

Policy and Procedures for Promotion and Tenure Evaluation^{1, 2, 3, 4, 5, 6, 7, 8, 9, 10}

College of Science and Mathematics North Dakota State University

1.0 Introduction

1.1 This document describes the policy and procedures for promotion and tenure for the College of Science and Mathematics.

1.2 The promotion of faculty, the awarding of tenure, and the prerequisite processes of evaluation and review for faculty 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. Tenure recognizes a candidate's potential long-term value to the institution as evidenced by professional performance and growth and indicates the expectation of continued employment. (NDSU Policy 352.1)

2.0 References

2.1 This document presents the policies and procedures in the College of Science and Mathematics for implementing the following policies of North Dakota State University (NDSU) and the North Dakota State Board of Higher Education (SBHE).

2.2 NDSU Policies

350.1 - Board Regulations on Academic Freedom and Tenure, Academic Appointments

352 - Promotion, Tenure, and Evaluation

Additional information on University policies affecting faculty rights, hearings and appeals, grievances, and mediation options can be found in the following sections of NDSU's policies:

350.2 - Board Regulations on Standing Committee on Faculty Rights; Special Review

350.4 - Board Regulations on Hearings and Appeals

353 - Grievances – Faculty

2.3 Related SBHE Policies:

605.1 Academic Freedom and Tenure; Academic Appointments

605.2 Standing Committee on Faculty Rights

605.4 Hearings and Appeals

605.5 Mediation

3.0 Promotion and Tenure Evaluation Philosophy

3.1 Faculty and administrative evaluations are important and necessary for NDSU to carry out its mission. Both formal and informal evaluations provide important feedback to faculty and administrators on their performance. Formal performance evaluations can be useful in prioritizing efforts, maintaining focus, monitoring progress, relating assignment expectations with performance expectations, and as a method to recognize superior achievements. This process should be honest, open, and forthright: an acknowledgment of the faculty member's achievements and a determination of areas needing improvement.

3.2 To accomplish its mission, the College of Science and Mathematics has assembled a faculty with diverse position descriptions. Departments are expected to provide clarifying and amplifying components to their promotion and tenure documents to ensure that the unique talents, capabilities, and accomplishments of individuals within the unit are properly acknowledged. No single assessment is necessarily suitable for every faculty member.

3.3 While the College of Science and Mathematics provides format and guidance for the evaluation process, it is the judgment of peers within departmental promotion, tenure, and evaluation (PTE) committees, the College PTE Committee, and administrators that determines how well an individual has performed. It is critical to the entire process that integrity and fairness are applied rigorously at all levels.

4.0 Promotion and Tenure Evaluation Process

(NDSU Policies 350.1 & 352)

4.1 Time Accounting

4.1.1 Time toward tenure is counted on an August 15 to August 14 year basis or as stated in the contract appointment agreement. The first probationary year starts on August 15 after the person is hired. For example, the tenure clock will start on August 15, 2008, for a faculty member hired on October 1, 2007. Tenure clocks will begin on August 15 of the individual's first probationary year, unless otherwise specified in the contract appointment agreement. Time accounting associated with tenure credit or extension of the probationary period is described in Special Circumstances (Section 4.3). Faculty currently on tenure track at the time of approval of this document will have the option of continuing their existing tenure time credit or changing to the tenure clock described in this policy and procedures document with the change documented in writing by the Dean.

4.2. Third Year Pre-tenure Review Policy

Purpose

The College requires all faculty in tenure-track positions to undergo a formal review during the spring semester of the third year of their probationary appointments. The purpose of the review is to familiarize faculty members with the process of tenure review and to allow the College PTE Committee to provide constructive feedback to probationary faculty members and their departments regarding progress toward tenure.

Procedure

The College Promotion, Tenure and Evaluation Committee will meet and review documents during the spring semester the third year of the probationary appointment to review progress toward tenure. The committee may meet with the faculty member and/or the department chair/head if requested by the committee or the candidate.

