Promotion, Tenure, and Evaluation (PTE)

Information Session for New Faculty
April 2014

Overview

1. Policy/procedure overview
   ▲ Three documents – three levels of review
2. Important considerations
3. Recommendations, Resources
4. Q/A with Provost J. Bruce Rafert

Key Points

• Tenure and promotion evaluation is one part of a system of performance reviews
• In most cases, tenure and/or promotion follows logically from prior annual and third year reviews
• Procedures and standards vary across departments and colleges
  ▲ Make sure to get appropriate guidelines

Initial Appointment Letter

• Date for tenure consideration
  – Usually 6 years for assistant professors
  – Within 3 years for faculty hired with previous relevant experience
• Specific job responsibilities
  – 40% teaching, 40% research, and 20% service

Moving Through the Ranks

• Assistant Professors
  – Annual reviews
  – Third year review
  – Final tenure review in the sixth year

PTE Principles at NDSU

• Discipline-specific criteria developed in department documents
• Peer review: Internal/external faculty colleagues
• Administrator review: Department chair, dean

▲ Three levels of review:
  – Department PTE committee and chair
  – College PTE committee and dean
  – University (Provost, President)
**PTE Policy**

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

**Annual Review**
- Responsibility of the department chair
- Conducted for all faculty
  - Performance during the last calendar year
  - Progress towards promotion/tenure
- Used for merit raises
- Faculty sign and indicate they read the review
- Department PTE committee and/or dean may also provide annual review

**Third Year Review**
- Usually in early spring of third year
- Portfolio to department chair and PTE committee
- Procedure same as final year; no external letters
- Recognize/reinforce areas of strength & weakness for promotion and tenure
- Helps candidates prepare for promotion and tenure
- Any extension granted prior to the third year review delays the review by an equal period

**The Portfolio**

NDSU Guidelines for Promotion and Tenure (available from Provost’s website)
- By candidate
  - **Part I** (Checklist, A-L)
  - **Part III** (Current CV)
  - Supplemental Materials
- By others (committees, dean, chair)
  - **Part II**
    - Recommendations
    - Letters of Evaluation

**The Portfolio – Part I**

**CHECKLIST**

A. Cover Page
B. Table of Contents
C. Appointment Letter and Position Description
D. Academic Background
E. Academic Experience
F. Statement of Context
G. Teaching, Advising, Curriculum Development
H. Research, Creative, and Professional Activities
I. Service
J. Awards and Honors
K. **Unit PTE Criteria**
L. Annual and Third Year Review Report
Supplemental Materials

• Submitted only upon request
  – Copies/examples of course syllabi/course materials
  – Student assessment
  – Evaluations of research/creative activities and service
  – Letters of professional recognitions for awards/honors
  – Publications (articles, books, manuscripts)
  – Verifications of creative performances/exhibits
  – Evaluations of teaching

Procedure for New Information

• Occasionally it may be appropriate to amend the portfolio when significant new information becomes available after the portfolio submission deadline:
  – College dean and PTE committee must agree to the addition
  – Additional materials must pertain to information or material already in the portfolio, such as pending publications or grant proposals

College Level Review

• College PTE committee and dean review dossier (which includes letters from department chair and PTE committee)
• College PTE committee votes and makes recommendation to Provost
• College dean makes recommendation to Provost
• Candidate has right to review and comment within 14 days

University Level Review

• Provost reviews all dossiers and department and college level recommendation letters
• Provost makes recommendations to the President
• President makes final decision in all cases
• Positive decisions for tenure are forwarded to State Board of Higher Education for final approval
• Negative decisions can be appealed

Appeals

• Appeals of periodic reviews are made by requesting a reconsideration by the evaluating party. If not satisfied, may initiate grievance process pursuant to NDSU Policy 353
• Appeals of non-renewal and non-promotion decisions are pursuant to NDSU Policy 350.3

Extension of Probationary Period

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

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

PTE Criteria

- For probationary faculty, the basis for review shall be the PTE guidelines and criteria of the academic unit which were provided to the candidate at the time of the candidate’s appointment to the position
- Tenured candidates for promotion to professor are evaluated by the criteria in effect at the time of application

Resources

- Your department chair/head
- Your department and college guidelines
- Policy 352
- NDSU Guidelines for Promotion and Tenure
- Your mentors
- Promotion to Professor Panel Sessions (see handout)
- Pedagogical Luncheons, Peer Review of Teaching, Teaching and Learning Conference, Gear Up for Grants

Recommended Steps

- Become familiar with University, college, department guidelines for PTE
- Create a collection system for evidence of activities in teaching, research and creative activity, and service - syllabi, grant applications, results of committee work
- Be sure to know department/college expectations related to scholarly productivity and grant funding

Recommended Steps

- Collect, summarize, and analyze student evaluations to identify areas for improvement
- Arrange peer reviews of your teaching
- Statement of context for third-year review provides an opportunity to reflect on the focus that is emerging in your work
- Work to address any problems identified in annual reviews, third year review

Q/A with Provost Rafert