As a departmental unit of North Dakota State University (NDSU), we align with the North Dakota University System Roundtable mission, NDSU’s mission, and the College of Agriculture, Food Systems, and Natural Resources mission. The department mission states “VMS serves the local, national and international communities by teaching the concepts and applications of microbiology in a student-centered environment and by using our unique expertise to explore novel research in microbiology and disease pathogenesis. Our department values lifelong discovery, intellectual integrity, collegiality, and diversity”. These missions all include at their core teaching, research and service.

Evaluation, promotion, and tenure are of fundamental importance to the long-term ability of the department to carry out its mission. Below are the institutional policies and guidelines that are the framework for this department’s promotion, tenure and evaluation policies. Faculty are expected to be familiar with these policies.

NDSU Policies - [http://www.ndsu.edu/policy/](http://www.ndsu.edu/policy/)

350.1 - Board Regulations on Academic Freedom and Tenure, Academic Appointments
350.2 - Board Regulations on Standing Committee on Faculty Rights; Special Review
350.3 - Board Regulations on Nonrenewal, Termination or Dismissal of Academic Staff
350.4 - Board Regulations on Hearings and Appeals
352 - Promotion, Tenure, and Evaluation
353 - Grievances - Faculty

NDSU Guidelines for Promotion and Tenure Portfolio Preparation - [http://www.ndsu.edu/vpaa/forms_and_resources/](http://www.ndsu.edu/vpaa/forms_and_resources/)

College of Agriculture, Food Systems, and Natural Resources Policy and Procedures for Promotion, Tenure, Evaluations, Dismissals, Terminations, and Nonrenewals - [http://www.ag.ndsu.edu/academics/policy-promotion.htm](http://www.ag.ndsu.edu/academics/policy-promotion.htm)


605.1 Academic Freedom and Tenure; Academic Appointments
605.2 Standing Committee on Faculty Rights
605.3 Nonrenewal, Termination, or Dismissal of Faculty
605.4 Hearings and Appeals
605.5 Mediation

This document describes the policies, guidelines, and procedures for evaluation, promotion, and tenure recommendation as determined by the department. The criteria set forth here are to be followed by all evaluators, including the college PT&E committee and upper level administrators.
I. Evaluation Policies and Processes

A. Job Descriptions

1. Each faculty member shall have a job description (tenure plan per NDSU Policy 350.1.3.b) defining appointments and expectations in the areas of teaching, research, and service. Additional duties such as diagnostics and administration are to be included if appropriate. Goals with measurable outcomes and special initiatives should be included.

2. Job descriptions are to be updated annually and signed by the faculty member and department head. It is the responsibility of both the faculty member and the department head to ensure that job descriptions are updated in a timely manner.

3. Faculty are expected to utilize formal and/or informal mentoring to ensure job descriptions fit with the institution and department missions and the career goals of the faculty member.

4. Job descriptions are to be included in documentation for evaluation.

5. Evaluators are to adjust their evaluations based upon the job description, and must take into consideration changes in job descriptions over time.

B. Timeline for tenure

1. Each probationary faculty member should have a clear timeline towards tenure application delineated by the department head.

2. This timeline must be included by all probationary faculty in their portfolio materials.

C. Department level evaluators include the department head and the departmental PT&E committee; each performing separate and independent evaluations.

1. The department head shall evaluate all faculty on an annual basis.

2. The departmental PT&E committee

   a. Membership of the committee shall include all eligible, tenured faculty members. It is expected that all tenured faculty shall serve on the committee.

   According to Policy 352, “5.2 Only tenured faculty members who have completed three years of full-time appointment with the University and who have attained the rank of associate professor or above are eligible for election to a college or department PTE Committee. Faculty members being considered for promotion may not serve while under consideration.” Only official committee members have voting rights for purposes of recommending tenure and/or promotion.
b. A committee chair shall be selected each year within the committee. The chair shall organize and chair the committee meetings and be responsible and accountable for timely communication of the committee’s work to the department head and the faculty. If the committee is not functioning in a timely and productive manner, then the department head can step in to work with the committee to ensure the functionality of the committee.

c. Committee members shall serve the annual term from July 1 through June 30.

d. For each evaluation for tenure and/or promotion the committee shall record votes for or against approval in the letter of evaluation.

e. Each committee member is to sign the letters of evaluation presented by the committee.