The following materials are to be forwarded to the Dean's Office by the departmental chair/head on the first Monday in February:

- A portfolio, prepared in accordance with the *NDSU Guidelines for Promotion and Tenure*.
- Annual departmental evaluations and a comprehensive summative and formative evaluation from the department's Chair/Head, and the Departmental PTE Committee (if applicable), as well as unit promotion and tenure criteria.
- A statement by the faculty member under review regarding professional goals for ensuing years leading up to the tenure and promotion review.
- The College PTE Committee encourages the faculty member under review to include supplemental material which documents scholarly activity, such as work in progress, and manuscripts and/or grant proposals in submission or preparation.

Report

The College PTE Committee will prepare a written evaluation and recommendation regarding progress toward tenure to be presented to the probationary faculty member and the Chair/Head of the department by April 15. This third-year pre-tenure review report will be included with the candidate's tenure portfolio. Although the report is intended to be advisory in nature, it serves as an important evaluation of the

candidate's progress; it is therefore used as a baseline assessment during subsequent reviews of a candidate's continuing progress.

4.3. Special Circumstances

4.3.1 RELEVANT PREVIOUS PROFESSIONAL EXPERIENCE

In agreement with NDSU Policy 350.1.4.a.1, a new faculty member with relevant previous professional experience may be given credit toward tenure and promotion for this experience in an amount not to exceed three years. This credit is negotiated and must be specified as part of the initial hiring contract. Any changes to the time toward tenure as specified in the initial hiring contract must be approved by the Chair/Head, Dean, Provost/VPAA, and the President, and copies of the authorization must be included with promotion and/or tenure portfolio materials.

For faculty granted credit for previous service, the tenure clock with credit granted starts on August 15 following the appointment date. For example, for a faculty member hired on October 1, 2007, with credit given for two years previous service, the tenure clock will have started as if on August 15, 2006. Therefore, on August 15, 2009, the faculty will have three years of tenure credit.

For third year pre-tenure review, faculty with one year of tenure credit are reviewed at the end of their second year of appointment; faculty with two and three years of tenure credit are reviewed during the spring semester of their first year of appointment.

4.3.2 EXTENSION OF PROBATIONARY PERIOD

At any time during the probationary period but prior to the sixth year (when the portfolio is due), a faculty member may request an extension of the probationary period not to exceed three years based on personal or family circumstances, which, according to reasonable expectations, impede satisfactory progress towards promotion and tenure (see NDSU Policy 352.3.6). Faculty given promotion and tenure credit are eligible for this extension. The request must be in writing and will be reviewed and forwarded sequentially with recommendation by the Chair/Head, Dean, and Provost/VPAA to the President who will approve or deny the request. Denial of an extension may be appealed under NDSU Policy 350.4.

A probationary faculty member who becomes the parent of a child or children by birth or adoption will automatically be granted a one-year extension of the probationary period. The probationary faculty member has the option at any time after the birth or adoption to return to the original schedule of review. Granting extensions does not change expectations for performance.

An extension granted prior to the pre-tenure third year review will delay that review by an equal period.

4.3.3 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; however, such probationary faculty who have demonstrated exceptional academic accomplishments may apply for early promotion prior to the completion of the six years of the probationary period.

4.3.4 FACULTY HIRED WITH PREVIOUS RELEVANT EXPERIENCE

Conversely, a faculty member with relevant professional/academic experience may be given credit toward tenure and promotion when negotiated as a provision in their original hiring contract. There are the following options:

4.3.5.1 Tenure recommendations and recommendations for appointment at the rank of Associate Professor or Professor for new hires (administrators or faculty with prior experience) are made by the respective Department and the College PTE Committee. The process of review is initiated by the Chair/Head.

4.3.5.2 Faculty may be given one to three years of credit (maximum allowed). 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.

4.3.5.3 Faculty may be given 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.

In either option, failure to achieve tenure will lead to a terminal year contract.

