I. Call to Order

II. Attendance

III. Approval of agenda

IV. Approval of previous meeting minutes from December 12, 2016

V. Consent agenda – none

VI. Announcements
   a. Dean Bresciani, President
   b. Beth Ingram, Provost
   c. Katie Gordon, Faculty Senate President
   d. Stuart Haring, Faculty Senate President-Elect
   e. Jim Osland, Staff Senate President
   f. Amelia Pfarrer and Brendan Curran, Student Government Representatives

VII. Senate Committee Reports – none

VIII. Unfinished Business - none

IX. New Business
   a. 352 - Alan Denton, ad hoc Committee of the Faculty Senate for Review of Policy 352 (attachment 1)
   b. 353 - Tom DeSutter, Dan Friesner – Faculty Affairs Committee (attachment 2)
   c. 611.1 – Alicia Kauffman, International Student and Study Abroad Services (attachment 3)
   d. Bison Guides (information for faculty) - Anne Johnson
   e. Discussion of whether there is interest in forming a Faculty Senate Legislative Affairs committee – Dennis Cooley

X. Adjourn
Policy Change Cover Sheet

This form must be attached to each policy presented. All areas in red, including the header, must be completed; if not, it will be sent back to you for completion.

If the changes you are requesting include housekeeping, please submit those changes to ndsu.policy.manual@ndsu.edu first so that a clean policy can be presented to the committees.

SECTION: Policy 352 – Promotion, Tenure and Evaluation
Section 2.2.3 SERVICE EVIDENCE
Section 3.5 Faculty Hired with Previous Relevant Experience
Sections 2.1, 3.1, 3.3, 4.5 Professors of Practice and Research Professors

1. Effect of policy addition or change (explain the important changes in the policy or effect of this policy). Briefly describe the changes that are being made to the policy and the reasoning behind the requested change(s).
   - Is this a federal or state mandate? ☐ Yes ☒ No
   - Describe change:
     - (1) Adds to Service Evidence contributions to fostering a campus climate that supports and respects faculty, staff, and students who have diverse cultures, backgrounds, and points of view. (2) Clarifies number of years of tenure credit that may be offered to faculty hired with previous relevant experience. (3) Adds expectations for Professors of Practice and Research Professors and guidelines for promotion of faculty in such positions.

2. This policy change was originated by (individual, office or committee/organization):
   - Office/Department/Name and the date submitted: ad hoc Committee of the Faculty Senate for Review of Policy 352 – submitted 11-16-2016
   - Email address of the person who should be contacted with revisions: Alan.Denton@ndsu.edu

   This portion will be completed by Mary Asheim.

Note: Items routed as information by SCC will have date that policy was routed listed below.

3. This policy has been reviewed/passed by the following (include dates of official action):
   - Senate Coordinating Committee:
   - Faculty Senate:
   - Staff Senate:
   - Student Government:
   - President’s Cabinet:

The formatting of this policy will be updated on the website once the content has final approval. Please do not make formatting changes on this copy. If you have suggestions on formatting, please route them to ndsu.policy.manual@ndsu.edu. All suggestions will be considered, however due to policy format guidelines, they may not be possible. Thank you for your understanding!
SECTION 352
PROMOTION, TENURE AND EVALUATION

SOURCE: NDSU President
NDSU Faculty Senate

1. INTRODUCTION

1.1 The promoting of faculty and awarding of tenure, and the prerequisite processes of evaluation and review, are of fundamental importance to the long-term ability of the University to carry out its mission. Promotion recognizes the quality of a faculty member's scholarship and contributions in the areas of teaching, research, and service. Promotion acknowledges that the faculty member's contribution to the university is of increasing value. Tenure assures academic freedom and enhances economic security for faculty members who show promise of sustained contributions in those three areas. Tenure aims to both recognize a candidate's potential long-term value to the institution as evidenced by professional performance and growth and to provide the expectation of continued employment. The decision to award tenure rests on criteria that reflect the potential long-term contribution of the faculty member to the purposes, priorities, and resources of the institution, unit, and program. With the individual autonomy derived from academic freedom and tenure comes the responsibility to create and/or maintain an ethical, respectful, and professional work climate for oneself, one's colleagues, one's students, and others with whom one relates professionally. Due to the emphasis on institutional purposes and priorities, tenure recommendations should be reviewed at department, college, and university levels.

1.2 From the University's mission flows the expectation that each faculty member will make contributions of high quality to the areas of teaching, research, and service. "Teaching" includes all forms of instruction both on- and off-campus. "Research" includes basic and applied research and other creative activities. "Service" includes public service, service to the University, college, and department, and service to the profession. Because of the University's mission, the quality and quantity of contributions in all three areas will be considered at the times of promotion and tenure. But, because of variations among faculty in strengths and/or responsibilities, faculty members are not expected to exhibit equal levels of accomplishment in all areas. Moreover, disciplines will vary with respect to the kinds of evidence produced in support of quality of contributions.

