

# NORTH DAKOTA STATE UNIVERSITY

## Guidelines for Promotion and Tenure Portfolio Preparation 2023-2024

NDSU Promotion and Tenure Portfolio Preparation Guidelines are based on NDSU [Policy 352](#) Promotion, Tenure, and Evaluation (PTE) and serve as the official guidelines for the preparation of the portfolio to be submitted by the candidate applying for promotion and/or tenure. All PTE processes and recommendations on faculty promotion and tenure are to be in accordance with Policy 352. These Guidelines are not intended to substitute for Policy 352 or the College/Department PTE documents. Candidates are strongly encouraged to become familiar with Policy 352 and College/Department PTE documents.

All candidate portfolios should be prepared following these guidelines which will be submitted to the Department Chair (*or Head or School Director*) for review at the departmental level using procedures developed by the department. Units should use the NDSU PTE Timeline as a guide for preparing Department/College timeline for promotion and tenure evaluation (see page 9 of his guide, also available at <https://www.ndsu.edu/facultyaffairs/pte/>).

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### THE PORTFOLIO

The Portfolio should stand on its own merits. It should provide a complete and accurate record of the candidate's accomplishments in teaching, research, extension, and service with the following exceptions: **in courses taught (G.1.), candidates with no prior service credit to list only courses taught at NDSU; and in university service (I.2), limit this to only committees at NDSU. Clearly define candidate's role in each endeavor, wherein the candidate is not the sole author, investigator, or inventor.** Candidates applying for promotion to the rank of full professor more than eight years after the previous promotion may choose to be evaluated based on work completed in the eight years immediately prior to applying rather than on their entire post-promotion record.

The portfolio should be submitted electronically (NDSU [Policy 352.6.1](#)). In addition to the electronic submission, candidates may be asked to submit their portfolio in one-inch three-ring binder with the Candidate's name on the spine. The capacity of a one-inch binder is 175-200 pages. Labeled index dividers to separate major sections of the portfolio may *be ordered from Print and Copy Services (also available from Office of the Provost/Faculty Affairs)*. After the completion of the department and college level reviews, the portfolio should be submitted to the Office of the Provost/Faculty Affairs.

The candidate should consult with the respective Department Chair to obtain unit guidelines as to the format (electronic or hard copy) and number of copies to be submitted within the College, as well as any other information or documentation the College might require. The candidate is encouraged to keep a copy of the entire portfolio as submitted for personal records. The copy submitted to the Office of the Provost/Faculty Affairs will become a part of the official university record and will be kept in the College Dean's Office for placement in the Candidate's personnel file.

The Portfolio is divided into two main parts: (1) Part I consists of information for which the candidate is responsible for providing and (2) Part II consists of information for which the Department Chair and College Dean are responsible for providing. In addition, the candidate should have available, if requested, a copy of, or parts thereof, supplemental materials, e.g., reprints, offprints, syllabi, or any other materials that illustrate the candidate's achievements in teaching, advising, research, extension, outreach, and service, and referred to in the Portfolio (see Table 1).

As materials are added to the portfolio at each level of the review process, copies will be provided to the candidate (and the Department Chair, College Dean, and Chair of Department/College PTE Committee Chairs). The candidate will have 14 calendar days to provide a written response to each level of review and to any added materials. After the deadline for submission of the portfolio to the College Dean's Office, the information that may be added to the portfolio is limited to any materials requested by the evaluators. Candidates may petition the College Dean and College PTE committee to add additional

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materials after the deadline. Specific instructions for preparing each section of the portfolio are as follows.

Table 1. The Portfolio (Should fit one-inch three-ring binder).

