

# **Criteria and Procedures for Promotion and Tenure Evaluations**

## **Department of Civil and Environmental Engineering**

### **North Dakota State University**

**Revised and Approved by CEE Faculty on 11/5/2018**

**(Approved by the CE Faculty on 2/16/07)**

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**(CE PTE Committee revision in response to Provost's comments 12/05/07)**

**(CE PTE Committee revision in response to University Policy Section 352, Proposed on 5-8-09)**

**(Presented to CE faculty on 5/11/2009)**

**(CE PTE Committee revision in response to Dean's comments, proposed on 1/20/10)**

**(CEE PTE Committee revision 6/3/2016)**

**(Presented to CE faculty on 11/5/2018 and approved)**

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## **I. Introduction**

This document is prepared in accordance with the requirement of the University Policy Section 352 and the College of Engineering (COE) Guidelines for promotion, tenure, and evaluation. The purpose of the document is to provide guidance to evaluate progress-tracking and to assess the performance level of the Civil and Environmental Engineering (CEE) faculty for meeting expectations for promotion and tenure.

Types of scholarly activities and their measures used for performance evaluation of CEE faculty are described in this document. Some instruments of documentation can be found in sufficient detail in the University Policy Section 352 (<http://www.ndsu.edu/policy/>). In addition, candidates for promotion and tenure can choose methods to provide evidence of their accomplishments in the best manner possible. It should be emphasized that all NDSU and College of Engineering policies/guidelines in regard to procedures, criteria, and evaluation do apply. This document is prepared to reflect the special context of the unit.

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 the appointee this document along with a position description, contract, or other documents that constitute a

tenure or work plan. Tenured candidates for promotion to professor shall be evaluated by the criteria in effect at the time of application.

## **II. Mission and Goals**

### **Mission**

The mission of the Department of Civil and Environmental Engineering is to provide quality education to prepare nationally competitive undergraduate students for a successful career in civil and environmental engineering; to provide advanced skills and knowledge in state-of-the-art research and design in sub-areas of civil and environmental engineering for graduate students; and to provide service to the university, engineering profession, and the public.

### **Goals**

#### **Teaching:**

- Provide a comprehensive undergraduate civil engineering curriculum blending fundamentals, design, communication skills and professionalism.
- Provide a quality graduate curriculum for qualified students to specialize in sub-areas and emerging areas of civil engineering.

#### **Faculty:**

- Provide the faculty with an intellectual environment and resources for professional development in terms of basic and applied research and other scholarly pursuits.
- Provide faculty with opportunities to participate in university and college governance, community projects and outreach programs, and in professional organization activities.

#### **Program:**

- Develop program resources.
- Develop a high degree of program visibility at the campus, state, national, and international levels.
- Develop a program of recruitment for quality students.
- Develop a program and course assessment procedure that enhances the program's ability to meet the needs of the students.

### **III. General Expectations**

The CEE Department expectations for faculty are centered on scholarly contributions in teaching, research and service. This includes discovery, integration, application, and dissemination of knowledge in teaching, research, and engaging in service to profession and university governance. The CEE Department encourages risk-taking qualities of scholars. The department, as part of a professional college, recognizes the practicing aspects of the profession.

The CEE Department adopts the description of scholarship as stated in the COE PTE document for evaluation. Scholarship in any activity in teaching, research, and service is recognized by the presence of the following elements:

- Identifying clear goals and objectives of activities,
- Demonstrating an understanding of the existing status of the field,
- Using appropriate methods and procedures in response to changing activity circumstances,
- Achieving stated goals to make significant contributions to the field,
- Presenting results in effective ways and communicating with intended audience, and
- Adopting critical self-evaluation, based on appropriate breadth of evidence, to improve the quality of work.