1.3 The policies and standards of each college should be congruent with the University's mission and its policies on promotion and tenure, and also should reflect the college's unique expectations of its faculty members. The policies and standards of academic units within each college should be consistent with the missions of the University and college and their policies on promotion and tenure, and also should designate evidence of how faculty in the academic unit meet the expectations of the college and University.
UNIVERSITY PROMOTION, TENURE, POST-TENURE, AND EVALUATION: CRITERIA AND EVIDENCE

2.1 Promotion and granting tenure are not automatic. In addition to contributions in the areas of teaching, research, and service, consideration may be given to factors such as professional background and experience. Expectations for faculty in Professor of Practice and Research Professor positions may differ from those for tenure-line faculty.

2.2 The evaluation of a candidate's performance shall be based on the individual's contributions to teaching, research, and service, on- and off-campus, in regional, national, or international activities. Judgments will be based on evidence of both the quality and significance of the candidate's work.

2.2.1 TEACHING

2.2.1.1 CRITERIA In the areas of teaching (as defined above), the following criteria apply to evaluation of contributions by a candidate for promotion, tenure, and post-tenure review:

2.2.1.1.1 The effective delivery of instruction to and the stimulation of learning by students and/or clients;

2.2.1.1.2 the continuous improvement of courses or instructional programs;

2.2.1.1.3 the effective advising and mentoring of undergraduate and/or graduate students.

2.2.1.2 EVIDENCE A candidate demonstrates quality of teaching (encompassing both instruction and advising) by providing evidence and information from multiple sources such as:

2.2.1.2.1 the receipt of awards or special recognition including certification or licensing for teaching;

2.2.1.2.2 student, peer, and client evaluation of course materials, expertise, and ability to communicate knowledge;

2.2.1.2.3 peer evaluation of an individual's contribution to the improvement of instructional programs through the development and/or implementation of new courses, curricula or innovative teaching methods;

2.2.1.2.4 the dissemination of best practices in teaching;

2.2.1.2.5 evaluation by advisees of the quality of graduate and undergraduate advising.

2.2.2 RESEARCH

2.2.2.1 CRITERIA In the areas of research and creative activities (as defined above), the following criteria apply to evaluation of contributions by a candidate for promotion, tenure, and post-tenure review:
2.2.2.1 contributions to knowledge, either by discovery or application, resulting from the candidate's research, and/or
2.2.2.1.2 creative activities and productions that are related to the candidate's discipline.

2.2.2 EVIDENCE A candidate demonstrates quality of research by providing evidence of completed original work (i.e. published/in press, exhibited, or funded) from multiple sources such as:

2.2.2.2.1 presentation of scholarly or professional papers, and publication of books or articles;
2.2.2.2.2 juried or invited presentations or productions in the theater, music, or visual arts, design, and architecture;
2.2.2.2.3 the development and public release of new products or varieties, research techniques, copyrights, and patents or other intellectual property;
2.2.2.2.4 peer evaluation of research by colleagues from an individual's discipline or area of expertise;
2.2.2.2.5 the receipt of awards or special recognition for research;
2.2.2.2.6 the receipt of grants or other competitive awards.

2.2.3 SERVICE

2.2.3.1 CRITERIA In the areas of service (as defined above), the following criteria apply to evaluation of contributions by a candidate for promotion, tenure and post-tenure review:

2.2.3.1.1 contributions to the welfare of the department, college, university, or profession, and/or
2.2.3.1.2 contributions to the public that make use of the faculty member's academic or professional expertise.

2.2.3.2 EVIDENCE A candidate demonstrates quality of service by providing evidence and information from multiple sources such as:

2.2.3.2.1 the receipt of awards or special recognition for service;
2.2.3.2.2 evaluation of an individual's service contributions by peers, administrators, and constituents;
2.2.3.2.3 active participation in and leadership of societies which have as their primary objective the furtherance of scholarly or professional interests or achievements;
2.2.3.2.4. active participation and leadership in University governance and programs at the department, college, university and system levels;

2.2.3.2.5. contributions to fostering a campus climate that supports and respects faculty, staff, and students who have diverse cultures, backgrounds, and points of view;

2.2.3.2.6. effective management or improvement of administrative procedures or programs;

2.2.3.2.7. contributions to knowledge as editors of scholarly publications, or service on editorial boards, juries, or panels;

2.2.3.2.8. contributions to the operation of state or federal agencies.

2.3. The foregoing lists are not exhaustive, and other forms of information and evidence might be produced in support of the quality and significance of the candidate's work. The mission statements and specific promotion and tenure criteria of the individual academic units are important in defining the appropriate forms of evidence in the context of the candidate's discipline and distribution of responsibilities.

3. COLLEGE AND DEPARTMENTAL PROMOTION, TENURE, POST-TENURE, AND EVALUATION CRITERIA

3.1. Each academic unit is responsible for refining the University promotion, tenure, post-tenure, and evaluation criteria and applying those criteria within the special context of the unit. Thus, each academic unit will develop specific promotion, tenure, post-tenure, and evaluation criteria and designate the types of evidence to be used for evaluation of progress toward tenure, for renewal, promotion, and tenure decisions, and for post-tenure review. Within the framework of the University's promotion and tenure criteria, each academic unit shall specify the relative emphasis on teaching, research, and service, and the extent to which a faculty member's assigned responsibilities can be allocated among teaching, research, and service. Expectations for faculty in Professor of Practice and Research Professor positions may differ from those for tenure-line faculty.

