

North Dakota State University

Policy Manual

SECTION 350.1 BOARD REGULATIONS ON ACADEMIC FREEDOM AND TENURE; ACADEMIC APPOINTMENTS

SOURCE: SBHE Policy Manual
Section 605.1, 605.2, 605.3, 605.4
NDSU President

1. General Principles

- a) A college or university is a forum for ideas, and it cannot fulfill its purpose of transmitting, evaluating, and extending knowledge if it requires conformity with any orthodoxy of content and method. Academic freedom and tenure are both important in guaranteeing the existence of such a forum. This policy is intended to enable institutions under the authority of the Board to protect academic freedom.
- b) The purpose of tenure is to assure academic freedom. Academic freedom applies to all scholarly pursuits. Freedom in scholarship is fundamental to the advancement of knowledge and for the protection of the rights of the faculty members and students. It carries with it duties and responsibilities correlative with rights. These duties and rights are set forth in policy 401.1, relating to Academic Freedom, and the **1940 Statement of Principles on Academic Freedom and Tenure** (Rev. 1990), adopted by the American Association of University Professors and the Association of American Colleges. These policies apply to all institution faculty unless otherwise indicated.
- c) Tenure is awarded by the Board upon recommendation of the Chancellor, following review and recommendations made pursuant to the procedures established at the institution and a recommendation by the institution's president to the Chancellor. A favorable recommendation means that the applicant meets all of the prerequisites and criteria and the award of tenure is consistent with the sound fiscal management and academic priorities of the institution and the system of education under the control of the Board. Tenure recommendations submitted to the Board shall include a brief summary of the candidate's qualifications and reasons for the recommendation. Tenure is not an entitlement, and the granting of tenure requires an affirmative act by the Board. Tenure is limited to the academic unit or program area in the institution in which tenure is granted and shall not extend to an administrative or coaching position.

2. Definitions of terms used in sections 605.1, 605.2, 605.3 and 605.4 of Board Policy (350.1, 350.2, 350.3, 350.4 NDSU Policy Manual):

- a) "Academic Year" means the period, approximately nine months in duration, starting with the beginning of the Fall semester and ending following completion of the Spring semester.
- b) "Board" means the North Dakota State Board of Higher Education.

- c) "Faculty" means all members of the academic staff, excluding only coaches and administrators in their capacities as coaches or administrators.
- d) "Receipt" means either actual or constructive receipt. Constructive receipt means the sending party has taken all reasonable steps to ensure that the receiving party has received actual notice.

"Academic unit or program area" shall be defined as the department or comparable unit. Comparable unit shall be determined by the President after consultation with relevant department, college, and university faculty and representatives.

"Head of an academic unit" shall be defined as the department chair or equivalent administrative appointment. Equivalent administrative appointment includes faculty coordinating a program area who have administrative responsibility for evaluating probationary and tenured faculty and making recommendations for tenure, promotion, renewal or nonrenewal, dismissal, or termination.

3. General Procedures

- a) Because of the variety of scope and organizational structure of the institutions under the control of the Board, the faculty governance structure at each institution, in accordance with section 305.1 of these policies, shall recommend procedural regulations to the president to implement policies 605.1, 605.2, 605.3 and 605.4, including:

The faculty governance structure at North Dakota State University is the University Senate.

1. Procedures for continuing evaluation of both probationary and tenured faculty members; and
2. Criteria and procedures by which faculty members are evaluated and recommended for tenure.

Procedures for the continuing evaluation of both probationary and tenured faculty members, and criteria and procedures by which faculty members are evaluated and recommended for tenure are published in the NDSU Policy Manual, Section 352.