D. Documentation of performance

1. The portfolio used for comprehensive review shall follow the NDSU Guidelines (link on page 1).

2. The portfolio for faculty applying for tenure and/or promotion (to associate or full professor) shall be comprehensive to the time of hire.

3. All portfolios must contain applicable job descriptions.

4. Portfolios presented by yet to be tenured faculty must include the timeline for tenure.

5. Portfolios must contain the correct version of the department PT&E document. The department office maintains dated copies. Probationary faculty should have received a copy of the version to use at the time of hire. Tenured faculty shall include the currently approved version of the document.

6. Faculty are encouraged to describe how their performance aligns with the missions of the institution and department in the context statement of the portfolio.

7. Faculty are encouraged to have their portfolios previewed for advice from PT&E committee members and/or mentors prior to formal submission for review. This will ensure the quality of the portfolio and prevent problems.

8. As per the CAFSNR PTE document, internal letters of support from peer scientists and/or clientele are required for promotion to Associate Professor and Professor. External letters are not required for tenure or promotion from Assistant Professor to Associate Professor but two external letters are required for promotion from Associate Professor to Professor. A “peer scientist” that provides a support letter should have a rank similar to or
higher than the rank being sought by the candidate, have a focus in scholarship similar to the candidate, and should not have a conflict of interest with the candidate (ie. advisee, advisor, co-author, co-investigator, etc.). The letters are solicited by the Department Head, and the candidate may suggest persons to provide letters. A minimum of three letters should be included. The department head shall ensure that they are added to the portfolio by the last business day in September.

No other letters may be included unless otherwise indicated or highly relevant to establishing the positive impact of the faculty member’s work. Faculty members are encouraged to visit with the department head and/or PT&E committee chair to determine appropriateness of support letters.

9. If the department head requests a departmental annual update, the information covered shall be for the time period specified by the department head.

E. Annual evaluation of performance

1. All faculty will be evaluated against their job descriptions. Feedback would include a statement addressing progress made toward promotion and/or tenure, exceptional accomplishments, or areas for improvement. Reviews will be consistent with college policy (http://www.ag.ndsu.edu/academics/policy-promotion.htm). Refer to the college policy for non-renewals and extension of probationary periods.

2. Probationary faculty

a. Evaluation shall be done separately and independently by the department head and the PT&E committee. Documentation shall include the cumulative portfolio. The department head may also request an annual faculty update. As stated in the college policy “Annual reviews for probationary faculty must be written and contain: 1) an overall recommendation for renewal or nonrenewal without cause; 2) a statement on progress toward tenure/promotion; 3) a separate evaluation of each job component; which at a minimum addresses performance in teaching, research, and grantsmanship, and service to the academic discipline, stakeholders, and the university; 4) goals and expectations for the upcoming review period; and 5) signatures of faculty member and Chair/Head indicating that the review has been transmitted (does not necessarily imply agreement.” (CAFSNR Policy and Procedures for Promotion, Tenure, Evaluations, Dismissals, Terminations, and Nonrenewals, section 4.1.1.1).

3. Tenured faculty

a. “Annual reviews of tenured faculty will be done by the department Chair/Head or designee, and will be completed by March 1 of each year” (CAFSNR Policy and Procedures for Promotion, Tenure, Evaluations, Dismissals, Terminations, and Nonrenewals, section 4.2.1). As per NDSU Policy 352.4.6, “For Associate Professors, annual reviews must include specific recommendations to strengthen the
case for promotion. Annual reviews of Professors must recognize and reinforce areas of strength, as well as discuss areas of weakness and recommend improvements. Should the annual reviews indicate that performance of a faculty member is unsatisfactory under the standards for post-tenure review, the report shall include a recommendation for appropriate remedial action.”