4.4 Timeline for the Promotion and Tenure Application Process

(NDSU Policy 352.6)

4.4.1 Probationary faculty are normally eligible to apply for promotion to Associate Professor and tenure during their sixth year of continued academic service at NDSU. Promotion and tenure decisions generally occur at the same time.

Promotion to Professor is typically considered after the completion of five years of service in rank as Associate Professor, although earlier promotion may be considered in exceptionally strong cases. An Associate Professor has the option of waiting and seeking promotion to Professor any time after five years in rank. The application process and timelines for the application are the same for the application for tenure and promotion to Associate Professor or Professor, except that promotion to Professor depends on criteria as outlined in section 4.5.1 below.

Table 1 describes the timeline for all the promotion and tenure application processes.

Table 1. Dates at Which Document and Reviews Must Arrive at Following Locations

Department Chair/Head	Department PTE Committee (if applicable)	Office of the Dean; College PTE Committee	Dean ¹	Provost/VPAA ²	President ³
At discretion of Department	At discretion of Department	October 15	December 31	January 5	March 31

¹Upon review of the Portfolio, copies of the reports of the College PTE Committee will be forwarded to the candidate, department's Chair/Head, and the Dean no later than December 31. The original signed report will be added to the candidate's portfolio.

²Upon review of the Portfolio, copies of the report of the Dean will be forwarded to the candidate, the department's Chair/Head, and members of the College PTE Committee no later than January 5. The original signed report will be added to the candidate's portfolio. The portfolio is to be delivered by the Dean to the Provost/VPAA no later than January 5.

³The President normally gives a recommendation to the SBHE for action at its April meeting, and tenure and/or promotion is normally awarded on August 16.

4.5 Promotion and Tenure Application and Review Process

4.5.1 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 that were provided to the candidate at the time of the candidate's appointment to the position. The dean of the college 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 may choose to be evaluated by the criteria in effect at the time of the previous promotion, if the application is made within eight years of the previous promotion. Thereafter, candidates shall be evaluated by the criteria in effect at the time of application. Candidates applying for promotion to the rank of full professor more than eight years after the previous promotion may choose to be evaluated based on work completed in the eight years immediately prior to applying rather than on their entire post-promotion record. (NDSU Policy 352.3.3).

4.5.2 The department's Chair/Head and Department PTE Committee (if applicable) will perform separate evaluations and formulate separate written recommendations. This does not preclude discussion or communication between department chairs/heads and departmental PTE committees. The College PTE Committee and the Dean will perform separate evaluations and formulate independent written recommendations without discussion or communication.

4.5.2.1 In cases where a department Chair/Head is to be considered for promotion from associate professor to professor, that individual may not provide a chair/head evaluation for themselves or for any other faculty member being considered for tenure and/or promotion as this would constitute an actual or apparent conflict of interest (NDSU Policy 352.5.3). In such cases, the chair/head evaluation shall be performed by a current or former faculty member who has had experience as a chair/head and has some familiarity with the discipline but is not currently a direct report of the individual being evaluated. Examples could include a retired faculty member with prior chair/head experience from the same department or a sitting chair/head from an appropriate outside department. The dean, in consultation with the candidate and the departmental PTE committee chair, shall select the individual that will provide the evaluation. Similarly, in such cases the individual being evaluated for promotion may not play the role of Chair/Head in the selection of external reviewers, if such reviews are required by the department.

4.5.3 The candidate will have 14 calendar days to append a response to each recommendation, or to any new material added to the portfolio during the review process, prior to the review by the Provost/VPAA (NDSU Policy 352.6.2).

4.5.4 The portfolio together with signature copies of the recommendations of the department's Chair/Head, the Departmental PTE Committee (if applicable), the College PTE Committee, and the Dean will be forwarded by the Dean to the Provost/VPAA by January 15.

4.5.5 It is the responsibility of each faculty member to understand the processes, elements, and contributions that demonstrate productivity. It is also the responsibility of each faculty member to record and explain contributions in ways that convey value and impact. Portfolios may be returned to the candidate if they do not follow the format specified in the *NDSU Guidelines for Promotion and Tenure*. The portfolio must include all of the candidate's annual evaluations.