|  |   |
|--|---|
| <b>Part I (submitted by candidate)</b>   |   |
| Checklist, Routing and Added Materials Form  |   |
| A. Cover Page (page 1 of portfolio)  | I. Service  |
| B. Table of Contents (page 2 of portfolio)   | J. Administrative Responsibilities  |
| C. Position Description(s)/Special Agreements  | K. Awards and Honors  |
| D. Academic Background   | L. Department and College Promotion and Tenure Criteria   |
| E. Academic Experience/Employment History  | M. Annual Evaluations and Third Year Review Report  |
| F. Statement of Context and Accomplishments  | N. Current Curriculum Vitae   |
| G. Teaching, Advising, and Curriculum Development  | O. Letters of Evaluation ( <i>requested by chair/head</i> )   |
| H. Research, Creative, Scholarly, and Professional Activities  |   |
| <b>Part II (added by Department Chair, Dean, PTE Committee, etc.)</b>  |   |
| P. Recommendations   |   |
| <b>Supplemental Materials (by candidate; submitted <b>only</b> upon request)</b>   |   |
| <ul style="list-style-type: none"> <li>• Copies/examples of course syllabi/course materials</li> <li>• Evaluations of teaching</li> <li>• Evaluations of research/creative activities and service</li> </ul> | <ul style="list-style-type: none"> <li>• Letters of professional recognitions for awards/honors</li> <li>• Publications (articles, books, manuscripts)</li> <li>• Verifications of creative performances/exhibit</li> </ul> |

**PART I**

**Policy & Procedures Checklist for Portfolio Evaluation and Portfolio Routing and Added Materials Inventory.** Use the forms available at <https://www.ndsu.edu/facultyaffairs/pte/>. *Format found on pages 12-14 of this guide. Reviewers/Candidates have the option to complete these forms via DocuSign.*

**Added Materials Inventory.** At the time that any materials are added to the candidate’s portfolio, copies of the added materials must be sent to the candidate for review. The candidate shall have 14 calendar days to respond in writing to the added materials. As materials are added, they must be listed on the Portfolio Routing and Added Materials Inventory form with a description of the materials, who added them, and the date.

**A. Cover Page.** Use standard cover page available at <https://www.ndsu.edu/facultyaffairs/pte/>. *Format prescribed and found on page 10 of this guide.*

**B. Table of Contents** *See example on page 11 of this guide.*  
 All pages in the Portfolio must be numbered.

**C. Position Description/Special Agreements**

Include copies of:

1. Place copies of all NDSU job descriptions with dates since hire for tenure and/or promotion to associate professor candidates. For promotion to full professor candidates provide only prior job descriptions since last promotion at NDSU or copies of all job descriptions since hire for those who have not gone through the promotion process. *The current job description should specify all stated work expectations (including percent of time expectations) and the teaching, advising, research, outreach, extension, service, and administrative responsibilities agreed upon by the candidate, the Department Chair and Dean, if appropriate.*
2. Prior service agreements for the candidate on a tenure-track appointment (*if applicable*). For faculty hired with tenure credit how prior work is considered must be specified in the appointment letter (NDSU Policy 352, 3.5.2).
3. Previous consideration for promotion and/or tenure (*if applicable*).

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**D. Academic Background**

List:

1. Degrees, in chronological order, with conferring institutions, areas of concentration, and dates.  
List doctoral adviser(s).
2. Post-doctoral or other educational experiences with institutions, areas, mentors, and dates.
3. Licenses or certifications with issuing states or organizations and effective dates.

**E. Academic Experience/Employment History**

List **all** positions (with titles) in academia, government, or industry, in chronological order, institutions, ranks, and dates, including positions at NDSU.

**F. Statement of Context, Accomplishments, COVID-19 and/or NDSU Academic Unit Reorganization Impacts**

1. Provide a succinct context statement for academic record (maximum of three pages) describing philosophy, accomplishments, and other comments about major achievements in the areas of teaching, advising, research, extension, outreach, and service. For example, one might describe how these activities have contributed to the candidate's professional growth, productivity, and development; how the activities relate to the candidate's discipline; how the activities relate to the mission of NDSU; and how the activities have helped NDSU stakeholders and citizens of North Dakota.
2. Optional one-page COVID-19 and/or **NDSU academic unit reorganization** impact statement. Faculty may use the impact statement to describe both positive and detrimental effects of the COVID-19 pandemic and/or **NDSU academic unit reorganization** on the mix or balance of their work activities and the types of work outcomes that they were able to achieve. Faculty may choose to integrate information about the impact of the COVID-19 pandemic and/or **NDSU academic unit reorganization** throughout their context statement (the three-page context statement is expanded to a four-page statement to allow for this). COVID-19 and **academic unit reorganization** impacts within the context statement should be clearly and explicitly presented.