F. Process and procedure for submitting and reviewing materials for evaluation

1. Annual faculty updates shall be administered by the department head

2. Portfolios of faculty being evaluated for annual or post-tenure review shall be submitted no later than the last business day of September.

   a. Once submitted, no further changes shall be made to the portfolio by the faculty member unless requested by the department head or the PT&E committee.

   b. One electronic file of the portfolio in a PDF format and one paper copy of the portfolio shall be submitted to the department head, or department head designee.

   c. An official paper and electronic copy of the portfolio with the department stamp shall be maintained and updated in the department main office.

   d. The department head shall forward electronic copies of the portfolio to the PT&E committee upon receipt.

   e. Timeline for department level evaluation completion

      i. Letters of evaluation for faculty applying for promotion and/or tenure shall be completed by October 15 to allow time for the applicant to complete a written response before the official portfolio is forwarded to the college.

      ii. Letters of evaluation for faculty submitting the third year review shall be completed by January 15 to allow time for the applicant to complete a written response before the official portfolio is forwarded to the college.

      iii. Annual evaluations of probationary faculty (years 1, 2, 4 and 5) shall be completed by February 1.

   f. Copies of all official documentation, including items added after the last business day in September shall be distributed to the:

      i. Official copies
      ii. Applicant
      iii. Department head
      iv. PT&E committee members

   g. It is the department head’s responsibility to ensure that the portfolios of applicants applying for promotion and/or tenure are properly updated. The faculty member and PT&E committee chair may also check to ensure that the portfolio is properly
updated. The PT&E committee shall be accountable to the department head for timely submission of review letters to the faculty under review and to the official copies.

h. For portfolios requiring college level review, the official copies shall be forwarded by the department head to the dean by the designated due date. Copies shall be retained in the department office.

II. Criteria

A. The criteria delineated in this section are to serve as the guide for development of individual job descriptions to ensure faculty job expectations align with the mission of the unit. Evaluators are to determine if reported outcomes as presented in the portfolio meet the expectations for specific measures of criteria as described in the job description(s).

B. The department values scholarship in all areas, i.e. teaching, research and service, and recognizes that some scholarly activities may overlap within these categories. This concept is displayed in the Venn diagram below. Where overlaps may occur, the faculty member shall place the description within only one of the appropriate heading areas in the portfolio, but should include descriptive text to describe how the activity described overlaps into other areas.

NDSU is seriously committed to equity and diversity, and these are part of the core academic missions for the institution and the department. Faculty contributions to diversity made through teaching, research, service and/or other duties shall be valued. Faculty members are encouraged to include descriptive language to highlight activities that include diversity initiatives.

Although faculty members are expected to present evidence of independent abilities, the department also values teamwork and collaborative efforts and recognizes that such activity is essential for a vibrant, innovative and productive institution. Faculty members are encouraged to include descriptive language to highlight collaborative activities, describe their roles in the efforts, and identify proactive team-building roles.

Faculty members are encouraged to point out efforts that have had positive societal impacts, as these efforts are of value to the department. Faculty are encouraged to visit with the department head and/or PT&E committee to discuss appropriate pieces of evidence, beyond those listed below, that may be included in the portfolio to highlight impacts of efforts.
C. Probationary faculty review - These criteria cover expectations for pre-tenure faculty performance review and for consideration for promotion from Assistant Professor to Associate Professor and/or Tenure.

1. Teaching

   a. Course and student rating of instruction information is required as described in the NDSU portfolio guidelines (see page 1 for link).

   b. These examples of criteria are shown in order of value to the department, from highest value to lowest value:

      i. Development and communication of scholarly, creative, and innovative teaching methods, courses, resources, or curricula

      ii. Summary of single-course assessment techniques and outcomes

      iii. Peer review of teaching documentation that may include course content, materials, and design; teaching methods;

         - University Peer Mentoring Program participation with a short summary of the outcome;

         - Summary(ies) of other examples of peer-review of teaching

      iv. Receipt of awards or special recognition for instruction

      v. Grant and contract proposals or awards for support of innovative instructional and teaching methods or materials, or curriculum development.

      vi. Summary of contributions to program assessment

      vii. Curricular development

      viii. Summaries of student rating of instruction scores.

2. Research

   a. Development of an independent high quality, active research program in which individual and collaborative efforts are valued. Independent research includes the contributions by the faculty member and other members of their laboratory group to the development of the problem or question, the experimental design, generation of data, analysis of data, interpretation of outcomes, and communication of research results. Collaborative research must also include active participation in the development of the problem or question, the experimental design, and the generation of data, analysis of data, interpretation of outcomes, and communication of research results.

   b. In descending order of importance, examples of evidence of activity and productivity to meet the criteria for research are shown below. Furthermore, the evidence has been grouped into two levels – peer-reviewed and non-peer reviewed, also in order of priority. Evidence of activity and productivity from each of the two levels is required for tenure and promotion.

