Promotion, Tenure, and Evaluation (PTE)

Information Session for New Faculty
Fall 2022
Overview

• Policy/procedure overview
  - *Three documents: three levels of review*
• Important considerations
• Resources/Recommendations
  • See Faculty Affairs website for information on PTE
    • Guidelines
    • Probationary Period Extension Request
  • Information Sessions for Candidates, New Faculty
Key Points

• Annual performance review required for all employees (faculty, graduate assistants, etc.)
• Tenure and promotion evaluation is one part of a system of performance reviews
• In most cases, tenure and/or promotion follows logically from prior annual, third year, post-tenure reviews
• Procedures and standards vary across departments and colleges
  – Make sure to read and follow appropriate guidelines and timelines
Initial Appointment Letter

• Date for promotion/tenure consideration
  – Usually 6 years for tenure-track assistant professors
  – Within 3-6 years for faculty hired with previous relevant experience
  – Professor of practice appointments are 1-5 years
  – Indicated in appointment letter

• Specific job responsibilities – follow your job description
  – 40% teaching, 40% research, and 20% service
  – 75% teaching, 25% research
  – …
Moving Through the Ranks

- Assistant to Associate to Full Professor
  - Tenure-track, Professor of Practice, Research Professor
- Lecturer to Senior Lecturer
- Tenure requires six years of service (no early tenure)

All faculty are reviewed
  - Annual reviews
  - Third year review
  - Final tenure review in sixth year
  - Post tenure review
Annual Review

• Conducted for all faculty by the department chair/head
  – Performance during the last calendar year
  – Faculty provide activity report/self assessment
  – Progress towards promotion/tenure
  – Plans for the following year
• Department PTE committee and/or dean may also conduct annual review of faculty
• Used for merit raises
• Faculty sign and indicate they read the review
• Faculty may attach a written response
Three Documents/Three Review Levels

- **Policy 352:** Umbrella document
- **College PTE:** Framework for department documents
  - Shared definitions and expectations
  - Outline of departmental responsibilities
  - Process/procedures: third year review, non-renewals
- **Department PTE:** Discipline-specific document (criteria)

- **Three levels of review:**
  - Department PTE committee and chair
  - College PTE committee and dean
  - University (Provost, Provost’s Advisory committee, President)
  - Promotion final; tenure approved by SBHE
Third Year Review

- Usually in early spring of third year
- Portfolio to department chair and PTE committee (and dean and college PTE Committee in some units)
- **Procedure same** as final year; no external letters
- Recognize/reinforce areas of strength & weakness
- **Helps prepare** for promotion and tenure
- **Any extension granted prior to the third year review delays the review by an equal period**
The Portfolio

NDSU Guidelines for Promotion and Tenure (*available from Provost/Faculty Affairs website*)

- **By candidate**
  - **Part I** Cover page, B-K, PTE Criteria, Annual/Third Year reviews, CV, Letters of Evaluation (requested by chair/head)
  - Supplemental Materials – separate document/binder (if asked)
- **By others (committees, dean, chair)**
  - **Part II**
    - ✓ Recommendations
The Portfolio – Part I

A. Cover Page
B. Table of Contents
C. Appointment Letter and Position Description(s)
D. Academic Background
E. Academic Experience/Employment History
F. Statement of Context and Accomplishments
G. Teaching, Advising, and Curriculum Development
H. Research, Creative, Scholarly, and Professional Activities
I. Service
J. Administrative Responsibilities
K. Awards and Honors
L. Department and College Promotion and Tenure Criteria
M. Annual Evaluations and Third Year Review Report
N. Current Curriculum Vitae
O. Letters of Evaluation (requested by chair/head)
Supplemental Materials

*May be requested by department/college reviewers*

- Submitted only upon request
  - **Publications** (articles, books, manuscripts)
  - Evaluations of research/creative activities and service
  - Copies/examples of course syllabi/course materials
  - Evaluations of teaching
  - Letters of professional recognitions for awards/honors
  - Verifications of creative performances/exhibits
Department/College Level Review

- Department PTE committee and chair review portfolio
- PTE committee votes and makes recommendation
- Chair makes a recommendation
- Candidate has right to **comment within 14 days**
- College PTE committee and dean review portfolio (including dept. chair/PTE committee letters)
- College PTE committee votes and makes recommendation to Provost
- College dean makes recommendation to Provost
- Candidate has right to **comment within 14 days**
University Level Review

• Provost reviews all portfolios and department and college level recommendation letters
  – Solicits input from a nonvoting advisory committee
• Provost makes recommendations to the President
• President makes final decision in all cases
• Positive decisions for tenure are forwarded to State Board of Higher Education for final approval
• Negative decisions can be appealed
Appeals

- **Appeals of periodic reviews** are made by requesting a reconsideration by the evaluating party. If not satisfied, may initiate grievance process pursuant to **NDSU Policy 353**