3.2. A statement of promotion, tenure, post-tenure, and evaluation criteria specific to each college shall be developed by the Promotion, Tenure, and Evaluation (PTE) committee of the college in consultation with the Dean and approved by the faculty of the college. The faculty of each department shall also develop a statement of criteria for promotion, tenure, post-tenure, and evaluation that shall be reviewed and approved by the college PTE committee and the Dean to assure consistency with the college promotion, tenure, post-tenure, and evaluation criteria. The college and departmental statements, and any subsequent changes, shall be reviewed and approved by the Provost assure consistency with University and State Board of Higher Education (SBHE) policies.

3.3. For probationary faculty, and for non-tenure-line faculty at the assistant rank, 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 academic unit which that were provided to the candidate at the time of the candidate's appointment to the position.
Attachment 1

The dean or director of the college or equivalent unit has the responsibility to provide to the appointee these documents, as well as a position description, contract, or other document that constitutes a tenure or work plan. Tenured and non-tenure-line candidates for promotion to the rank of full professor shall be evaluated by the criteria in effect at the time of application.

3.3.4 Faculty Hired Without Previous, Relevant Experience

For a faculty member without previous academic-relevant experience, eligibility for tenure requires a probationary period of six years. Evaluations for promotion to Associate Professor and granting of tenure will ordinarily be conducted concurrently. However, exceptional academic accomplishments may warrant early promotion prior to the completion of the six years of the probationary period. Petitions for early promotion shall be initiated by department heads/chairs, and not by faculty members themselves.

3.5 Faculty Hired with Previous Relevant Experience

3.5.1 Individuals hired into a tenure-eligible position at a negotiable faculty rank may be hired with tenure and at a rank of Associate Professor or Professor when this is negotiated as a provision of the original contract. Decisions regarding tenure and advanced rank are made using the same process and standards as in the customary promotion and tenure process, although the timeline may be altered. The recommendation proceeds through the regular channels, including the respective Department and College PTE Committees, the Department Chair/Head, College Dean, Provost and President, prior to hire. The process of review is initiated by the Chair/Head of the unit in which the tenure line is housed.

3.5.2 A probationary faculty member with relevant professional/academic experience may be given credit toward tenure and promotion when this is negotiated as a provision in the original contract. The Department PTE Committee recommends to the Department Chair/Head the maximum (from one to three) number of years of tenure credit offered.

There are two options:

3.5.2.1 Faculty may be hired with one to three years of tenure credit. For each year of tenure credit awarded, one year shall be subtracted from the tenure application deadline. For example, given one year of credit, promotion and tenure application would be due in the fifth year of service; given three years, the application would be due in the third year of service. Faculty accomplishments during the tenure credited years are included as accomplishments in the faculty member’s promotion and tenure portfolio. Requirements for promotion and tenure shall be adjusted according to the years at NDSU to maintain productivity at the same rate as that expected for promotion and tenure without tenure credit; for example, if six quality publications are required in the six-year probationary period for promotion and tenure, then one quality publication shall be required for each year the faculty member is at NDSU.

3.5.2.2 Faculty may be allowed the full six-year probationary period with the option of applying for promotion and/or tenure at any time following three years.
of academic service. How prior work is considered must be specified in the
appointment letter.

3.5.2.3 For either option, failure to achieve tenure will lead to a terminal year
contract. 3.6 Extensions to Probationary Period, apply in all other cases.

3.5.3 Any exceptions to Section 3.5 must be approved by the President.

3.6 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.

3.6.1 Extension of Probationary Period for Childbirth or Adoption
A probationary faculty member who becomes the parent of a child (or children in
case of twins, triplets, etc.) by birth or adoption, prior to the year in which the portfolio
is due, will automatically be granted a one-year extension of the probationary period
upon written notification to the Provost. While NDSU supports the use of the
extension, the probationary faculty member has the option at any time after the birth
or adoption to return to the original schedule of review. Any additional extensions
beyond the one year (per birth/adoption occurrence, not to exceed three years total
extension) must be requested under the provisions of 3.6 above.

3.6.2 Extension of Probationary Period for Personal Illness or Disability
A probationary faculty member who experiences a personal illness or disability may
request an extension of his/her probationary appointment. Medical documentation of
the personal illness or disability is required. Such documentation shall be collected
and housed by the Office of Human Resources/Payroll following guidelines provided
in NDSU Policy 168. However, the Office of Human Resources/Payroll shall not make
recommendations to the Provost pertaining to probationary period extension
requests. The faculty member will grant the Provost access to Human Resources
records relevant to the request. The Provost shall maintain strict confidentiality of
such documentation. Written notification of the request for an extension, along with
supporting documentation, must be provided to the Provost.

3.6.3 Extension of Probationary Period for Institutional Circumstances
A probationary faculty member may be granted an extension of probationary period due to institutional circumstances, such as major disruption of work or faculty’s ability to perform their duties beyond the reasonable control (e.g., natural or human-caused disaster, or lab-space unavailability) of the faculty member. Written notification of the request, along with supporting documentation, for an extension must be provided to the Provost.