**G. Teaching, Advising, Extension, Outreach, and Curriculum Development**

**Criterion** (adapted from [Policy 352](#)). In teaching, the following criteria apply to evaluation of contributions by a candidate for promotion, tenure, and post-tenure review: (i) The effective delivery of instruction to and the stimulation of learning by students and/or clients; (ii) The continuous improvement of courses or instructional programs; and (iii) The effective advising and mentoring of undergraduate and/or graduate students. Promotion to full professor candidates provide activities since last promotion at NDSU.

**Supporting information and evidence.**

1. **Courses taught and student ratings (Student Course Experience Survey, formerly SROIs)**. List, in reverse chronological order, all courses taught at NDSU, beginning with the class most recently taught, course numbers, term/semester, year, and number of students enrolled at the census date for that term, (usually the fourth week enrollment), and SCES/SROI scores. **If not the sole instructor, clearly define candidate's role in the course.** While the past practice has been to report the scores for SROI questions 2 and 4, candidates are asked to include all SCES/SROI scores in their portfolio (see format shown in Table 2). Candidates should also report the course survey response rate (percentage of enrolled students completing the course survey) to help evaluators see the proportion of students contributing to SCES/SROI scores. See department and college PTE policies for additional guidance.

Written comments by students are not required; however, if the candidate chooses to include them, all comments must be included.

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Table 2. Reporting Course Evaluations

|      |               |       |         |            |                  |                             | Mean Scores  |   |   |  |  |   |  |  |  |  |
|------|---------------|-------|---------|------------|------------------|-----------------------------|--|---|---|--|--|---|--|--|--|--|
| Term | Course Number | Title | Credits | Enrollment | % Responsibility | Course Survey Response Rate | Q1. Instructor provided well-defined course objectives | Q2. Instructor provided clear & well-organized content, materials | Q3. I understood how my grades were assigned in this course | Q4. I met or exceeded the course objectives given for his course | Q5. Instructor was available to assist students outside of class | Q6. Instructor provided feedback to me in a timely manner | Q7. Instructor provided relevant feedback that helped me learn | Q8. Instructor set and maintained high standards | Q9. The physical environment was conducive to learning |  |

Faculty may include or exclude Fall 2020 and Spring 2020 evaluations in their portfolio for third-year, promotion, and tenure reviews. Faculty will not be judged on whether they choose to include or exclude course evaluations in their portfolio.

2. Quality of teaching (administration and peer evaluation). Provide statement by a) Department Chair (*if teaching was not evaluated as part of annual review*), **and** b) peers which evaluates: (i) course content and design; (ii) teaching methods; (iii) individual contributions to the improvement of instructional programs; and/or (iv) impact on student learning.
3. Curriculum development.
  - a. List contributions in curriculum development including: (i) employment of innovative ideas; (ii) incorporating new techniques in classroom presentations; (iii) incorporating new techniques and delivery methods off-campus and outside the classroom; and/or (iv) development and improvement of instructional materials.
  - b. List educational committees and activities at departmental, college, and university level primarily involved with teaching/education/curriculum/program development.
4. Advising. If advising is a part of the candidate’s responsibility, provide description of
  - a. Academic and co-curricular advising responsibilities.
  - b. Formal undergraduate academic advising (give number of student advisees, how often they typically meet with the adviser).
  - c. Student rating of advising (evaluation by advisees of the quality of advising).
  - d. Co-curricular advising (e.g., faculty adviser for student professional organizations).
  - e. Undergraduate student researchers mentored.
  - f. K-12 student mentored.
5. Graduate students. Provide a description of work with graduate students including as

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- a. Major Professor (list student names, degree, date of graduation, and thesis/paper/dissertation titles).
- b. Examining Committee Member (list student names, degrees, departments, and dates).
- c. Postdoctoral trainees (list names and dates).
- d. Supervisor of other trainees (list names and dates).
6. Extension activities.
  - a. List (chronological) extension courses and seminars presented. Indicate the candidate's role and provide pertinent evaluation/assessment information.
  - b. List extension related consultation (business, community, educational) if the activities are different from those listed in public service (in section I.3).
7. Outreach activities.
  - a. List (chronological) courses and seminars presented. Indicate the candidate's role. *While not required or expected*, candidates may provide evaluation/assessment information.
  - b. List professional consultation (business, community, educational) if the activities are different from those listed in public service (in section I.3).
8. Personal/professional development to improve teaching, advising, outreach, and extension effectiveness.
  - a. List name, place, and date of participation in activities to improve teaching ability, such as faculty development activities, seminars, workshops, teaching grant activities, and pedagogical activities at professional meetings.
  - b. Indicate how knowledge and/or skills learned from activities were applied to improvement of teaching, advising, outreach, and extension effectiveness.
9. Teaching, advising, extension, outreach, and curriculum development related awards and honors. List and describe awards and honors.
10. Optional. COVID-19 and NDSU academic unit reorganization. List impacts, positive or detrimental, on teaching, advising, extension, outreach, and curriculum development.