- **Appeals of non-renewal and non-promotion decisions** are pursuant to **NDSU Policy 350.3** – Regulations on Nonrenewal, Termination, or Dismissal of Faculty
Extension of Probationary Period

• Prior to the sixth year, extension may be requested based on personal or family circumstances
  – Maximum of 3 year extension, in one year increments
  – **Written request** is reviewed and approved by the Provost.
  – Extension due to birth/adoption is automatic (*written notification*)
  – Denial of an extension may be appealed under NDSU Policy 350.4

• *Due to COVID-19 all probationary faculty granted extensions (1-2 years); associate profs. time in rank extended*
Impact of Extension of Probationary Period

- **Expectations** of performance during the probationary period **do not increase** as a consequence of extension of the probationary period
PTE Criteria

- For **probationary faculty**, the basis for review shall be the PTE guidelines and **criteria** of the academic unit which were provided to the candidate **at the time of** the candidate's **appointment to the position**.
- Tenured candidates for **promotion to professor**
  - If the application is within eight years of the previous promotion, may choose to be evaluated **by the criteria in effect at the time of the previous promotion**. Thereafter, candidates **evaluated by the criteria in effect at the time of application**.
  - May choose to be evaluated based on work completed in the eight years immediately prior to applying rather than on entire post promotion record.
COVID-19 Impacts in PTE

• Section F. Statement of Context (up to three pages)
  – Optional COVID-19 Impact Statement (up to one page)
  – If integrated, COVID-19 impacts within the context statement should be clearly and explicitly presented.
• Faculty may include or exclude Fall/Spring 2020 evaluations in their portfolio
• Sections G, H, I. Supporting Information and Evidence. COVID-19. List impacts, positive or detrimental, on
  – teaching, advising, extension, outreach, and curriculum development
  – research, creative, scholarly, and professional activities
  – service activities
Examples

• Position Description
• Annual Review and Annual Activity Report
• Portfolio
  – Student Evaluations
  – Peer Review of Teaching
Resources

- Your department chair/head and colleagues
- Your department and college guidelines
- Policy 352
- NDSU Guidelines for Promotion and Tenure
- Your mentors
- Promotion to Professor Panel Sessions
- Faculty Luncheons, Peer Review of Teaching, Annual Conference
- RCA, OTL
Recommendations

• Become familiar with University, college, department guidelines for PTE
• Be sure to know department/college expectations related to scholarly productivity, grant funding, teaching, advising, outreach, and service
• Make sure people know your research/teaching
• Get readiness feedback from department chair
• Work to address any problems identified in annual reviews, third year review
• Be present: attend meetings, keep commitments
Recommendations, continued

• Statement of context for third-year review provides an opportunity to **reflect on the focus** that is emerging in your work

• **Focus on your work**, not “getting promoted” - you control the decisions about work, not promotion

• You will be reviewed by everyone
  – **Use criticism for improvement**

• Work with your **mentors**
  – Be a good mentee; be a good mentor for your students

• General advice: patience and persistence!
Recommendations - Portfolio

• Create a **collection system** for evidence of activities in teaching, research and creative activity, and service
  - syllabi, grant applications, results of committee work
  - Keep track of your professional development activities
• **Prepare** your portfolio **with care**
• Identify external reviewers (**do not contact them**)
Recommendations - Teaching

• Invest early on your teaching
• Attend presentations on teaching & learning
• Arrange peer reviews of your teaching
• Collect, summarize, and analyze student evaluations to identify areas for improvement
• Maintain office/student hours
Recommendations – Research

- Self-advocate; ask for resources, support, and recognition effectively
- Ask department chair/ senior colleagues to recommend you for seminars at peer institutions, for grant review committees, for awards
  - It is ok to ask people: if they do not want to support you, they will find a way to get out of it
- Transition from conducting the research yourself to advising students to conduct research
- Finish your publications from prior work
Recommendations – Service

- Be intentional in your service activities
- First few years, limit your service activities to
  - Professional service
  - Department
- Be a good citizen; avoid departmental politics
- Always act professionally, keep long-term interactions in mind
Other Resources

• Candid Advice for New Faculty Members, Marybeth Gasman (available from Faculty Affairs)

• Entering Mentoring A Seminar to Train a New Generation of Scientists, Handelsman, et al.,

• Graduate STEM Education for the 21st Century
  https://www.nap.edu/catalog/25038/graduate-stem-education-for-the-21st-century

• Making the Right Moves: A Practical Guide to Scientific Management for Postdocs and New Faculty by Burroughs Welcome Fund, Howard Hughes Medical Institute
  http://www.hhmi.org/sites/default/files/Educational%20Materials/Lab%20Management/Making%20the%20Right%20Moves/moves2.pdf
Faculty Rights

Policy 353 – Grievances – Faculty

- Grievance: allegation of a violation by an NDSU administrator (Chair/Head) of a specific policy, procedure or practice pertaining to the employment relationship
- First communicate with Chair/Head; if not successful:
- Appeal to Special Review Committee within 120 days by contacting Faculty Senate President
Contact Information

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