3.6.4 Procedures for Initiating, Reviewing, and Approving Notifications/Requests for Extension of the Probationary Period

3.6.4.1 Notification of extension of the probationary period due to childbirth or adoption may be initiated by the faculty member, the Department Chair/Head, or the Dean of the college.

3.6.4.2 Request for extension of the probationary period due to personal or family circumstances, personal illness or disability shall be initiated by the faculty member. In the case of requests involving disability or illness, it is the responsibility of the faculty member to provide appropriate documentation to adequately demonstrate why the request should be granted.

3.6.4.3 Request for extension of the probationary period due to institutional circumstances may be initiated by the faculty member, the Department Chair/Head, or the Dean of the college.

3.6.4.4 Faculty members may inform their Department Chair/Head and/or Dean of the college of their request if they wish to do so, but they are not required to do so.

3.6.4.5 Extension of the probationary period requests shall be submitted to the Provost using the Request for Probationary Period Extension form.

3.6.4.6 Once an extension of the probationary period request is approved, the faculty member, Department Chair/Head, and the Dean of the college will be notified in writing by the Provost. If the request is denied, the faculty member will be notified in writing by the Provost.

3.6.5 Confidentiality

Individuals involved in the extension of the probationary period process (which may include the supervisor, the Department Chair/Head, the Dean of the college, the Provost, and/or the Office of Human Resources/Payroll) have the responsibility of keeping information pertaining to the request confidential and not sharing such information with individuals not involved in the process. Medical documentation provided by a faculty member requesting extension of the probationary period shall be maintained in a confidential file separate from the employee’s official personnel file in the Office of Human Resources/Payroll. Other written documentation and forms pertaining to the request/notifications of extension of the probationary period shall be maintained in a confidential file separate from the employee’s official personnel file in the Office of the Provost. It is understood that some information provided pursuant to this policy may be subject to disclosure pursuant to North Dakota open records laws.
3.6.6 Granting of an extension does not increase expectations for performance. For instance if the department requires at least five refereed journal articles in the standard six year probationary period, and a faculty member receives an extension of the probationary period, then the department will still only require at least five refereed journal articles for that faculty member’s probationary period.

Related Policies and Procedures:

3.7 Each academic unit shall establish the criteria for promotion and tenure, including early promotion, as part of its statement on promotion, tenure, post-tenure review, and evaluation.

4. PERIODIC REVIEW

4.1 Periodic reviews of faculty serve multiple functions. The reviews assist faculty members in assessing their professional performance, assist the administration in delineating areas to which particular effort should be directed to aid in improving the professional achievement of the faculty members, and contribute to the cumulative base upon which decisions about renewal, promotion, and tenure are made. In addition, periodic reviews may result in changes in responsibilities, modified expectations, and/or altered goals for performance.

4.2 The procedures for periodic review that are developed by each academic unit shall be reviewed and approved by the college PTE committee and the Dean.

4.3 All full-time faculty will be reviewed annually. Unless college or department procedures provide otherwise, annual reviews of non-tenured faculty shall be conducted so that decisions and notifications can be made in accord with the deadlines listed in Section 350.3.

4.4 Probationary faculty hired into tenure-track positions must receive special review during their third year of service to the institution. This third-year review shall recognize and reinforce areas of strength as well as point out areas of weakness that could jeopardize the case for promotion and tenure. Specific formative evaluations shall be provided to help candidates prepare their strongest case for promotion and tenure. Any extension granted prior to the third year review will delay the review by an equal period.

4.5 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 schedule as for tenure-line faculty. Faculty in such positions are eligible to apply for promotion from assistant to associate, or from associate to full, after the completion of five years in rank.
Unless college or department procedures provide otherwise, the department chair or head of the academic unit will be responsible for the conduct of the reviews and the communication of their results. Periodic reviews shall result in a written report to the faculty member being reviewed. The report shall state expectations and goals for the coming review period. For probationary faculty, the report shall include an assessment of the faculty member's progress toward tenure and recommendations for improvement. Should the periodic reviews indicate that a faculty member is not making satisfactory progress toward tenure, the report may include a recommendation for nonrenewal. In making a judgment on satisfactory 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.

Colleges and departments shall develop specific post-tenure review policies appropriate to their faculty. Annual reviews of tenured faculty shall include an evaluation of the faculty member's performance relative to the current position description. For Associate Professors, annual reviews must include specific recommendations to strengthen the case for promotion. Annual reviews of Professors must recognize and reinforce areas of strength, as well as discuss areas of weakness and recommend improvements. Should the annual reviews indicate that performance of a faculty member is unsatisfactory under the standards for post-tenure review, the report shall include a recommendation for appropriate remedial action.

The faculty member being reviewed shall have 14 days to respond in writing to the written report if the faculty member wishes to do so. The written report, and any written response from the faculty member, shall become part of the faculty member's official personnel file.

5. COMPOSITION OF PTE COMMITTEES

5.1 Each college shall have a PTE Committee consisting of at least three faculty members elected by the faculty of the college. The college PTE committee shall be as reflective as possible of the college's breadth of disciplines and fields of expertise. Ordinarily, at least three departments or sub-units of a college will be represented on the committee, and usually no more than one member of the same department may serve on the committee at one time.