- b) The criteria for tenure evaluation and continuing evaluation of probationary and tenured faculty shall include scholarship in teaching, contribution to a discipline or profession through research, other scholarly or professional activities, and service to the institution and society. Institutions may adopt additional criteria. The regulations defining these criteria shall be consistent with the nature and mission of the institution.
 1. Institutions shall establish various tenure "plans" appropriate to the diverse missions of individual institutions, designed to encourage emphasis on research, scholarship in teaching (including, for example, utilization of technology in teaching and innovative teaching methods), service (including, for example, technology transfer and economic development) and other areas of emphasis. Institution

regulations shall include guidelines for determining weight to be given each of the criteria for tenure evaluation and continuing evaluation. The guidelines shall provide for varying emphasis on the enumerated criteria based upon the faculty member's plan, the needs of the institution and the background, abilities and interests of the faculty member.

2. Tenured and probationary faculty contracts shall identify the faculty member's tenure plan and describe the faculty member's duties and goals. The contracts shall specify the weight to be given the criteria for evaluating performance. The contract provisions shall be reviewed and, when appropriate, revised as a part of the faculty member's periodic evaluations.
- c) Eligibility for tenure requires a probationary period of six years of continuous academic service to the institution, during which the faculty member is evaluated at least annually according to an evaluation process designed to foster continuous improvement. The term may be extended beyond six years or the continuous service requirement may be waived in exceptional circumstances. Institutions shall establish procedures for granting extensions or waivers of the continuous service requirement in exceptional circumstances, which must include maternity or parental leave and appropriate accommodations for faculty members with disabilities. Institution procedures may define additional exceptional circumstances including, for example, family emergencies or extended illness.

A faculty member desiring an extension of the six-year probationary period or a waiver of the continuous service requirement based on exceptional personal or family circumstances shall make a written request for an extension or waiver to the department chair or head of the academic unit. The written request shall be made within 90 days from the time of the exceptional circumstances justifying the extension or waiver request. The chair or head of the academic unit shall forward a recommendation on the request to the Dean who shall also review the matter and forward a recommendation on the request to the Provost. Approval of the extension or waiver request rests with the Provost and the President of the University. Denial of an extension or waiver request is a matter related to promotion and tenure appealable pursuant to Policy 350.

- d) An institution may, subject to procedural requirements stated in this policy and sections 605.2, 605.3, and 605.4, decline to renew the contract of probationary faculty without cause at any time during the probationary period.
4. Faculty appointments shall be probationary, tenured or special.
 - a) PROBATIONARY APPOINTMENTS are renewable annually and yield credit toward tenure. The probationary term is limited to six years of continuous academic service, excluding extensions to the term or exceptions to the continuous service requirement granted in exceptional circumstances.
 1. An individual with previous professional experience may, at the discretion of the institution, be given tenure credit not to exceed three years for this experience, with such credit to be regarded as academic service to the institution for the purpose of these regulations. The faculty member shall be informed in writing of

this policy and the institution's decision prior to or at the time of appointment.

Acceptability of tenure credit shall be evaluated by the department chair and the dean or director of the college or equivalent unit. Approval of credit toward tenure rests with the Provost and the President of the University.

2. Time spent on leave of absence or developmental leave may be counted, up to a maximum of two years, as academic service for the purposes of these regulations. The amount shall be determined, and the faculty member informed in writing, including any applicable conditions, prior to authorization of the leave.

Approval for leave credit is required by the department chair, dean, and Provost.

- b) TENURED APPOINTMENTS recognize a right, subject to Board policy, to continuous academic year employment in an academic unit or program area as defined by an institution and stated on the contract. A faculty member shall qualify to be recommended for a tenured appointment by satisfying the criteria for tenure developed in accordance with subsection 3 of this policy.

1. The following persons are not eligible for tenured appointment:

- i. Faculty members with a part-time or temporary appointment. However, faculty members who have been awarded part-time tenure as established by previous Board policy and those who accept a part-time appointment after being awarded tenure in a full-time position shall continue to have such tenure recognized.
- ii. An institution's president:

The President's Office maintains the list of faculty members who have been awarded part-time tenure under previous Board policy.