It is the responsibility of candidates to explain the elements of scholarship in their teaching, research, and service contributions. A major focus in the candidate's portfolio, therefore, will be the "narrative" that describes scholarly development in teaching, research, and service. Annual reviews and critical feedback to the faculty member throughout the PTE process must also address the scholarship criteria as noted in this document. 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?

### **IV. Evidence of Accomplishments**

The CEE Department offers the following degree programs: B.S., M.S. and Ph.D. in Civil Engineering, M.S. in Environmental Engineering, and participates in interdisciplinary graduate programs such as Environmental and Conservation Sciences, Materials and Nanotechnology, and Natural Resources Management. The criteria for promotion and tenure support the mission and goals of the department. The activities of the faculty members are categorized as:

1. Level 1
2. Level 2



The following activities are suggested for departmental review. Sustained record of performance is considered important.

## **Activity Level I**

### **Teaching:**

At Level I, activities to demonstrate commitment and competency in teaching may include, but are not limited to the following:

1. Using appropriate instructional materials and methods,
2. Developing new courses and/or revising existing courses to incorporate new advances and practices in the field,
3. Conducting course assessment for course improvement and self-improvement as an instructor,
4. Advising undergraduate and graduate students,
5. Advising theses and dissertations to completion,
6. Serving on graduate supervisory committees,
7. Integrating technology in instruction,
8. Engaging in pedagogical and/or professional development activities such as participating in pedagogical presentations/conferences and/or workshops at regional and/or national level, continuing education courses and workshops, and discipline-specific conferences,
9. Participating in curriculum development activities. Contributions to curriculum development could be participating in periodical departmental reviews of the curriculum and in reviewing changes to accommodate the Accreditation Board for Engineering and Technology (ABET) criteria to meet desired student outcome needs, and
10. Participating in accreditation activities.

### **Research:**

At Level I, activities to demonstrate research effectiveness may include, but are not limited to the following:

1. Establishing an independent research focus area and demonstrating progress in that area,
2. Directing theses/dissertations to completion,
3. Directing/mentoring graduate students to develop research projects,
4. Actively pursuing and obtaining research funding,
5. Developing infrastructure within the candidate's research focus area,
6. Publishing papers in refereed technical journals and conference proceedings,
7. Making technical/professional presentations at local/state/national/international levels, and
8. Participating in research related activities and conferences/workshops of professional societies.

**Service:**

At Level I, activities to demonstrate service effectiveness may include, but are not limited to the following:

1. Serving on departmental and/or college committees,
2. Participating in the development of various required program review reports for the department and college,
3. Advising/mentoring student organizations,
4. Serving as a department representative on college or university activities,
5. Participating in community activities in a professional capacity,
6. Assisting in departmental recruitment efforts,
7. Participating in activities of technical and/or professional societies, and
8. Serving as reviewer for funding agencies and journals.

**Activity Level II (Expected in addition to the items listed in Activity Level I)**

**Teaching:**

At Level II, activities to demonstrate sustained commitment and competency in teaching may include, but are not limited to the following in addition to the items listed in Activity Level I:

1. Developing experiments and tools for instruction,
2. Significant contributions to curriculum development activities,
3. Advising and motivating students for success in academic and career pursuits,
4. Developing, implementing, and/or evaluating new teaching methods,
5. Bringing professional and/or research experience into the classroom,
6. Contributing to instructional infrastructure development,
7. Teaching non-traditional courses, such as computer-assisted courses, distance learning courses, interdisciplinary and multidisciplinary courses, short courses, and workshops,
8. Developing courses and teaching methodologies to expose students to global perspectives,
9. Acquiring funding for advancing teaching and education, and
10. Developing/using innovative methods to evaluate student performance.