5.2 Only tenured faculty members who have completed three years of full-time appointment with the University and who have attained the rank of associate professor or above are eligible for election to a college or department PTE Committee. Prior to commencement of deliberations, the chair of any PTE committee must have received PTE committee training within the last three years, provided through the Office of the Provost. Faculty members and administrators being considered for promotion may not be involved in any candidate review and recommendation process, including the selection of external reviewers, while under consideration.

5.3 The department and college PTE committees' reviews and recommendations are part of a process of peer review. Thus, faculty holding academic administrative appointments, including those with interim status, are not eligible to serve. (“Academic administrative appointment” includes appointments as President, Provost, Vice President or Provost, Associate or Assistant Vice President or Provost, Dean, Associate or Assistant Dean, Department Chair or Head, Associate, Assistant or Vice Chair or Head, and any other
administrators who supervise and/or evaluate other faculty.) Center or Program Directors who do not supervise and/or evaluate other faculty are eligible to serve.

5.4 A college PTE committee member who has voted on the promotion/tenure of a candidate in the department PTE committee shall be recused from the vote by the college PTE committee. In such a case, college policy shall determine whether the committee member may or may not deliberate with the committee on the candidate.

5.5 Faculty members, including administrators, who participate in the PTE process 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. The following list, while not exhaustive, illustrates the types of relationships that constitute a conflict of interest:

- A family relationship
- A marital, life partner or dating/romantic/intimate relationship
- An advising relationship (e.g., the faculty member having served as the candidate's PhD or postdoctoral advisor)
- A direct financial interest and/or relationship
- Any other relationship that would prevent a sound, unbiased decision

Recusal due to a conflict of interest with one candidate does not prevent a faculty member from participating in deliberations and decisions regarding other candidates.

6. PTE PROCEDURES

6.1 The candidate shall ensure that the electronically submitted portfolio is current, accurate and complete for review at the department level using procedures consistent with department and college policies. The chair or head shall forward the electronic portfolio together with the department's recommendations, and an explanation of the basis for them, to the College Dean and the College's PTE Committee no later than November 1.

6.2 After November 1, the information that may be added to the portfolio is limited to:
   a) Recommendations by the evaluating units considering the portfolio at that time;
   b) the candidate's response to those recommendations;
   c) any materials requested by the evaluators.

6.2.1 Candidates may petition the college Dean and PTE committee to add additional materials after the deadline. The Dean and PTE committee must both agree to the addition in order for additional material to be added.

6.2.2 Any additional materials added to the portfolio must pertain to information or material already in the portfolio, such as pending publications or grant proposals.

6.3 Unsolicited individual faculty input is limited to the department level of review.

6.4 Recommendations and any other materials collected as part of the evaluation process at the department, college, and university levels must be added to the candidate's portfolio before being sent forward to the next level of review. At the time that any written materials are added to the candidate's 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. Any response from the candidate to such materials must be in writing
and must be included in the portfolio for review at the next level.

6.5 Allegations of misconduct discovered after November 1 that could be detrimental to a candidate's case (e.g. academic misconduct) shall be handled through the appropriate University policy and mechanisms. In such cases, the PTE process will be suspended until the allegations are resolved. Once the PTE process resumes, the candidate may update the portfolio.

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.

6.7 The College PTE Committee and the College Dean shall separately and independently review and evaluate the candidate's portfolio without discussion or communication.

6.8 The college PTE Committee shall prepare a written report, including recommendations and an explanation of the basis for them, that shall be included in the candidate's portfolio. The report and recommendations shall be submitted to the Provost by January 5. A copy shall be sent to the Dean, the chair or head of the academic unit, and the candidate.

6.9 The College Dean shall also prepare a separate written report, including recommendations and an explanation of the basis for them that shall be included in the candidate's portfolio. The Dean shall forward the report and recommendations, and the portfolio of the candidate, to the Provost by January 5. A copy of the Dean's report shall be sent to the College PTE committee, the chair or head of the academic unit, and the candidate.

6.10 The Provost shall review the candidate's materials and the recommendations of the Department, College PTE Committee, and College Dean, and shall solicit input from a nonvoting advisory committee consisting of a faculty representative from each College PTE Committee, selected by the Provost with attention to diversity. The Provost shall submit a recommendation to the President in writing, including an explanation of the basis for it, by the deadline established in the PTE guidelines. Copies of the Provost's written recommendation shall be sent to the candidate, the Department Chair/Head, the College Dean, and the Department and College PTE Committees.

6.11 When appropriate, the President shall then make the final recommendation to the SBHE for tenure. When appropriate, the President shall notify the candidate of promotion or denial of promotion.

6.12 In the case of joint appointments, the primary responsibility for the review rests with the department and the college that hold the majority or plurality of the appointments. Such department or college shall solicit input from the other units holding the remainder of the appointment as appropriate to the allocation of effort. This input from other units which shall be included in the portfolio.

6.13 When evaluating faculty participating in interdisciplinary programs, the primary department may solicit input from the director of the interdisciplinary program as appropriate to the allocation of effort.

7. APPEALS
7.1. Appeals of periodic reviews are made by requesting a reconsideration by the evaluating party. If not satisfied, the faculty member may initiate the grievance process pursuant to Section 353.