2. The Board may, following review and recommendations made pursuant to the procedures established at an institution award tenure in exceptional circumstances, defined by the institution's procedures, to an institution's chief academic officer or to any other person appointed to the faculty who has not met the eligibility requirement of subdivision 3 (c) of this policy, provided that the person, at the time tenure is granted has:
 - i. Held a tenured appointment at another institution, or
 - ii. Been a faculty member at the institution for at least one prior academic year.
3. The Board may, following review and recommendation made pursuant to the procedures established at an institution award tenure in exceptional circumstances, defined by the institution's procedures, to any person appointed to the faculty who has not met the eligibility requirements of subdivisions 3(b) and 3(c) of this policy, provided that the person has a documented record of outstanding achievement and consistent excellence in a discipline or profession gained through research, scholarly or professional activities, or service.

Materials in support of a candidate for tenure under exceptional circumstances shall be submitted to the department or academic unit in which tenure is sought. The materials shall be reviewed at the department or unit level and the chair or head of the academic unit shall forward the unit's recommendation to the Dean and the college PTE committee, who will review the materials and unit recommendation and make independent recommendations to the Provost. The Provost will review the materials and recommendations and provide a recommendation to the President who will make a final recommendation to the State Board of Higher Education.

- c) SPECIAL APPOINTMENTS do not involve either tenure credit or status. Special appointments are all appointments except tenured or probationary appointments, including:
- 1) Courtesy adjunct appointments awarded in accordance with Board policy to professional people who contribute to the academic or research program of the institution;
 - 2) Visiting appointments for people holding academic rank at another institution of higher education;
 - 3) Appointments of retired faculty members on special conditions;
 - 4) Initial appointments supported wholly or partially by other than state appropriated funds;
 - 5) Appointments clearly limited to a brief association with the institution, as defined by the institution;
A brief association, as defined at NDSU, will be a maximum duration of six consecutive years. Exceptions to this policy must be approved by the chair, dean and Provost.
 - 6) Terminal appointments given with notice of non-renewal to faculty members who were previously on probationary appointment. A terminal appointment with notice of nonrenewal must be given to a faculty member no later than the end of the sixth year of probationary appointment if the decision is made to deny tenure;
 - 7) Part-time faculty;
 - 8) Lectureship appointments, which shall be for performance of specifically assigned academic duties only, without general faculty responsibilities;

*Lecturers provide the services defined in the letter of appointment, which are generally limited to teaching specific courses or advising a certain number of students; participation in faculty governance is not provided for. These appointments are compensated and may be for one **or two semesters** at a time. Full-time lectureship appointments are considered temporary. Service beyond a total of six **consecutive** years **requires a written justification by the department and approval by the dean and the Provost.***

A Senior Lecturer appointment is also available for academic staff of distinguished merit and ability when a probationary faculty appointment is either inappropriate or unavailable.

Factors to be considered in awarding a Senior Lecturer appointment include the academic degree and years of experience of the candidate, as well as the level of courses taught and the quality of instruction. Senior lecturers may be expected to participate in college activities and committees.

Senior Lecturers shall be appointed annually (or for a longer period with the approval of the Provost) at a salary appropriate for their qualifications, responsibilities and department.

Notice of termination of a Senior Lecturer appointment must be given by March 1 of the first full year of academic service, or by December 15 of the second or subsequent year of service, in order for the termination to be effective as of the end of that fiscal year of service.

9) Graduate teaching assistant appointments.

10) Postdoctoral fellowships and clinical appointments; and

11) Other faculty appointments, not probationary or tenured, that are designed to help fulfill the institution's mission or meet long-term needs. The appointments shall be subject to an agreement describing the faculty member's duties and goals, criteria and weight assigned each criteria for evaluation. The term of an appointment and agreement, or renewal thereof, may not exceed three years. The faculty member's performance and achievement of goals shall be evaluated during the final year of an appointment. An appointment may be renewed only if the evaluation demonstrated satisfactory performance.