**Research:**

At Level II, activities to demonstrate sustained research effectiveness may include, but not limited to, the following in addition to the items listed in Activity Level I:

1. Consistently obtaining funding for research and/or major equipment,
2. Developing research focus of national and international repute,
3. Developing/leading collaborative research,
4. Participating in leadership and/or nationally recognized advisory roles in research agencies and/or organizations,
5. Developing/obtaining patents for products/processes, and

6. Developing scholarly works such as refereed technical papers, books, manuals, etc.

**Service:**

At Level II, activities to demonstrate sustained service effectiveness may include, but are not limited to the following in addition to the items listed in Activity Level I:

1. Organizing/chairing conferences or sessions in conferences in related disciplines,
2. Assuming editorial responsibilities in professional journals,
3. Serving as chair on college, or department committees and serving on university committees,
4. Mentoring faculty,
5. Serving in leadership roles in professional organizations,
6. Leading departmental recruitment efforts,
7. Serving on steering/advisory committees in a professional capacity, and
8. Providing expert professional testimony.

**Primary and Secondary Measures**

**Teaching:**

**Primary measures** of scholarship of teaching and advising include, but not limited to, the following:

1. Summary data from student rating of instruction (SROI),
2. Student evaluation of advising,
3. 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,
4. Awards or special recognition for teaching,
5. Supervision of theses and dissertations,
6. Awards or special recognition for advising,
7. Contributions to curriculum development by participating in periodical review of curriculum for changes to accommodate ABET criteria and preparing students for Fundamental of Engineering examination to improve student outcomes,
8. Course assessment and demonstration of use of feedback to improve courses taught, and
9. Participation in preparatory activities for accreditation visits.

**Secondary measures** of scholarship of teaching and advising include, but not limited to, the following:

1. Presentations at regional and national meetings on innovative instructional techniques and student assessment methods,
2. Evaluations from continuing education courses and workshops,
3. Activities that bring professional practice and ethics to the classroom,



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4. Development of innovative methods to evaluate student performance,
5. Serving as a member on thesis or dissertation committees, and
6. Participation in professional development activities related to teaching.

**Research:**

**Primary measures** of research productivity include, but not limited to, the following:

1. External letters of evaluations of scholarly contributions are required of all candidates,
2. Number and funding amount of proposals submitted and funded,
3. Number of refereed archival publications in the candidate's research focus area,
4. Number of other refereed archival publications,
5. Invited/Keynote/Plenary technical presentations at national and international conferences,
6. Publication of books, book chapters, registration of patents and other equivalent research activities,
7. Number of theses/dissertations directed to completion and in progress,
8. Participation in multidisciplinary and inter-institutional collaborative research activities,
9. Developing infrastructure to support research goals, and
10. Awards and/or commendations for research accomplishments.

**Secondary measures** of research productivity include, but not limited to, the following:

1. Number of refereed papers in conference proceedings,
2. Number of presentations at regional, national, or international conferences, and
3. Number of research reports, or equivalent.

**Service:**

**Primary measures** of service include, but not limited to, the following:

1. Institutional service at the level of department, college, and/or university in terms of faculty governance, formulation of policies, and administrative responsibilities,
2. Service to technical, professional, and scholarly societies in terms of committee activities, organizing and/or chairing conferences, and editorial review responsibilities of journals, conference proceedings,
3. Discipline based educational and professional outreach to businesses, schools, or the public,
4. Leadership roles in any activities of the above service categories,
5. Awards and/or commendations for service accomplishments,
6. Student organization advising, and
7. Contributions to fostering a campus climate that supports and respects faculty, staff, and students who have diverse cultures, backgrounds, and points of view.

**Secondary measures** of service include, but not limited to, the following:

1. Service and outreach activities to public and private organizations in areas outside the faculty member's discipline area knowledge (fraternal organizations, community based organizations, etc.)
2. Non-remunerative consulting, and
3. Faculty mentoring.