7.2. Appeals of nonrenewal and nonpromotion decisions shall be pursuant to Policy 350.3.

8. DOCUMENT RETENTION

Electronic copies of portfolios shall be maintained by the appropriate college for the length of time specified by the university records management policy. Disposal of these documents, as well as filing of archival copies, will also conform to the university records management policy.

HISTORY:

Amended May 13, 1974
Amended February 10, 1975
Amended December 12, 1988
Amended May 14, 1990
Amended April 1992
Amended December 12, 1994 (Effective date July 1, 1995)
Amended June 1997
Amended November 2000
Amended October 2001
Amended October 2007
Amended July 2008
Housekeeping February 14, 2011
Amended October 11, 2011
Amended June 19, 2014
Amended October 19, 2015
Amended January 27, 2016
Amended April 11, 2016
Amended September 8, 2016
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SECTION: 353: GRIEVANCES-FACULTY

1. Effect of policy addition or change (explain the important changes in the policy or effect of this policy). Briefly describe the changes that are being made to the policy and the reasoning behind the requested change(s).
   - Is this a federal or state mandate? ☐ Yes ☑ No
   - Describe change: This revision clarifies some of the grievance policy steps and includes timelines for courses of action.

2. This policy was originated by (individual, office or committee/organization):
   - Faculty Affairs Committee
   - Tom DeSutter, thomas.desutter@ndsu.edu
   - Dan Friesner, Daniel.Friesner@ndsu.edu
   This portion will be completed by Kelly Hoyt.
   Note: Items routed as information by SCC will have date that policy was routed listed below.

3. This policy has been reviewed/passed by the following (include dates of official action):
   - Senate Coordinating Committee: 12/5/16
   - Faculty Senate:
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   - Student Government:
   - President’s Council:

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SECTION 353
GRIEVANCES - FACULTY

SOURCE: SBHE Policy Manual, Section 612
NDSU President

1. This Policy is intended to provide a fair, internal process for resolving certain employment-related disputes that arise between faculty or academic staff members and administrators. Each institution shall establish procedures to attempt mediation or resolution of faculty grievances.

2. "Grievance" means an allegation of a violation by an NDSU administrator of a specific Board or institutional policy, procedure or practice pertaining to the employment relationship. This includes the terms of the grievant's employment contract. Discretionary actions, such as salary adjustments, increases and performance evaluations, may not be grieved, except to determine: (a) whether the discretionary action was made in accordance with relevant Board or institutional policies, practices, procedures or criteria; and (b) whether the action constitutes a clear abuse of discretion.

   "Grievance" does not include complaints involving any matters covered under NDSU policies 350.1-350.5 and 352 or equal opportunity grievances which are governed by NDSU Policy 156; SBHE Policy, Section 605.3 or 605.4 are not grievances under this policy. Grievances cannot be filed against written SBHE or NDSU Board and institutional policies, per se. Decisions on matters related to tenure and promotion may be appealed under NDSU policy 350.1-350.5 and 352. Equal opportunity grievances are governed by NDSU Policy 156.

3. This policy applies only to faculty as defined in NDSU Policy 350.1; SBHE Policy, Section 605.1 of these policies. It does not apply to classified staff or to administrators or coaches.

4. The faculty governance structure at each institution shall by policy define the procedures for filing a grievance in accordance with SBHE Policy, Section 305.1 of these policies. Actions or conditions subject to grievances are those which apply personally to the grievant and are administrative decisions affecting terms and conditions of employment, such as salary adjustments, development leave, assignments/duties, periodic reviews and working environment. Grievance does not include matters related to tenure or promotion.

   4.2 A grievant may only initiate the grievance process described in this policy after communicating with the administrator whose decision is the subject of the grievance (the "respondent") in attempting a good-faith attempt to resolve the matter with the person whose decision is the subject of the grievance (the "respondent") in attempting a good-faith communication with the person whose
5. The decision is the subject of the grievance (the “respondent”). In the event that such communication fails to achieve a satisfactory result, then the grievant must attempt to: (1) discuss the grievance with the respondent; or (2) then discuss the grievance with the respondent’s immediate supervisor. The grievant shall put the basis for the grievance in writing if requested by either the respondent or the respondent’s any supervisor. In the event that communication with the supervisor fails to achieve a satisfactory result, then the outcome of these steps is unsatisfactory to the grievant, a grievant may appeal to a Special Review Committee (the “SRC”) by filing a written grievance with the presiding officer of the Faculty Senate no later than 120 calendar days from the date when the grievant is officially notified of the grievable issue. Action or when the grievant becomes aware of a grievable condition that she/he was not made aware of by written means. The grievant is permitted to file an appeal to the SRC prior to the outcome of the previous steps in order to retain the right of appeal. The SRC shall review the written grievance in order to determine if the grievance was timely filed and if the matter is properly grievable. The SRC shall dismiss the grievance if the matter was not timely grieved or properly grievable. Such decision to dismiss by the SRC shall be appealable by either party to the. In the event of a dispute as to whether an action is a matter related to tenure or promotion or is subject to grievance, the university or faculty member subject to the action may request an interpretation from the Standing Committee on Faculty Rights (“SCOFR”) by filing a written request for an opinion within 10 calendar days of receiving the SRC’s decision to dismiss the grievance. The SCOFR shall offer the non-appealing party an opportunity to respond to the appeal in writing and provide the non-appealing party a reasonable opportunity to provide such response. The SCOFR Committee, after reviewing the written positions of each party shall make its recommendations in writing to the complainant, head of the academic unit or administrator who is the respondent’s immediate supervisor. Should the grievance remain unresolved after mediation and/or informal dispute resolution, then the SRC shall proceed to the formal resolution process.