12) Research Professorships

- i. **Research Professorships** shall be for faculty members whose primary function is research in a position that is supported entirely by extramural funding; provided however, funding for faculty members located at branch stations of the North Dakota Agricultural Experiment Station is not limited to extramural funds. Research Professorships are offered to individuals with experience and scholarly qualifications comparable to regular faculty members at the same rank. Thus, the appointments may be made at the levels of a) Research Assistant Professor, b) Research Associate Professor, or c) Research Professor. Research Professorships shall be hired using existing university policies and guidelines, and the appointment must be associated with an academic department and/or a research unit within an academic department. It may, however, be made in one or more departments. If the appointment is a joint appointment between two units, the appointment must exceed 50% in one of the units, and the Chair/Head in the majority unit would take primary responsibility for annual evaluations.
 - ii. To the extent applicable, the duration of the appointment is based upon extramural funding. Research Professorships neither carry tenure nor are eligible for tenure.

- iii. The position is typically 100% research. No teaching or university service is expected, but professional service (e.g., reviewing submissions; presenting at conferences) is an inherent responsibility of the position. Departments may have different expectations concerning the role that the appointee plays in departmental service activities (e.g., attending the departmental meetings, voting on departmental issues). Research Professorships will not typically involve formal classroom teaching. In rare cases in which a Research Faculty is considered for a teaching assignment, a separate part-time teaching appointment is required, and the Research Faculty should reduce their research effort accordingly. All non-research activities are, of course, subject to constraints imposed by the funding agencies providing support for the primary appointment.
- iv. Research Professorships are not counted for the purposes of determining unit representation for University Governance. The appointee's role in graduate education shall be governed by the department and by existing policies of the Graduate School.
- v. An annual written evaluation will be completed by the department Chair/Head. If the Research Faculty is working within a research group, then the Chair/Head shall consult with the Research Director of the Principal Investigator for input on the appointee's evaluation. It is essential that the evaluation be based upon a current position description. One component of the annual review will be the assessment of past and upcoming funding for the position.
- vi. Promotion is initiated via a departmental recommendation. The recommendation is signed by the College's Promotion, Tenure and Evaluation Committee, by the Dean, and by the Provost. Typically promotion cannot be achieved until the candidate has spent a minimum of five years in rank. Promotion shall be based primarily on demonstrated success in research, publications and extramural funding (i.e.; demonstration of knowledge dissemination in his/her field, supervision of graduate researchers, and/or continued funding support.
- vii. A Research Faculty member is eligible to apply for a tenure-track position. Upon recommendation by the chair, dean, and the Provost, up to 3 years prior experience in a Research Professorship can be counted toward tenure.

13) Professor of Practice

- i. The designation, Professor of Practice, shall be for faculty members whose primary function is to teach in their academic discipline and carry out other responsibilities assigned at the discretion of the department or college, including apportionment of their time to service and/or other professional responsibilities. Appointments at the Assistant, Associate, and Full Professor of Practice are based on academic qualifications, as describe below.
 - a) **Assistant Professor of Practice.** For appointment as Assistant Professor of Practice, candidates must have a terminal degree or equivalent professional experience, and demonstrated professional or industrial/business experience.

The length of appointment may be 1-3 year, renewable every year upon satisfactory performance of assigned responsibilities, the majority of which will be instructional activities and practice.