4.5.6 Procedures for the appeal of non-promotion decisions are outlined in NDSU Policies 350.1-350.4 and 352.

4.6 Promotion and Tenure Criteria

4.6.1 The evaluation of a candidate's performance will be based on the criteria specified in 4.5.1.

4.6.2 Departments are responsible for developing specific promotion and tenure criteria. Because each department is unique, specific criteria should reflect the unit's mission, goals, and responsibilities. Faculty assignments within the unit may also be unique, so the criteria should be sufficiently robust to accommodate the diversity of activity expected of faculty as expressed in their position descriptions. In making assessments, faculty performance in teaching, research, and service should be weighted relative to expectations in their position description or other assignment/responsibility documents. If an individual's position description has been changed, dated copies of all pertinent descriptions should be included in portfolios or with evaluation reports.

4.6.3 Promotion and tenure are recognitions of productivity and sustained, quality scholarship, as reflected in the areas of responsibility in a faculty member's position description. The general scholarship and professional growth of the candidate, as specified in their position description, will be the primary criteria for promotion and tenure. Consideration may be given to professional background, experience, and time in rank.

4.6.4 Each faculty member is expected to make contributions 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. These categories are further defined in Section 4.7 (Criteria Indicators). The quality and quantity of contributions in all three areas will be considered at the time of promotion and tenure. 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 contributions.

4.6.5 For promotion from Associate Professor to Professor, the same areas of teaching, research, and service form the basis of the criteria. However, the level of performance substantially exceeds that required for promotion to Associate Professor. The candidate is expected to have demonstrated an increase in

assumed and designated responsibilities, growth in expertise and capability, and evidence of regional and/or national scope of activities and scholarship.

4.6.6 Indicators accompanying each criterion for promotion, tenure, and evaluation should clarify, amplify, and provide opportunity to show accomplishment in the individual areas. Indicators will be established at the departmental level and indicated in departmental guidelines. Indicators should be selected to show how individuals in the department could meet or exceed the minimum criteria established by the department and College. Whereas criteria for promotion and/or tenure are the patterns of performance given to faculty for guidance in attaining appropriate quality levels in their work, indicators are not criteria in and of themselves. Rather, these indicators help evaluators categorize and judge the quality of faculty accomplishment. In determining whether a criterion is met, data related to these indicators will be considered as well as position description and other appropriate information. Other information not directly related to indicators but germane to the criteria may be provided. It is possible for criteria to be met without addressing each indicator. The College acknowledges that missions and roles of individuals, units, and even the University may change over time. The College and its units must periodically review and update criteria and indicators.

4.7 Criteria Indicators

4.7.1 The evaluation of a candidate's performance will be based on the individual's assigned responsibilities in teaching, research, and service, on- or off-campus, in regional, national, or international areas. Judgments will be primarily based on evidence of both the quality and significance of the candidate's work. In addition, the evaluation may include an assessment of a candidate's potential for future contributions as evidenced by scholarly work in progress. The following indicators 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.

4.7.1.1 A faculty member will contribute to a positive work environment through cooperation and collaboration with others by developing and maintaining good working relationships with other faculty, staff, employees, and students.

4.7.1.2 Teaching indicators may include the following, but specific criteria are established by the department: honors, awards, and recognition for teaching excellence; participation in workshops, seminars, or other training to improve teaching; active membership in professional teaching organizations; activities in curriculum/program/course development; student/participant evaluations; peer evaluations; results of curriculum/program reviews; success in advising; success in directing graduate student academic programs; recruitment/retention activities; success in work with student organizations; and success in providing enhanced educational opportunities for individuals at remote locations.