6. Hearings for the formal resolution process shall be scheduled as expeditiously as possible and with due regard for the schedule of both parties. Grievances involving faculty/academic staff who hold academic year (AY) appointments will normally not be held during summer semester unless the faculty/academic staff member has a summer appointment. The grievant bears the burden of proving that there has been a violation of policy or established practice. The SRC shall report its findings and recommendations in writing within 21 days of the completion of the hearing to the grievant, the respondent, the President, the Provost and to the administrator who is the respondent’s immediate supervisor. The Committee shall make its recommendations in writing to the complainant, head of the academic unit or.
program area, dean, or academic vice president, and president.5.1

13.7 The Special Review Committee (SRC) shall consist of the following members:

(a) Three members, none of whom can be from the same Department as the grievant, shall be chosen from a pool selected by the Faculty Senate Executive Committee on an annual basis. This pool shall be comprised of tenured faculty members (two from each of the colleges in the University), for one-year terms coinciding with the term of the President of the Faculty Senate. Any faculty member may serve up to four successive terms in such a position.

(b) The SRC Special Review Committee Chair shall be selected by the President of the Faculty Senate.

(c) The grievant shall select one member from the pool and the person against whom the grievance is brought shall select the other member from the pool. The Committee shall judge any allegation of bias or conflict of interest. In the event that an individual member is judged by the Committee to be biased or to have a conflict of interest in a specific case, the Committee shall replace the member with a substitute member for that case.

(d) Emeritus professors are eligible for memberships on the SRC.

(e) Faculty holding administrative appointments are not eligible for membership on the SRC. "Administrative appointment" includes appointments as President, Vice President, Dean, Associate or Assistant Dean, Department Chair or Head, or Associate or Assistant Department Chair or Head of an Academic Unit.

5.2 In the event of a dispute as to whether an action is a matter related to tenure or promotion or is subject to grievance, the university or faculty member subject to the action request an interpretation from the Standing Committee on Faculty Rights by filing a writ request for an opinion. The Committee, after reviewing the matter and considering written argument from either party, shall issue its opinion within thirty calendar days of the filing of the request for an opinion.

14.6 The final decision will be made by the Provost so long as the grievance is not against the Provost or any individual who reports directly to the Provost. In those situations, the President shall make the final decision. The Provost (or when applicable, the President) shall, within 30 days of receipt of the recommendation, provide written notice of her/his decision to the grievant, the respondent, and to the administrator who is the respondent’s immediate supervisor.

16.8 Committee’s recommendation. That decision shall be final.

HISTORY:
Amended June 26, 1986
Amended November 18, 1990
Amended June 1995
Amended June 1998
Amended November 2000
Amended March 2002
Amended August 2003
Amended March 2005
Housekeeping June 2009
Housekeeping February 14, 2011
Amended June 1, 2011
Policy Change Cover Sheet

This form must be attached to each policy presented. All areas in red, including the header, must be completed; if not, it will be sent back to you for completion.

If the changes you are requesting include housekeeping, please submit those changes to ndsu.policy.manual@ndsu.edu first so that a clean policy can be presented to the committees.

SECTION: 600 – Student Affairs – 611.1 International Travel Policy for Students

1. Effect of policy addition or change (explain the important changes in the policy or effect of this policy). Briefly describe the changes that are being made to the policy and the reasoning behind the requested change(s).
   - Is this a federal or state mandate? ☐ Yes ☑ No
   - Describe change: NEW POLICY PROPOSED – Additional edits are made to this draft version based on recommendations from first reading of draft policy at the November 14, 2016 NDSU Faculty Senate meeting. Changes are in red to provide clarification.

2. This policy change was originated by (individual, office or committee/organization):
   - International Student and Study Abroad Services – 11/282016
   - Alicia Kauffman, Director

   This portion will be completed by Mary Asheim.
   Note: Items routed as information by SCC will have date that policy was routed listed below.

3. This policy has been reviewed/passed by the following (include dates of official action):

   Senate Coordinating Committee: 12/5/16

   Faculty Senate:

   Staff Senate:

   Student Government:

   President’s Cabinet:

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SECTION 611.1
International Travel for Students

SOURCE: NDSU President

1. POLICY STATEMENT: North Dakota State University (NDSU) promotes the health, safety, and security of all students while traveling outside the United States for University-related purposes. The University, in consultation with the program leader or appropriate administrator, reserves the right to cancel any international activity at any time due to health, safety, or other concerns. Any planned or anticipated travel to a country or region under a travel warning or travel alert as designated by the U.S. Department of State is subject to review and approval and modifications or cancellations by appropriate administrators and the Office of International Student and Study Abroad Services. Current travel conditions can be reviewed on the U.S. Department of State website at: http://travel.state.gov.