**H. Research, Creative, Scholarly, and Professional Activities**

**Criterion** (adapted from [Policy 352](#)). In research and creative activities, the following criteria apply to evaluation of contributions by a candidate for promotion, tenure, and post-tenure review: (i) Contributions to the knowledge, either by discovery or application, resulting from the candidate's research; and/or; (ii) Creative activities and productions that are related to the candidate's discipline.

**Supporting information and evidence. Clearly define candidate's role in each endeavor, wherein the candidate is not the sole author, investigator, or inventor.**

1. Publications. Provide a complete list of all published manuscripts and other scholarly efforts and creative activities. **List names of all authors in order of appearance, title, journal, volume, inclusive pages**, date; books and book chapters; creative activities; papers and abstracts presented at meetings; invited presentations. Do not include publications "in preparation." If publications are "submitted" but the reviews are not complete, put in a separate section. For manuscripts that have been "accepted" or "forthcoming," place a copy of the editor's acceptance letter in this section. If not the sole author, clearly define candidate's role. **Identify graduate advisee and student authors, if applicable.** The list of publications should be separated by appropriate headings, e.g., refereed, non-refereed, juried exhibit, reviews, manuscripts, book reviews:
  - a. List refereed journal publications
  - b. List other refereed publications (books, book chapters, conference proceedings articles, extension bulletins, etc.)
  - c. List non-refereed publications
2. Presentations at professional meetings. List professional meetings, symposia, and conferences, include meeting dates and role of the candidate, e.g., organizer, chair, invited speaker, discussant, presenter, attendee.
3. Grants, contracts, and awards. If not the sole investigator, clearly define candidate's role.

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- a. List funded grants and contract support including name(s) of principal and co- investigator(s), title, funding source, funding amount, and funding start and end dates.
  - b. List grant and contract proposals submitted but pending decision. Include name(s) of principal and co- investigator(s), title, funding source, funding amount, and funding start and end dates.
  - c. List grant and contract proposals submitted but not funded. Provide succinct description of the outcome of the review. Include name(s) of principal and co- investigator(s), title, funding source, funding amount, and funding start and end dates.
4. Creative activities/research and development of new items. If not the sole inventor, clearly define candidate's role. List any intellectual property developed, e.g., patents, copyrights, cultivar releases, and inventions, plant variety protection, with titles and dates. Finally, list any economic development activities in this section.
  5. Personal/professional development to improve research, creative activity.
    - a. List by name, place, and date of participation in professional development activities to improve research, creative activity.
    - b. Indicate how knowledge and/or skills learned from activities were applied to increase impact of research, creative activity.
  6. Research and creative activity awards and honors. List and describe awards and honors.
  7. Optional. COVID-19 and NDSU academic unit reorganization impacts, positive or detrimental, on research, creative, scholarly, and professional activities.

**I. Service**

**Criterion** (adapted from [Policy 352](#)). In service, the following criteria apply to evaluation of contributions by a candidate for promotion, tenure, and post-tenure review: (i) Contributions to the welfare of the department, college, university, or profession, and/or (ii) Contributions to the public that make use of the candidate's academic or professional expertise. Promotion to full professor candidates provide activities since last promotion at NDSU.

**Supporting information and evidence.**

1. Committee/University involvement. List committees (or other institutional responsibilities) at NDSU, with dates. Include role (e.g., chair, committee member), as well as contribution(s) to faculty governance, campus climate and diversity, and management or improvement of administrative procedures or programs at:
  - a. Department level
  - b. College level
  - c. University level
2. Service to the profession. List memberships and involvement in professional associations (offices held, committee assignments, and leadership), advisory or review panels, study section, task forces, planning groups, or any other evidence of regional, national, or international stature and service to the profession.
3. Service to the public. List service to institutions, governmental units, and consulting (when approved by the university), indicating the type and amount of direct client service, visits by the public, and site visits.
4. Personal/professional development to improve service effectiveness. List by name, place, and date of participation in professional development activities to improve service effectiveness.
5. Service awards and honors. List and describe service awards and honors.
6. Optional. COVID-19 and NDSU academic unit reorganization List impacts, positive or detrimental, on service activities.