   Evidence may include, but is not limited to:
Peer-Reviewed:
  i. Publication in appropriate, peer-reviewed media is required
  ii. Grants and contracts awarded to support the faculty member’s scholarly research
  iii. Invited reviews, chapters, books, and keynote addresses
  iv. Receipt of patents
  v. Grant proposals that have been declined

Non-Peer Reviewed:
  vi. Publication and presentation in non-peer reviewed media.
  vii. Receipt of awards or special recognition for scholarly research activities
  viii. Presentations of scholarly research that may include professional meetings, lectures, and community organizations
  ix. Grant proposals that are pending
  x. Impact of research and scholarly activity to the science, community, or society

3. Service

a. For tenure and promotion, evidence of activity and productivity to support criteria under i. is required. Evidence of activity and productivity to support criteria under ii. and iii. are preferred.
   i. Active participation and contributions to departmental, college, and/or university governance and programs. Shown in no particular order, evidence of contributions to academic service may include, but are not limited to:
      • Receipt of awards or special recognition for academic service
      • Participation in and leadership in academic governance and programs
      • Peer, clientele, and administrative evaluations of the individual’s contributions to academic service
   ii. Active participation and contributions to public outreach. Shown in no particular order, evidence of contributions to public service may include, but are not limited to:
      • Receipt of awards or special recognition for public service
      • Participation in and leadership roles in service to the public
      • Clientele evaluations of the individual’s contributions to public service
   iii. Active participation and contributions to professional organizations. Shown in no particular order, evidence of contributions to professional service may include, but are not limited to:
      • Receipt of awards or special recognition for service to professional organizations
      • Leadership roles in professional organizations
      • Activities associated with the individual’s professional development and the furtherance of scholarly/professional interests or achievements
      • Colleague and constituent evaluations of participation and contributions to professional organizations
4. Professional Veterinary Diagnostic Investigation

a. To meet the requirement for professional service to the VDL, the faculty member must make substantial contributions to veterinary diagnostics. These items shall contain descriptive language to help reviewers distinguish activities from teaching, research and service. Evidence of activity and productivity to meet the requirement in veterinary diagnostic investigation may include, but is not limited to:

- Effective collection, analysis, interpretation and communication of diagnostic information
- Peer and client evaluation of communication skills and diagnostic service
- Publication or presentation of animal health problems
- Presentation and publication of scholarly activity related to veterinary diagnostic investigation in peer-reviewed media
- Grant and contract proposals submitted and awarded to support veterinary diagnostic investigation and related activities.
- Specialized certification or licensing in the individual’s area of expertise
- Effective interaction with professional, extension, and producer/client groups
- Receipt of awards or special recognition for diagnostic service

D. Review of tenured faculty – these criteria cover expectations for post-tenure faculty performance review and for consideration for promotion from Associate Professor to Professor. The department shares the philosophy that Associate Professors who demonstrate sustained productivity and a reputation commensurate with regional, national, or international recognition in veterinary and microbiological sciences will be eligible for promotion to the rank of Professor.

For promotion from Associate Professor to Professor, faculty must continue to meet criteria for teaching, research, and service used for granting of tenure and promotion to Associate Professor, as appropriate to the job description. In addition, promotion to the rank of Professor requires regional, national, and/or international scholarly recognition for positive distinction of effort.

1. Teaching

a. Evidence of teaching contributions may include, but are not limited to:

- Publications concerning teaching, teaching methods, or other pedagogic subjects in refereed journals.
- Major contributions to the organization or improvement of curricula
- Authorship of textbook(s), workshop manuals or other pedagogical tools
- Evidence that authored pedagogical tools are adapted by others
- Participation in, organization of, and/or leadership of short courses or workshops on teaching, including regional or national venues.
- Invitations to lecture in symposia, write reviews, etc., on education in veterinary and microbiological sciences.
• Extramural grants for innovation in education
• Extramural letters of recommendation with favorable mention of contributions to education or outstanding training of students
• Teaching awards
• Mentoring student associations relating to the discipline
• Mentoring junior faculty members and/or teaching assistants in the scholarship of teaching