4.7.1.3 Research/Creative Activity indicators must include a regular and sustained record of publications in peer reviewed outlets. Other indicators that will strengthen the candidate's portfolio for tenure or promotion may include the following, but specific criteria are established by the department: cooperative and collaborative research; presentations of research results; success in project management; honors, awards, recognition for research; peer evaluations; results of program reviews; success in directing graduate student research; supervising assistants; and success in work with supportive organizations. Faculty must solicit funds (and/or other resources) to support their scholarly activities. Grantsmanship indicators may include the following, but specific criteria are established by the department: a list of grants obtained with indication of the portion available to the faculty member; list of submitted, but unfunded proposals; attracting research students (graduate and/or undergraduate students) with scholarships, fellowships, or self-procured funding; list of in-kind services solicited and gained for research purposes; post doctoral research fellows; review/statement of grant-fund management; and indications of how grants are leveraged to pursue larger research goals. A candidate is expected to demonstrate leadership in collaborative research efforts and should be prepared to distinguish and document his/her relative role among other collaborators in each such publication, grant, or scholarly activities.

4.7.1.4 Service to discipline indicators which will strengthen the candidate's portfolio for tenure or promotion may include the following, but specific criteria are established by the department: work on professional society committees; contributions to joint works (compendia, regional publications, etc.); referee for journals; referee for granting agencies; and editor/reviewer for disciplinary publications. Service to the University indicators must include service on a least one departmental or college or university

committee. Other indicators which will strengthen the candidate's portfolio for tenure or promotion may include the following, but specific criteria are established by the department: assigned or assumed institutional responsibilities; participation in events that showcase the Department, College and/or University; contributions to efforts or events that encourage or require inter-unit collaboration; leadership/participation in "all-campus" events; and representation of the Department, College, or University to the public.

4.8 Inclusion of Materials in Promotion and Tenure Portfolios

4.8.1 The format prescribed by the University, outlined in the current *NDSU Guidelines for Promotion and Tenure*, serves as the official guideline to prepare the application for promotion/tenure. This standard format is intended to expedite the review process. Some categories within the format may not be applicable to all portfolios, and blanks are not necessarily considered deficiencies. When entries could justifiably be listed in any of several categories, applicants should exercise judgment, but record the accomplishment only once. The candidate's entire record at NDSU should be included in the portfolio, but the primary focus of the evaluation will be on the period of review. Copies of all annual evaluations for the period of review shall be included in the candidate's portfolio. The candidate shall ensure that the dossier is complete, current, accurate, and ready for review.

4.8.2 Applicants are entrusted to prepare accurate and concise representations and/or summaries of activities. Candidates must have available, if requested, a copy, or parts thereof, of supplemental materials that illustrate the candidate's achievements in teaching, research, and service referred to in the portfolio. Submitting such documents in an appendix is necessary only if requested.

4.8.3 Additions to the portfolio subsequent to November 1 will be written and be limited to: a) the reports of the College PTE Committee and of the Dean; b) materials requested by the College PTE Committee or by the Dean (Note: Items in b) will be reciprocally shared so the PTE Committee and Dean review identical portfolios); and c) any responses by the candidate to the report(s) of the College PTE Committee and/or of the Dean (per Section 4.5.4 of this document). At the time that any written materials are added to the candidate's dossier, copies of the added material must be sent to the candidate for review. All additions must be signed and dated by the candidate.

5.0 College of Science and Mathematics PTE Committee

5.0.1 The mission of the College of Science and Mathematics PTE Committee is to promote uniformity in the PTE processes across the College. This will be accomplished by: 1) reviewing tenure and promotion applications and making recommendations to the Provost/VPAA; 2) conducting third-year reviews of probationary College faculty, and 3) completing other evaluations or tasks as requested by College of Science and Mathematics administrators.

5.0.2 The position description, departmental PTE criteria, performance documentation, and evaluations are used by the College PTE Committee in evaluating candidates for promotion and/or tenure.

