

NORTH DAKOTA STATE UNIVERSITY

Guidelines for Promotion and Tenure Portfolio Preparation 2017-2018

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 for review at the departmental level using procedures developed by the department. Units should use the [NDSU PTE Timeline](#) (available at www.ndsu.edu/provost) as a guide for preparing Department/College timeline for promotion and tenure evaluation. Candidates may use Digital Measures to assemble their portfolios. Information about Digital Measures, including registering for help sessions, can be found at <https://www.ndsu.edu/digitalmeasures/>.

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, and service with the following exceptions: **(1) in courses taught (G.2.), list only courses taught at NDSU; and (2) in university committees (I.2), limit this to only committees at NDSU.**

The portfolio should be submitted electronically or in one three-ring binder with the Candidate's name on the spine. Labeled index dividers to separate major sections of the portfolio may be ordered from Print and Copy Services; contact them for more information. A limited number of dividers are also available from Office of the Provost. After the completion of the department and college level reviews, the portfolio should be submitted electronically to the Office of the Provost.

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 Provost 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 three parts: (1) Part I consists of information for which the candidate is responsible for providing; (2) Part II consists of information for which the department chair or unit leader is responsible for providing; and (3) Part III consists of the candidate's current curriculum vitae. 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, research, 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, 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.

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

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Table 1. The Portfolio

Part I (submitted by candidate)	
Checklist (page 1 of portfolio)	G. Teaching, Advising, and Curriculum Development
A. Cover Page (page 2 of portfolio)	H. Research, Creative, and Professional Activities
B. Table of Contents (page 3 of portfolio)	I. Service
C. Appointment Letter and Position Description(s)/Special Agreements	J. Awards and Honors
D. Academic Background	K. Unit Promotion and Tenure Criteria
E. Academic Experience/Employment History	L. Annual Appraisals/Evaluations and Third Year Review Report
F. Statement of Context and Accomplishments	
Part II (added by department chair, dean, PTE committee, etc.)	
M. Recommendations	N. Letters of Evaluation
Part III (submitted by candidate)	
O. Current curriculum vitae	
Supplemental Materials (by candidate; submitted only upon request)	
<ul style="list-style-type: none"> • Copies/examples of course syllabi/course materials • Student assessment • Evaluations of research/creative activities and service • Letters of professional recognitions for awards/honors 	<ul style="list-style-type: none"> • Publications (articles, books, manuscripts) • Verifications of creative performances/exhibits • Evaluations of teaching

PART I

Policy & Procedures Checklist for Portfolio Evaluation. Use the standard [checklist](#) available at <https://www.ndsu.edu/provost>. *Format found on [page 7](#) of this guide.*

A. Cover Page. Use standard [cover page](#) available at <https://www.ndsu.edu/provost>. *Format prescribed and found on [page 8](#) of this guide.*

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 Cover Page Section requiring a description of the materials, who added them, and the date.

B. Table of Contents See example on [page 9](#) of this guide.
 All pages in the Portfolio must be numbered.

C. Appointment Letter and Position Description/Special Agreements

Include copies of:

1. Letter of appointment.
2. All NDSU job descriptions with dates for tenure candidates. For promotion candidates provide 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, research, and service responsibilities agreed upon by the candidate, the department chair/unit head, and dean/director, if appropriate.*
3. Prior service agreements for the candidate on a tenure-track appointment (*if applicable*).
4. Previous consideration for promotion and/or tenure (*if applicable*).

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.

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E. Academic Experience/Employment History

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

F. Statement of Context and Accomplishment

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, research, 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; and how the activities relate to the mission of NDSU.

G. Teaching, Advising, Extension, 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.

Supporting information and evidence.

1. Courses taught and student ratings. List, in reverse chronological order, of 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 student rating of the course and instructor. Instructor and Course ratings may be obtained from university Student Rating of Instruction questions 2 and 4, respectively. Use format shown below.

Term	Prefix	Course Number	Title	Credits	Enrollment	% Responsibility	Course Rating	Instructor Rating

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

2. Quality of teaching (administration and peer evaluation). Provide statement by department chair or appropriate unit head, peers, or department/unit PTE Committee which evaluates: (i) course content and design, (ii) teaching methods, (iii) individual contributions to the improvement of instructional programs, and (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, and (iii) 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 one’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 mentoring activities.
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 and other trainees (list names and dates).
6. Extension/Outreach activities.
 - a. List (chronological) courses and seminars presented off campus. Indicate the faculty member's role.
 - b. List professional consultation (business, community, educational) if the activities are different from those listed in public service.
7. Personal/professional development to improve teaching, advising, and extension effectiveness. List by 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.
8. Teaching, advising, extension, and curriculum development related awards and honors. List and describe teaching awards and honors.