- b) **Associate Professor of Practice.** For appointment as Associate Professor of Practice, candidates must have a terminal degree or equivalent professional experience, evidence of leadership in instructional activity in academic or professional instruction that has had a significant impact on the department, college, university, or profession. The length of appointment may be 1-4 years, renewable every year upon satisfactory performance of assigned responsibilities, the majority of which will be in instructional activities and practice.
 - c) **Professor of Practice.** For appointment as Professor of Practice, candidates must have a terminal degree or equivalent professional experience, evidence of contributions to advancing learning in the field (i.e. national visibility in dissemination of instructional methods and/or materials, successful grant funding for instructional activities/innovations, leadership in professional organizations.) The length of appointment may be 1-5 years, renewable every year upon satisfactory performance of assigned responsibilities, the majority of which will be in instructional activities and practice.
- ii. Departments may have different expectations concerning the role that the appointee plays in departmental service activities (e.g., attending departmental meetings, voting on departmental issues). The appointee's role in graduate education shall be governed by the department and by the existing policies of the Graduate School. An annual written evaluation will be completed by the department Chair/Head.
 - iii. The position of Assistant, Associate, or Professor of Practice neither carries tenure nor eligibility for tenure, though promotion is possible through ranks, based on time in rank and satisfactory evaluation of assigned responsibilities. Promotion is initiated via a departmental recommendation. The recommendation is signed by the College's Promotion, Tenure and Evaluation Committee, by the Dean, and by the Provost. Typically, the promotion cannot be achieved until the candidate has spent a minimum of five years in rank. Promotion shall be based primarily on demonstrated success in instructional activities and other assigned responsibilities.
 - iv. A faculty of practice member is eligible to apply for a tenure-track position. Upon recommendation by the chair, dean and Provost, up to 3 years prior experience in a Professorship of Practice can be counted toward tenure probation.
5. The general terms and conditions of appointment shall be provided the appointee in a written contract. The contract shall state whether the appointment is probationary, tenured or special. The term of a contract, except contracts made pursuant to paragraph 4(c)(11), shall generally not exceed one year. A multiple-year contract must be subject to termination upon discontinuance of the program in which the faculty member is employed, non-appropriation or loss of funds, or other financial exigency.

For faculty on nine- or ten-month contracts covering the traditional academic year (generally, August to May), institutions shall not later than June 30 each year, provide notice of renewal terms with a contract, agreement or appointment letter to be signed by both parties. Absent good cause or agreement extending or establishing a different deadline, faculty must sign and return a contract or other document indicating acceptance of contract terms not later than July 20. Institutions shall establish procedures providing that failure to return a signed contract or other document indicating acceptance of contract terms by July 20 constitutes a resignation resulting in termination of employment, effective July 20, except for good cause shown by the faculty member or unless the institution has granted an extension. Prior to the end of the spring semester each year, institutions shall provide notice to faculty summarizing the process and deadlines for contract renewal, including information on extending deadlines to accommodate faculty who may be traveling or not able to readily receive and respond to communications during summer months.

For a faculty appointment, the contract consists of the letter offering the position, the annual notice of renewal terms, the current job description of the individual faculty member, and the current policies and procedures of NDSU and the State Board of Higher Education. The department chair or head of an academic unit will ensure that all faculty have job descriptions that are periodically reviewed and updated. Each job description will be signed by the Dean, the Chair or head of the academic unit, and the faculty member and filed in the faculty member's official personnel file. Each job description shall specify how a faculty member's assigned responsibilities will be allocated among teaching, research, and service which will determine the weight to be given to each area of responsibility for tenure, promotion, and continuing evaluations.

6. The institutional process for evaluation of faculty, the criteria and minimum expectations for promotion and for tenure, and provisions concerning required notices, shall be made known to the appointee at the time of appointment. This disclosure may be accomplished by a published description of the process, criteria, and expectations in a faculty handbook or similar document. Such provisions are subject to change according to processes established for adoption or amendment of Board and institutional policies. Institution procedures shall provide for annual evaluation of all full-time faculty. The procedures shall include provisions requiring that evaluations are completed in a timely and appropriate fashion and that the institution takes appropriate remedial action in response to unsatisfactory evaluations. Evaluation criteria shall relate to a faculty member's duties and goals and be appropriately weighted in accordance with the terms of the faculty member's contract. Evaluations of all teaching faculty must include significant student input.

At the time of appointment, the appointee shall be provided with information, which contains the institutional process for evaluation of faculty, as well as minimum expectations for promotion and tenure. In addition, specific departmental and college guidelines for promotion, evaluation and tenure, if applicable, will be made available to the appointee.

The dean or director of the college or equivalent unit will be responsible for providing these documents to the appointee.

Note: Since this Policy repeats Board Policy, the section numbers in the Board Policy refer to Board Policy numbers. The italicized portions of Policies 350.1-350.4 are NDSU Policy which implement or supplement Board Policy.

HISTORY:

Replaces portions of Policy 605 SBHE Minutes April 25, 1995 pg 6554

Amended April 25, 1995

Amended July 1, 1996

Amended January 1997

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