2. Research

a. To meet the requirement for research, the faculty member must make substantial, scholarly contributions to research which are recognized regionally, nationally and/or internationally. Evidence of research contributions may include, but are not limited to:

i. Publications that indicate establishment of a leadership position in the field. The impact of scholarly contributions might be demonstrated by, but not limited to:
   • Strong, positive evaluations in extramural letters of recommendation.
   • Invitations to participate in other projects, seminars, workshops, or conferences as a result of a publication.
   • Citations in important publications or the frequency of citations. If these are used as a measure of impact, standards appropriate to the field and to peers must be employed.
   • Quality of the journal in which a publication appears. If journal quality is used as a measure of quality of publication, standards appropriate to the field must be employed. We recognize that the Institute for Scientific Information impact factors (or similar measures) of journals are a poor proxy for quality of a journal in the sense that while journals with high impact factors generally have high impact and are of high quality, the converse may not be true.
   • Broad acceptance or application in society.

ii. Extramural, peer-reviewed grant support in which the candidate provides major intellectual and management leadership

iii. Recruitment and research mentorship of postdoctoral trainees, visiting faculty, and/or research assistants

iv. Invitations to present lectures, participate in symposia, write review articles, etc.

v. Research awards

vi. Patents, licenses and contracts.
3. Academic Service to the Institution, Profession and Community

a. Academic service is essential to the mission of the department and is expected of the faculty at all levels. This includes membership on committees that lie within the faculty member’s expertise, and other contributions that serve the mission of the department. In addition, the candidate for Professor must exhibit strong leadership in the College, University, and/or external community. Evidence of service activity and impact that meets the standard required of Professors may include, but is not limited to:

- Leadership/governance activities in areas of assigned responsibility or expertise
- Leadership in departmental initiatives and program development
- Mentorship of faculty and staff.
- Leadership in and contribution to college and/or university programs and initiatives
- Leadership in regional, national and/or international professional associations
- Leadership in community and societal initiatives
- Awards and other recognition of service activities

4. Professional Veterinary Diagnostic Investigation

a. To meet the requirement for professional service to the Veterinary Diagnostics Laboratory, the faculty member must make substantial contributions to veterinary diagnostics and should be recognized regionally, nationally, and/or internationally. Evidence of activity and productivity to meet the requirement of excellence in professional service to the VDL may include, but is not limited to:

i. Consistent professionalism and provision of accurate and prompt diagnostic services

- Effective service might be demonstrated by strong evaluations in extramural letters of recommendation, appropriate turnaround times, letters of thanks from clients, and the absence of complaints from clients.
- Effective service might also be demonstrated by a consensus among peers that a correct diagnosis is consistently rendered.

ii. Invitations to present at regional, national, and international meetings to inform stakeholders and policy makers about animal disease/microbiological issues

iii. Use of professional expertise to educate public interest groups and policy makers about issues of importance in animal health, public health or disease surveillance.

III. Changes to Department of Veterinary and Microbiological Sciences (VMS) Promotion, Tenure and Evaluation (PTE) Procedures and Criteria document

A. The VMS Policy and Procedures for Promotion, Tenure, Evaluations, Dismissals, Terminations, and Nonrenewals must be modified to comply with SBHE and NDSU
policies, to correct errors, to edit for clarity, and to respond to issues that are not well addressed. To provide greater responsiveness, the faculty of the VMS grant to the representatives on the VMS PTE Committee the authority to make editorial changes, correct errors, inconsistencies, or format, and to make those changes that bring our policies in line with NDSU and SBHE policies, and place those changes into effect without a vote of the VMS faculty, but subject to ratification if called for at the next VMS faculty meeting. VMS faculty will vote on substantive changes during a VMS faculty meeting. A majority vote is required to amend previously adopted policies and procedures, provided previous notice has been given. A summary of the corrections/edits will be forwarded to the Dean/Director AES, Director NDSU Ext. Ser., and Provost/VPAA, for their approval. Upon approval, faculty will be informed of the changes to the policy. The VMS Policy and Procedures for Promotion, Tenure, Evaluations, Dismissals, Terminations, and Nonrenewals will be placed on the departmental Web site.

IV. Approvals

VMS Faculty – February 10/28/2009; updates to Section III. 2/16/2011

Charlene Wolf-Hall  Date: January 5, 2012
Department Head

Kenneth Grafton  Date: 1/12/12
Dean

Bruce Rafert  Date: 1/17/12
Provost