## **V. Criteria for Promotion and/or Tenure**

### **Promotion:**

Assistant to Associate - The items listed in Activity Level I in teaching, research, and service, indicate the breadth and depth of activities expected for promotion from Assistant to Associate Professor. Of these, three are considered mandatory: 1) Demonstration of competency in content area and teaching, as evidenced by student and peer evaluations, 2) Publishing papers in refereed technical journals, and 3) Developing a research focus area within the discipline. Research focus can be evidenced by a demonstrated body of work in a specific area of research. In addition, a majority of the other items listed in each of the categories of Research, Teaching, and Service are expected of a successful candidate for promotion from Assistant to Associate Professor.

Associate to Full Professor - Activity Level II in teaching, research and service is expected in addition to Level I. The candidate should have attained national recognition in his/her area of expertise. Growth in leadership capabilities and internationally acclaimed scholarship as evidenced by publications in international journals, invited presentations and keynote addresses in international conferences, and awards from international technical organizations. The overall professional standing of the candidate can be demonstrated with external letters of evaluation and awards/commendations for scholarly accomplishments.

### **Tenure:**

Activity Level I in teaching, research and service is expected. The decision to award tenure should rest on criteria that reflect the potential long-term contribution of the faculty member to the purposes, priorities and resources of the institution, college and department. Tenure should recognize a candidate's potential for sustained contribution in teaching, research, professional development, and service appropriate to the rank at which he/she is to be tenured.

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

The Department PTE Committee will consist of all tenured faculty with at least 3 years of service at NDSU. However, the Department PTE Committee for reviewing promotion of Associate Professor to the rank of Professor will comprise of tenured professors of the department. Faculty members and the Chair of the CEE Department being considered for promotion may not be involved in any candidate review and recommendation process, including the selection of external reviewers, while under consideration. Prior to commencement of deliberations on the promotion/tenure of a candidate, the CEE Department PTE Committee Chair must have received



PTE committee training within the last three years, provided through the Office of the Provost. The CEE Department PTE Committee Chair will vote on the promotion/tenure of a candidate in the Department PTE Committee, and will represent the department on the College PTE Committee but shall be recused from the vote by the College PTE Committee. The Department PTE Committee shall act in accordance with the university, college and the department guidelines for the evaluation of the faculty for tenure and/or promotion.

## **VII. Procedures**

### **Early Promotion:**

The Department Chair or a member of the Department PTE Committee may initiate nomination procedures for early promotion. Self-nomination is not allowed. Applications for early promotion should clearly demonstrate the applicant's exceptional performance while at NDSU in teaching, research, and service. In teaching, this level of performance may be demonstrated by consistently high SROI scores, exceptionally good peer reviews, advising evaluations, and pedagogical innovations; in research by publications in reputable national and international journals and receiving highly competitive grants from national foundations and organizations; and in service by serving in leadership roles on important college and university level committees and committees of national or international professional and scientific organizations. Denial of application for early promotion of a tenure-track faculty does not prejudice the probationary period, and those denied early promotion can subsequently reapply for regular consideration.

For tenure credit applicants are referred to their letter of appointment and NDSU Policy 352 Section 3.5. For extension of probationary period, applicants are referred to NDSU Policy 352, Section 3.6.

### **Review and Evaluation:**

#### **Annual Performance Review**

Annual reviews are conducted by the Department Chair for all faculty and should consist of quantifying the progress in teaching, research, professional development, and service, and measuring them against the goals defined for the faculty member. The goals for each faculty will be set by mutual discussions between the Department Chair and faculty based on the faculty member's initial letter of hiring and the department's overall goals and objectives by the Department Chair and faculty. At the beginning of each academic year the Department Chair and the individual faculty member, after mutual discussions, will establish goals and define tasks for two levels of performance: "satisfactory" and "excellent". The established goals and tasks will provide a basis for performance review at the beginning of the next year.