- J. Administrative Responsibilities.** Faculty with administrative responsibilities may include a statement about the impact of their work on the campus, their unit, and those they supervise. List accomplishments, activities, achievements, personal/professional development, awards



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and honors, and the optional COVID-19 and NDSU academic unit reorganization impacts not listed above in teaching, research, and service sections.

**K. Awards and Honors**

List awards, honors, or other special recognitions including certifications not listed above. Include award date, an explanation of the award, the organization that gave the award, and the level (local, regional, national, or international).

**L. Department and College Promotion and Tenure Criteria**

Place copies of the department's and college's promotion and tenure criteria. Pursuant to NDSU Policy 352.3.3:

- **For probationary faculty** and for non-tenure-line faculty at the assistant professor rank, **the basis for review shall be** the promotion and tenure guidelines and **criteria** of the academic unit that were provided to the candidate **at the time of the candidate's appointment to the position.**
- Tenured and non-tenure-line **candidates for promotion to the rank of full professor** may choose to be **evaluated by the criteria in effect at the time of the previous promotion, if the application is made within eight years** of the previous promotion (to associate professor). Thereafter, candidates shall be evaluated by the criteria in effect at the time of application.

**M. Annual Review Reports**

Place copies of all prior annual reviews since hire and the Third Year Review Report for tenure and/or promotion to associate professor candidates. For promotion to full professor candidates provide only prior annual reviews since last promotion at NDSU or copies of all annual reviews since hire for those who have not gone through the promotion process.

**N. Curriculum Vitae**

Current curriculum vitae

**O. Letters of Evaluation**

Letters of evaluation are not required by [Policy 352](#). **Any letters of evaluation will be solicited by the Department Chair** (*see sample letter on page 15 of this guide*). **They are not to be solicited by the candidate or members of the promotion/tenure committees.** Such letters should provide specific evidence of achievement or competence by the candidate in a specific area, but must not include a recommendation for or against promotion and/or tenure. The process and procedures for obtaining these letters must be a part of each unit's promotion and tenure criteria. Letters fall into two categories:

1. Letters from NDSU faculty, staff, and students which are appropriate and helpful for fairness and balance and may provide constructive assessments of the candidate; and
2. Letters from highly qualified individuals at least at the rank for which promotion is sought from outside the university, providing specific evidence of achievement or competence by the candidate in a specific area. These letters should be solicited from respected leaders and scholars at comparable research institutions but should not be solicited from co-authors, co-principal investigators, former professors/advisers/mentors, coworkers, or students.

Letters soliciting an evaluation **must** contain statements pertaining to the following:

- Under North Dakota law, the candidate has a right to review all material in the promotion/tenure file. A copy of each letter is sent to the candidate;
- The coronavirus (COVID-19) pandemic in 2020, 2021, and 2022 created extraordinary circumstances that may have seriously impacted faculty productivity. We ask that in your appraisal, you take into account the extraordinary circumstances in your review of the candidate's contributions; and
- No recommendation is to be made for or against promotion and tenure.

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**PART II**

**P. Recommendations**

The written recommendations, as provided by department and college processes are placed in this section:

- a. Department PTE Committee recommendation letter
- b. Department Chair recommendation letter
- c. College PTE Committee recommendation letter
- d. College Dean recommendation letter
- e. Candidates in joint or split appointments: While the primary responsibility for the review rests with the department and the college that hold the majority or plurality of the appointments, input should be included from the other units holding the remainder of the appointment.

Written recommendations should include the following information: (1) context and evaluation of the candidate's teaching contribution; (2) context and evaluation of the candidate's research/creative activity contribution; (3) context and evaluation of the candidate's service contributions; (4) potential contributions toward realization of department/college goals/mission; and (5) the recommendation dealing with promotion and/or tenure. (Committees should provide a vote tally.)