H. Research, Creative, 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.

1. Publications. Provide a complete list of all published manuscripts and other research 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 (separate in appendix). For manuscripts that have been "accepted" or "forthcoming," place a copy of the editor's acceptance letter in this section. Clearly define candidate's role in each endeavor, wherein the candidate is not the sole author. 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
 - c. List non-refereed publications
2. Presentations at professional meetings. List professional meetings, symposia, and conferences, include meeting dates and role of the faculty member, e.g., organizer, chair, invited speaker, discussant, presenter, attendee.
3. Grants, contracts, and awards. If not the sole investigator, clearly define candidate's role.
 - a. List funded grants and contract support including title, funding agency, dates, and name(s) of principal and co- investigator(s).
 - b. List grant and contract proposals submitted but pending decision.
 - c. List grant and contract proposals submitted but not funded. Provide succinct description of the outcome of the review.
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. Research and creative activity awards and honors. List and describe research and creative activity awards and honors.

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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 faculty member's academic or professional expertise.

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. Service awards and honors. List and describe service awards and honors.

J. 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).

K. Unit Promotion and Tenure Criteria

Place copies of the unit's and college's promotion and tenure criteria.

L. Annual Review Reports

Place copies of all prior annual reviews since hire for tenure candidates. For promotion candidates provide prior annual reviews since last promotion at NDSU or copies of all job descriptions since hire for those who have not gone through the promotion process. Place the Third Year Review Report.

PART II

M. 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

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.)

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N. Letters of Evaluation

Letters of evaluation are not required by [Policy 352](#). Any letters of evaluation will be solicited by the dean or department chair (see [sample letter on page 10 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 can often provide constructive assessments of the faculty member; 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; and
- No recommendation is to be made for or against promotion and tenure.

PART III

O. Curriculum Vitae

Current curriculum vitae

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 as revised on June 2014.

POLICY & PROCEDURES CHECKLIST FOR PORTFOLIO EVALUATION

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/unit 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: _____

	Evaluator’s Signature	Date
Department/Unit PTE Committee Chair:	Signature _____	Date _____
Department/Unit Chair or Head:	Signature _____	Date _____
Chair of the College PTE Committee:	Signature _____	Date _____
Dean of the College:	Signature _____	Date _____
Other (e.g. Extension):	Signature _____	Date _____

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

	PTE Committee	Chair
Department Level Evaluation		
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 faculty member being considered for promotion served on PTE committee.	<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 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
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 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
The department PTE document is consistent with Policy 352 and College PTE guidelines.	<input type="checkbox"/> Yes <input type="checkbox"/> NA	<input type="checkbox"/> Yes <input type="checkbox"/> NA
Portfolio was submitted to the college level by the due date.	<input type="checkbox"/> Yes <input type="checkbox"/> NA	<input type="checkbox"/> Yes <input type="checkbox"/> NA
College Level Evaluation	PTE Committee	Dean
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 faculty member being considered for promotion served on PTE 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 separately and independently of each other.	<input type="checkbox"/> Yes <input type="checkbox"/> NA	<input type="checkbox"/> Yes <input type="checkbox"/> NA
Evaluation was based on the written standards and criteria of the department and the 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 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
The College’s PTE document is consistent with Policy 352.	<input type="checkbox"/> Yes <input type="checkbox"/> NA	<input type="checkbox"/> Yes <input type="checkbox"/> NA
Portfolio was submitted to Provost by the due date.	<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 Cover Page for Promotion and Tenure 2017-2018

DEMOGRAPHIC DATA:

Name: _____
 Department: _____

Rank: _____
 College: _____

REQUESTED ACTION:

Promotion to rank of: _____ Request for tenure Penultimate year: _____

SPECIAL AGREEMENTS (check, if applicable)

- Previous Consideration (if candidate has been considered previously, but promotion and/or tenure were/was not awarded, supply letters of denial, outlining conditions needing to be addressed and place in section C.)
- Prior Service Agreement (place in section E).

CANDIDATE'S SIGNED STATEMENT

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

 Signature

 Date

- As any additional 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 and Department Chair/Head disagree on the inclusion or exclusion of some materials, the faculty member may indicate his/her objection in this signed statement.

COMMENTS:

ADMINISTRATORS RESPONSIBLE FOR PORTFOLIO REVIEW:

ROUTING		ADDED MATERIALS INVENTORY		
Portfolio Received:	Date:	Materials Added:	By:	Date:
Dept. PTE Committee	_____	_____	_____	_____
Dept. Chair	_____	_____	_____	_____
College PTE Committee	_____	_____	_____	_____
College Dean	_____	_____	_____	_____
Director	_____	_____	_____	_____
Provost/VPAA	_____	_____	_____	_____
President	_____	_____	_____	_____

VOTE TALLY

Number of Votes for:	<u>Tenure*</u>			<u>Promotion</u>		
	Recommend	Deny	Abstain	Recommend	Deny	Abstain
Dept. PTE Committee						
Dept. Chair						
College PTE Committee						
College Dean						
Director						
Provost/VPAA						
President						

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

 Department/Unit Administrator

 Dean

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PART II

- M. Recommendations
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 - Dean
 - Director (if required)
 - Provost
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- N. Letters of Evaluation

PART III

- O. Curriculum Vitae

Sample Request for Outside Letter of Evaluation

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 _____.

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,