5.1 College PTE Committee Membership and Elections

5.1.1 The College PTE Committee should be as reflective as possible of the College's breadth of disciplines and fields of expertise. No more than one member of the same department may serve on the committee at one time. The College PTE Committee will consist of five faculty members elected by the tenured or tenure-track faculty of the College. Each member will be elected for a term of two (2) years and may be re-elected. Only tenured faculty members who have completed three years of full-time appointment with the University are eligible for election. The College PTE Committee is part of a process of peer review. Thus, faculty holding administrative appointments are not eligible. (Administrative appointment includes appointments as Vice President, Dean, Associate or Assistant Dean, Chair or Head, or Associate, Assistant, or Vice Chairs/Heads of an academic unit, including those who hold interim positions).

5.1.2 Committee members will be elected by the College of Science and Mathematics faculty holding academic rank at a meeting of the College faculty. To provide continuity, no more than three faculty are normally elected to full terms at any one time.

5.1.3 Members of the CSM PTE committee may neither participate in discussion nor vote on cases of current or former immediate family members: parent by birth or adoption, spouse, partner, son or daughter by birth or adoption, stepchild, brother or sister by whole or half blood or by adoption, brother-in-law, sister-in-law, or son-in-law or daughter-in-law.

6.0 Departmental PTE Committees and Policy

6.1 Because academic units in the College Science and Mathematics vary considerably in faculty size and composition, the College does not prescribe departmental PTE committee guidelines beyond those in NDSU Policy. Departments are to describe the composition of their PTE committees (if applicable) and the methods of operation of that committee in their approved Departmental PTE Guidelines. Only tenured faculty members who have completed a minimum of three years of full-time appointment with the University and who have attained the rank of Associate Professor or above are eligible for election with full voting rights to a Departmental PTE Committee. Faculty members being considered for promotion may not serve while under consideration. When reviewing applications for promotion of Professors of Practice or Research Professors, departmental PTE committees are encouraged to solicit advisory input from Associate/Full Professors of Practice or Research Professors. If allowed by department policies, departmental PTE committees may include representation from Associate/Full Professors of Practice or Research Professors holding terminal degrees. Voting rights for Professors of Practice or Research Professors on applications for promotion shall be determined by the respective departments. Only in cases where department policy allows can Professors of Practice or Research Professors who hold positions in the evaluating unit have voting rights on applications for promotion of Professors of Practice or Research Professors, respectively. Departmental PTE Committees are referred to the NDSU and College guidelines for minimal components of their evaluation and recommendation report.

6.2 The faculty of each department will also develop a statement of criteria and standards for promotion and tenure that will be reviewed and approved by the College PTE Committee and the Dean to assure consistency with the College's promotion and tenure criteria. The College and Departmental statements, and any subsequent changes, will be reviewed and approved by the Provost/VPAA to assure consistency with NDSU and SBHE policies.

6.3 The candidate's portfolio will be submitted to the Department chair or head of the academic unit for review at the Departmental level using the procedures developed by the Department.

¹This document has been adapted from a document entitled "*Policy and Procedures for Promotion, Tenure, Evaluations, Dismissals, Terminations, and Nonrenewals*" from the College of Agriculture, Food Systems, and Natural Resources at North Dakota State University (April 17, 2003).

²This document was approved by a college-wide meeting of the faculty of the College of Science and Mathematics on March 7, 2006.

³Approved with editorial revisions by the VPAA/Provost on April 10, 2006

⁴ Approved with editorial revisions by a college-wide meeting of the College faculty on October 7, 2008.

⁵ Updated for consistency with University policy on May 5, 2010.

⁶Updated and amendments added as per college-wide faculty meeting on March 4, 2014.

⁷This document was amended with the addition of 4.5.2.1 and approved by a college-wide meeting of the faculty of the College of Science and Mathematics on January 14, 2016.

⁸This document was amended with the change to 4.2 and approved by a college-wide faculty meeting on April 5, 2018.

⁹Updated for consistency with University policy with changes to 4.4.1, 4.5.1 and 4.5.21 and approved by a college-wide faculty meeting on April 24, 2019.

¹⁰This document was amended with the change to 6.1 The change allows department PTE Committee to solicit input from Associate/Full Professors and Research Professors when reviewing applications for professors of practice and research professors. This was approved at a college-wide meeting of the faculty on 11/4/19.