*Parts of this document have been adapted, with permission, from WICHE institutions, NW Academic Forum, 1992. Other parts have been adapted from NDSU Policy 352.*



## NDSU PROMOTION AND TENURE EVALUATION (PTE) TIMELINE

### Effective 2023-24

This timeline should be used as a guide in preparing department/college guidelines.  
Colleges to set deadlines that allow for departmental process to occur in a timely manner.

**In units that require external reviews:** Candidate submits recommendations for external reviewers. Department Chair selects external reviewers. Candidate submits materials for external reviewers to Department Chair. Department Chair sends candidate materials to external reviewers with deadline for receipt of review letters at least one week prior to submission of portfolio.

| DEADLINE   | ACTION  |
|--|---|
| <i>As directed by Department Chair</i>                       | Candidate submits complete portfolio to Department Chair. Department Chair makes portfolio available to Departmental PTE Committee.   |
| <b>October 13, 2023</b>                                      | Department Chair and Departmental PTE Committee recommendations are made and candidate is informed in writing. <a href="#">Candidate has 14 calendar days to respond.</a>   |
| <b>October 27, 2023</b>                                      | Department Chair and Departmental PTE Committee written recommendations, and candidate responses are added to the portfolio and sent to the Dean's Office. Dean's Office makes materials available to College PTE Committee.  |
| <b>December 15, 2023</b>                                     | Dean's recommendations are made and candidates are informed in writing. <a href="#">Candidate has 14 calendar days to respond.</a><br>College PTE Committee's recommendations are made and candidate is informed in writing. <a href="#">Candidate has 14 calendar days to respond.</a> |
| <b>December 29, 2023</b>                                     | Dean and College PTE Committee written recommendations, and candidate responses are added to portfolios and sent to the Office of the Provost.  |
| <b>January 5, 2024</b>                                       | Office of the Provost/Faculty Affairs makes promotion and tenure files available for review by the Provost's PTE Advisory Committee (Policy 352.6.10).  |
| <b>Jan. 23-25, 2024</b>                                      | Provost's PTE Advisory Committee meets with the Provost.  |
| <b>January 26, 2024</b>                                      | Recommendations for senior lecturer promotions submitted to Office of the Provost/Faculty Affairs.  |
| <b>February 9, 2024</b>                                      | Provost's recommendations are made and Office of the Provost/Faculty Affairs informs candidates in writing of Provost's recommendations. <a href="#">Candidate has 14 calendar days to respond.</a>   |
| <b>February 23, 2024</b>                                     | Provost's written recommendations, candidate responses, and promotion and tenure materials sent to the Office of the President.   |
| <b>March 8, 2024<br/>(based on NDUS/<br/>SBHE deadlines)</b> | President's decisions on promotion and recommendations for tenure are made and candidates are informed in writing. <i>See below for appeals.</i> President's positive recommendations on tenure are forwarded to SBHE in time for action at its spring meeting.                         |
| <b>Summer 2024</b>   | Promotion and tenure decisions become effective on July 1, 2024 for 12-month faculty and on August 16, 2024 for 9-month faculty.  |

#### Conflicts of Interest - [Policy 352.5.6](#)

- Reviewers shall be recused from deliberations and decisions regarding a candidate if there is a past or current relationship that compromises, or could have the appearance of compromising, a faculty member's judgment with regard to the candidate. **Faculty members and administrators being considered for promotion may not be involved in any candidate review and recommendation process.**

#### Added Materials - [Policy 352.6.4](#)

- At the time that any written materials are added to the portfolio, copies of the added material must be sent to the candidate for review. **The candidate shall have 14 calendar days to respond in writing to the additional materials.**

#### Appeals Process - [Policy 350.3](#)

- Vice Provost for Faculty oversees the appeals process for any candidate who wishes to appeal a negative decision.
- Within 21 calendar days, candidate may request review of the President's decision and hearing by Standing Committee on Faculty Rights. The President considers the appeal, makes the final decision and informs the candidate in writing.

#### Allegations of Misconduct - [Policy 326](#)

- Allegations of academic misconduct is reported to Office of the Provost/Faculty Affairs to be addressed with the confidentiality requirements using procedures outlined in Policy 326.