#### **Review of Performance of Tenure-Track Faculty**

a. The tenure-track faculty member will prepare summaries of teaching, research, and service accomplishments for each year in accordance with the goals set for the candidate. The summary will be reviewed by the Department Chair. A copy of the report on his/her performance and suggestions for improvement will be provided to the candidate as meaningful feedback for

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tenure and promotion purposes. The degree to which a faculty member attains his/her goals and objectives will be used in decisions related to contract renewal, tenure, and promotion. The Department PTE Committee will engage in a formal review only for the third-year evaluation, and tenure/promotion application. However, if the annual review of the tenure-track faculty member by the Department Chair indicates a significant lack of progress for probation, the Department Chair may consult the Department PTE Committee. In addition, for cases related to non renewal according to section 350.3 of NDSU Policy Manual, Department PTE Committee may be consulted by the Department Chair. In the first and second years, the tenure-track faculty member will submit the evaluation documents by January 1 and October 1 (or by the dates decided/notified in advance by the Department Chair), respectively, to the Department Chair.

b. During the third year, the tenure-track faculty will complete the evaluation documents in the format defined by the Provost and submit them for review to the Department Chair and the Department PTE Committee by February 1 or by the date decided/notified in advance by the Chair of CEE Department/PTE Committee/Dean of Engineering/Provost of the University. The recommendation of the Chair and the Department PTE Committee will be forwarded to the College Dean by March 1 or by the date decided/notified in advance by the Chair of CEE Department/PTE Committee/Dean of Engineering/Provost of the University.

c. Faculty applying for Promotion and/or Tenure are encouraged to seek guidance from the Department Chair, her/his mentor in the department, and other appropriate faculty. The completed application must be submitted to the Department Chair on or before September 15 or by the date decided/notified in advance by the Dean of Engineering/Provost of the University to permit careful review by the CEE Department PTE Committee and the Department Chair. At the beginning of the last year of the probationary period, both the Department PTE Committee and the Department Chair will evaluate the candidate's record and submit individual recommendations for tenure to the COE PTE Committee and the Dean of Engineering by November 1 or by the date decided/notified in advance by the Dean of Engineering/Provost of the University.

**Post-Tenure Review:**

The current NDSU Policies 352, 350.1, and 350.3 and the existing annual evaluation of all faculty members including tenured faculty address the post-tenure review.

**Probation Period Extension:**

At any time prior to the end of probationary period, a faculty member may request an extension of the probationary period not to exceed three years based on institutional, family or personal circumstances. 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 CEE



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Extension of probationary period for childbirth or adoption will be granted automatically in accordance with NDSU Policy 352.

**Changes to CEE PTE Document:**

The CEE Department PTE Committee will review the department PTE document at the request of a department faculty member, Chair or the Dean. Based on the review, changes will be proposed by the Department PTE Committee and the draft document will be sent to the CEE faculty for comment. After the comment period, the Department PTE Committee will prepare the document for a faculty vote. The modified document as approved by the faculty will be forwarded to the COE Dean for further approvals.

**Recommendations:**

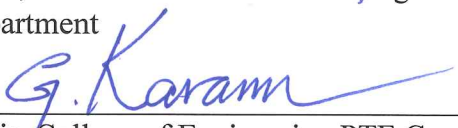
The application for promotion and/or tenure, with the recommendations of both the PTE Committee and the Chair of the Department will be forwarded to the College PTE Committee and the Dean of Engineering. If either the Department PTE Committee or the Department Chair recommend negatively, the application will still be forwarded to the college/university for consideration. If both the Department PTE Committee and the Department Chair recommend negatively, the Department Chair will consult with the candidate in regard to the desirability of forwarding the application and mutually decide the path forward. The Department PTE Committee or the Department Chair will take appropriate and necessary action based on the candidate's desire.

  
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Chair, Civil and Environmental Engineering  
Department PTE Committee


11/19/2018  
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Date

  
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Chair, Civil and Environmental Engineering  
Department

Nov. 19, 2018  
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Date

  
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Chair, College of Engineering PTE Committee

12/5/2018  
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Dean, College of Engineering

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Provost, North Dakota State University

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