationary faculty progress.

### ***Probationary Faculty***

At the beginning of each calendar year, the Department Chair, and the individual tenure-track faculty member, after mutual discussions, will establish objectives and a job description. At a time determined by the department, the tenure-track faculty member will prepare summaries of teaching, research, and service accomplishments for each year. The summary will be provided to the Department Chair and the members of the Department PTE Committee.

The Chair and the Department PTE Committee will each provide a performance report to the applicant as feedback for tenure and promotion purposes. These reports should also 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.

If either the Chair or the Department PTE committee recommends an improvement plan, the faculty member will meet with both the Chair and 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.

If either the Chair or the 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 for a final decision. The process of non-renewal and the subsequent termination shall be according to the NDSU Policy Manual Section 350.

At the third year review, the tenure-track candidate will complete the evaluation documents as per the current NDSU guidelines for Promotion and Tenure, and submit them for review by the Department Chair, and Departmental PTE Committee, the CoE PTE committee, and the Dean of Engineering in accordance with NDSU Policy 352.

At the beginning of the last year of the probationary period, the candidate will prepare an appropriate application as per the current NDSU guidelines for Promotion and Tenure, and submit it to the Department PTE Committee and the Department Chair. Both the Department PTE Committee and the Department Chair will evaluate the applicant's record and submit individual recommendations for tenure/promotion to the College PTE Committee and the Dean of Engineering.

### ***Tenured Faculty***

Every tenured faculty member will also meet with the Department Chair at the beginning of the calendar year to evaluate the faculty member's performance relative to the current position description, and define objectives for the coming academic year. For Associate Professors, the annual reviews will include specific recommendations to strengthen the case for promotion.

Tenured faculty members will periodically present a portfolio for review to encourage continued growth in teaching, research, and service. Portfolios will be reviewed by Department and College PTE Committees and will be used to provide constructive feedback. Associate Professors will submit a portfolio for review every 4 years after achieving rank and Professors will submit a portfolio every 6 years after achieving rank. The portfolio should consist of an updated CV, and narratives describing scholarly development in the areas of teaching, research, and service, and the annual performance reports provided by the 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 accomplishments. Feedback will be returned to the faculty member and the Department Chair as a reference for continued annual evaluations.

### ***Professors of Practice and Research Professors***

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. Recommendations**

When a faculty member is evaluated for promotion and/or tenure, the evaluations by both the Department PTE Committee and the Chair shall be forwarded to the Dean and the College PTE Committee.

The Dean of the College of Engineering and the College PTE Committee will independently prepare recommendations in compliance with the University Policy (Section 352). The Dean and the College PTE Committee will send their final recommendations along with the individual's application to the Provost by January 5 for final disposition.

#### **d. Early Promotion and Tenure**

For a faculty member without previous academic-relevant experience, eligibility for tenure requires a probationary period of six years and in this case, evaluations for promotions 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 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 and promotion, based upon recommendations from the Department PTE Committee. 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 elect a full six-year probationary credit with the option of applying for P/T after three years of service.

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

#### **e. Extension of Probationary Period**

At any time during the probationary period but prior to the sixth year (or prior to the year in which the portfolio is due), a faculty member may request an extension of the probationary period not to exceed a total of three years based on institutional, personal or family (pertaining to a child, spouse/partner or parent, as described in NDSU Policy 320) circumstances, personal illness or disability, which, according to reasonable expectations, impede satisfactory progress towards promotion and tenure. Faculty given promotion and tenure credit are also eligible for this extension. Faculty members are encouraged to request probationary period extension as soon as they recognize the need for extension. 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 NDSU Policy 350.4, however, appeals will not be granted for requests that are submitted outside the required timeline for extension.

### **VII. Changes to the ME Criteria and Procedures**

The ME Criteria and Procedures for Promotion, Tenure and Evaluation must be periodically reviewed and modified to comply with State Board of Higher Education, NDSU, and/or CoE 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 the criteria and procedures. The ME PTE Committee will

make the changes and place those changes into effect with a majority vote of the tenured and probationary 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 CoE Dean, CoE PTE Committee, and Provost for their approval. Upon approval, faculty will be informed of the changes to the criteria and procedures, and the revised document will be distributed to all ME faculty members.

## Approvals

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Chair, Mechanical Engineering PTE Committee

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Date

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Chair, Mechanical Engineering Department

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Date

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Chair, College of Engineering 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