#### Portfolios Submitted for Review - [Policy 352.6.2](#)

- Only the candidate may withdraw a submitted portfolio. Chair/Dean must forward the submitted portfolio together with recommendations to the next level of review.

## Portfolio Cover Page for Promotion and Tenure 2023-2024

### DEMOGRAPHIC DATA:

Name: \_\_\_\_\_

Rank: \_\_\_\_\_

Department: \_\_\_\_\_

College: \_\_\_\_\_

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### REQUESTED ACTION:

- Promotion to rank of: \_\_\_\_\_  Request for tenure  
 Department PTE Criteria to be used for review (indicate approval date): \_\_\_\_\_

Promotion to Full Professor Candidate. Indicate record to be evaluated on:

- Work completed in the eight years immediately prior to 2023-24  
 Entire post-promotion record

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### SPECIAL AGREEMENTS (check, if applicable)

- Prior Service Agreement (place in section C) if not specified in appointment letter. *For faculty hired with tenure credit how prior work is considered must be specified in the appointment letter (NDSU Policy 352, 3.5.2).*

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### CANDIDATE'S SIGNED STATEMENT

I have reviewed the portfolio and believe it to be accurate, complete, current, and ready for review.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

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## **PART II**

P. Recommendations

- Department PTE Committee
- Department Chair
- College PTE Committee
- Dean
- Director (if required)

## POLICY & PROCEDURES CHECKLIST FOR PORTFOLIO EVALUATION

*Maybe completed via DocuSign*

According to [Policy 352, 6.6](#), “colleges and departments shall document that they have followed all procedures; e.g., by a comprehensive checklist of the steps in the PTE process. The documentation must be included in the portfolio.” **Originating at the department level**, this checklist documents that University procedures have been followed at the different levels of review. **For each candidate**, the evaluating parties are requested to complete their section of the checklist, to sign, date and insert the form **as the first item** in the applicant’s portfolio. **The Dean is responsible for giving a copy of the completed form to the applicant.**

Candidate’s Name: \_\_\_\_\_

|                                     | <b>Evaluator’s Signature</b> | <b>Date</b> |
|-------------------------------------|------------------------------|-------------|
| Department PTE Committee Chair:     |                              |             |
| Department Chair:                   |                              |             |
| Chair of the College PTE Committee: |                              |             |
| Dean of the College:                |                              |             |
| Other (e.g. Extension):             |                              |             |

Check “yes” for agreement or “NA” if not applicable. *Be prepared to explain why an item is not applicable.*

| <b>Department Level Evaluation</b>  | <b>PTE Committee</b>                                     | <b>Chair</b>   |
|---|--|--|
| Solicitation of letters of review followed University’s recommended model.  | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| In case of joint appointments, input from other units was requested and included.   | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| Members were elected according to department’s PTE document.  | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| Potential conflict of interest situations were identified/mitigated.  | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| No candidate considered for promotion was involved in the review.   | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| No administrator, as identified by Policy 352, served on PTE committee.   | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| Departmental voting procedures on applicant’s candidacy were followed.  | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| In review of the candidate’s contributions, the extraordinary circumstances due to the COVID-19 pandemic were considered. | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| Reviewed the candidate in line with % of time expectations in their job description.                                      | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| The evaluation was based on the written standards and criteria of the department.   | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| Candidate received letter of evaluation/recommendation by the due date.   | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| Candidate was accorded 14 calendar days to respond.   | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| Department-specific procedures were followed.   | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| Committee deliberations were kept confidential.   | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |

## POLICY & PROCEDURES CHECKLIST FOR PORTFOLIO EVALUATION

*Maybe completed via DocuSign*

Candidate's Name: \_\_\_\_\_

Check "yes" for agreement or "NA" if not applicable. *Be prepared to explain why an item is not applicable.*

| <b>College Level Evaluation</b>   | <b>PTE Committee</b>                                     | <b>Dean</b>  |
|---|--|--|
| Members were elected according to College PTE document.   | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| No administrators, as identified by Policy 352, served on the College Committee.  | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| Potential conflict of interest was identified/mitigated.  | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| No candidate considered for promotion was involved in the review.   | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| Members who voted on the promotion/tenure of a candidate in the department PTE committee were recused from the vote by the College Committee. | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| Information added conformed to materials listed in Policy 352, section 6.2.   | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| College and Dean reviews were conducted independently of each other.  | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| In review of the candidate's contributions, the extraordinary circumstances due to COVID-19 pandemic were considered.                         | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| Reviewed the candidate in line with % of time expectations in their job description.  | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| Evaluation was based on written standards and criteria of the department & College.   | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| Candidate received copy of letter of evaluation/recommendation by the due date.   | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| Committee deliberations were kept confidential.   | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |
| Candidate received copy of the completed policy & procedures checklist.   | <input type="checkbox"/> Yes <input type="checkbox"/> NA | <input type="checkbox"/> Yes <input type="checkbox"/> NA |