2. SCOPE - This policy applies to student travel outside of the United States for University-related purposes. Examples of such travel, which may include, but is not limited to, are to study; to perform research; to participate in internships; to perform service; to present work at conferences; to teach; to perform or participate in athletic competitions. For purposes of this policy, outside of the United States refers to locations not included in the fifty states and District of Columbia (Washington, D.C.).

2.1 Student travel that falls under this policy may be sponsored by an academic department, university unit, or Congress of Student Organization (CSO) recognized student organization. This policy applies to NDSU-affiliated student travel with or without university funding.

2.2 Questions about whether or not this policy applies to a particular type of student travel may be directed to the Office of International Student and Study Abroad Services.

3. DEFINITIONS

a. An organized event is one that is initiated, planned, or arranged by a member of the University's faculty or staff, or by the members of a recognized student organization, and is approved by an appropriate administrator.

b. A sponsored event or activity is one that the University endorses by supporting it financially, or by sending students to participate in it as official representatives of the University.

c. An enrolled student is one who has been admitted to and is attending classes at the University.

d. An appropriate administrator, for the purpose of student travel, is the President, Provost, dean, department chair, or head of an administrative unit, or their delegate.

e. A program leader is the faculty or staff responsible for managing or coordinating all aspects of group student travel in coordination with the Office of International Student and Study Abroad Services.
f. **A student program leader** is the individual responsible for managing all aspects of the student travel, including participation in the program. The program leader serves as a liaison between the group and the University. Student program leaders must be in good standing (academic and conduct) with NDSU.

4. **TRAVEL AUTHORIZATION** - International travel governed by this policy must be authorized in advance. In order for students to obtain travel authorization, they must complete the appropriate process by the corresponding deadlines that occur each semester. If the travel experience does not have a set application process, the required process should be completed according to the general study abroad deadlines of March 1 and October 1, respectively. Completion of the required process is based on the type of program outlined below:

4.1 **(For Academic Credit)** – Acceptance into an officially recognized exchange, direct, affiliate or faculty-led program or by following the approval process to participate on a non-NDSU program. In these instances, please complete the steps as outlined through the application process for study abroad options through the Office of International Student and Study Abroad Services.

**(Not for Academic Credit)** – Submit all required information through the International Travel Registry as outlined through the Office of International Student and Study Abroad Services to provide detailed information about international travel dates and destinations and purchase university approved health insurance that cover the dates of travel.

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<tr>
<th>Participant Category</th>
<th>Required Process</th>
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<tbody>
<tr>
<td>Individual Student (for academic credit)</td>
<td>Study Abroad Application</td>
</tr>
<tr>
<td>Individual Student (not for academic credit)</td>
<td>International Travel Registry</td>
</tr>
<tr>
<td>Group Travel with Program Leader (for academic credit)</td>
<td>Study Abroad Application</td>
</tr>
<tr>
<td>Group Travel with Program Leader (not for academic credit)</td>
<td>International Travel Registry</td>
</tr>
<tr>
<td>Student Organization Group Travel with Student Program Leader</td>
<td>Student Organization Travel Registry</td>
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5. **CONDITIONS OF PARTICIPATION, RELEASE FORMS AND EMERGENCY SITUATIONS** – Students must read and electronically sign the Conditions of Participation agreement. This agreement outlines requirements, expectations, and responsibilities when participating in any NDSU study abroad program. Students may be required to sign other release forms as necessary; students are required to complete a health questionnaire after acceptance into a study abroad program.

5.1 In the event of an emergency, students are required to follow the instructions provided by ISSAS including any applicable health insurance provider instructions relevant to the program. Students agree to update ISSAS with current and correct contact information, including email address, physical address and phone number.
6. **STUDENT CONDUCT AND REMOVAL FROM PROGRAM** - While abroad, students are bound by policies in the *NDSU Rights and Responsibilities: A Code of Student Conduct*, by the rules of the foreign institutions, and by the laws of the geographical location of the program. NDSU may take disciplinary action against students who violate the Code of Student Conduct while participating in a study abroad program.

6.1 The program leader or institutional representative is granted reasonable discretion in determining what constitutes a violation and determining appropriate handling of such matters as they arise. Program leaders have the option of initiating reasonable disciplinary actions for misconduct.

6.2 If the program leader or institutional representative determines, in consultation with the Assistant Vice President and Dean of Student Life or designee, that the student’s continued association with the program poses a significant risk of harm to the student or puts the health or safety of other program participants, the academic integrity of the program, or the relationship with the foreign institution or other partners or country at risk, the student may be immediately removed from the program. All expenses incurred due to such removal, including any costs associated with program enrollment, are the responsibility of the student.

6.3 In the event of removal from the program, the student must vacate the facilities provided by the program and will be withdrawn from all course work associated with the program. In the event of removal, the student remains responsible for all costs associated with program enrollment, without recourse to a refund.

7. **NON-COMPLIANCE** - Students who fail to comply with this policy will be subject to disciplinary action under the processes outlined in the Code of Student Conduct. Faculty and staff who are negligent in complying with this policy may have their right to participate in study abroad programs involving students revoked in addition to any other sanctions that may be imposed by NDSU. Appeals of sanctions follow normal NDSU policy.

HISTORY:

New May 2016