## PORTFOLIO ROUTING and EVALUATION

*Maybe completed via DocuSign*

Candidate's Name: \_\_\_\_\_

- **As recommendation letters materials are included in the portfolio, copies must be provided to the candidate. The candidate will have 14 days to provide a written response.**
- If the faculty member was granted an extension of the probationary period for any reason, such an extension does not increase expectations for performance.
- Should the faculty member disagree on the inclusion or exclusion of some materials, the faculty member may indicate his/her objection in this signed statement.

| <b>Portfolio Received by</b> | <b>Date</b> |
|------------------------------|-------------|
| Dept. PTE Committee Chair    | _____       |
| Dept. Chair                  | _____       |
| College PTE Committee Chair  | _____       |
| College Dean                 | _____       |
| Director                     | _____       |

| <b>Recommendation Letters/Materials Added:</b> | <b>By:</b> | <b>Date:</b> |
|--|------------|--------------|
| _____  | _____      | _____        |
| _____  | _____      | _____        |
| _____  | _____      | _____        |
| _____  | _____      | _____        |
| _____  | _____      | _____        |

**COMMENTS REGARDING ADDED MATERIALS:**

  
  
  

| <b>VOTE TALLY</b>           |                  |             |                |                  |             |                |
|-----------------------------|------------------|-------------|----------------|------------------|-------------|----------------|
| <b>Number of Votes for:</b> | <b>Tenure*</b>   |             |                | <b>Promotion</b> |             |                |
|                             | <b>Recommend</b> | <b>Deny</b> | <b>Abstain</b> | <b>Recommend</b> | <b>Deny</b> | <b>Abstain</b> |
| Dept. PTE Committee         |                  |             |                |                  |             |                |
| Dept. Chair                 |                  |             |                |                  |             |                |
| College PTE Committee       |                  |             |                |                  |             |                |
| College Dean                |                  |             |                |                  |             |                |
| Director                    |                  |             |                |                  |             |                |

\*Evaluations for promotion to Associate Professor and granting of tenure will ordinarily be conducted concurrently.



*(To be solicited by the Department Chair if required by unit PTE Guidelines.)*

Date

Dear

Professor \_\_\_\_\_ is being considered for tenure and/or promotion to \_\_\_\_\_ in the Department of \_\_\_\_\_ in the College of \_\_\_\_\_ at North Dakota State University. We customarily write to a selected group of leaders in the faculty member's discipline asking for an independent assessment of the faculty member's record of (research, creative activity, assessment, or service).

Your appraisal of the significance of Professor \_\_\_\_\_'s scholarly contributions (to research or service) and the impact of this work on the discipline would be greatly appreciated. Your comments about his/her potential contribution in the future would also be valuable. Please add any additional comments that are relevant to Professor \_\_\_\_\_'s application for tenure/promotion. In your letter, please also indicate how you know Professor \_\_\_\_\_.

The coronavirus (COVID-19) pandemic in 2020, 2021, and 2022 created extraordinary circumstances that may have seriously impacted faculty productivity. We ask that in your appraisal, you take into account the extraordinary circumstances in your review of Professor \_\_\_\_\_'s contributions.

Please note that if Professor \_\_\_\_\_ was granted an extension of the probationary period for any reason, such an extension does not increase expectations for performance.

Please do not make a recommendation for or against tenure or promotion.

Under North Dakota law, Professor \_\_\_\_\_ has a right to review all of his/her promotion (tenure) portfolio. I wish to emphasize that it is important that your letter provide an objective and candid assessment of his/her work.

I am aware of the great demands on your time and, therefore, would be especially grateful if you were able to provide us with this evaluation by \_\_\_\_\_.

Your assistance is much appreciated.

Sincerely,