Department of Computer Science
North Dakota State University
Tenure and Promotion Policy

Approved by Department: May 8, 2006
Approved by Dean Schwert, College of Science & Mathematics, May 30, 2006
Amended to be consistent with college and university policy, July 2010
Amended Supervision section, October 2020, and overall document, March 2021; Approved by Department, May 11, 2021

0. Scope

This policy covers the Departmental procedures for third-year review of pre-tenure faculty and for promotion and tenure. Satisfaction of the minimum requirements described here does not imply automatic granting of the promotion and/or tenure for which a candidate has applied. Each case is evaluated for individual merit, and no formulas apply.

1. References

This policy is consistent with the Tenure and Promotion Policy of the College of Engineering. If this policy should conflict in any way with the College policy or with University policies, the College and University policies prevail. The relevant University Policies include:

a.   350.1: Board Regulations on Academic Freedom and Tenure, Academic Appointments
b.   352: Promotion, Tenure, and Evaluation
c.   350.2: Board Regulations on Standing Committee on Faculty Rights; Special Review
d.   350.4: Board Regulations on Hearings and Appeals
e.   353: Grievances - Faculty

2. Composition of Department Promotion and Tenure Committee

This policy is implemented by the Department Promotion and Tenure (PT&E) Committee and the Department Chair/Head. This Department Committee consists of all tenured associate and full professors. In instances where a professor of practice is being reviewed by the Department Committee, all associate and full professors of practice shall participate in the Department Committee evaluation of the professor of practice only. To be eligible, a faculty member must have been a full-time member of the Department for at least three years prior to the commencement of their service on the Department Committee. Faculty with administrative responsibilities are not eligible to serve on the Department Committee.

 The Department Committee shall be comprised of no fewer than three members. If the Department does not have a sufficient number of tenured associate and full professors, or in cases where Department members are not available for service on the Department Committee, then the Department Committee will also include select tenured faculty of similar caliber from other College Departments (as nominated, appointed, or selected by the Department in consultation with the Dean).

Annually in April of each year, the Department Committee will elect a Committee Chair as well as a College PT&E Committee Representative. If the Committee Chair or College PT&E Committee Representative becomes unavailable to serve, for any reason, the Department Committee shall immediately elect a replacement Chair or College PT&E Committee Representative. Prior to the commencement of deliberations, the Committee Chair must have received PT&E committee training within the last three years, provided by the Office of the Provost. Faculty members and administrators being considered for promotion cannot be involved in any candidate review and recommendation process while under consideration. The representative of the PT&E

committee who serves on the College PT&E Committee will have voting rights on that committee as determined by College and NDSU policies.

3. Departmental PTE Philosophy

The Department of Computer Science follows the COE PTE philosophy in regard to scholarship. The qualities of a Scholar are defined as:

1. Integrity – Scholars must be truthful and fair in presenting their work.
2. Perseverance – Scholars must be curious, exhibit a reasonable level of productivity, and seek to perfect their work over a lengthy period.
3. Courage – Scholars must be able to risk disapproval in the name of truthfulness, and must be willing to take on difficult work in the spirit of answering original and important questions.
4. Collegiality – Collegiality, as defined by University policy, enhances the ability to be effective in teaching, research/creative activity, and service. Scholars are encouraged to accept and share responsibility for a productive and collegial workplace and to contribute to collegiality by being ethical, courteous, respectful of diversity and helpful to others, and respect the needs of others in all aspects of conduct.

Candidates who are reviewed under this policy are expected to show integrity, perseverance, courage, and collegiality in all aspects of their work.

4. Third-Year Review

a. Process

The College PT&E document details when the third-year review must occur. Candidates for this review are expected to determine when they are subject to the third-year review and to begin the process at the start of the fall semester in which they will be reviewed the following spring.

The candidate may use either the Department PT&E policies under effect when they were hired for a tenure-track position or the current policies. The candidate must indicate clearly which set of policies apply. This indication must be delivered to the Department PT&E Committee and to the Department Chair/Head before the dossier is made available.

The candidate prepares a portfolio according to College and University requirements.   The portfolio must be delivered to the Department PT&E Committee by the second Tuesday in January. That Committee reviews the portfolio and prepares a report by the first Tuesday in February. The report is submitted to the Department Chair/Head and to the candidate. The original of the report is added to the portfolio. This report should explain the Committee's evaluation of the candidate's progress towards tenure and make constructive recommendations assisting the candidate towards becoming a strong candidate for tenure. The candidate may respond to the Committee recommendation within 14 calendar days of receiving it. Any such response will be added to the portfolio.

The Department Chair/Head prepares a similar report by the first Tuesday in February. The original of this report goes in the portfolio. Copies are given to the candidate and placed in the candidate's Department personnel file. The candidate may also respond to the Department Chair/Head report within 14 calendar days of receiving it, and any such response will be added to the portfolio. The Department Chair/Head is responsible for transmitting the portfolio to the College office by the third Tuesday in February.

b. Expectations

i. Research

The candidate should have an active research program well underway. Collaborative research efforts are encouraged, but the candidate's significant contribution to these efforts should be identified.

The candidate should submit publications to high quality, refereed media. At least one grant proposal to a national, competitive source of external funding must have been submitted. Candidates should be prepared to provide reviews of pending publications and of submitted grant applications, if so requested.

Additional evidence includes any of the following:

- a. advising M.S. and/or Ph.D. students on their research;
- b. reviewing or refereeing manuscripts or proposals;
- c. research-oriented presentations;
- d. service on editorial boards or conference committees.

ii. Service

Service expectations for faculty subject to third-year review are minimal. The candidate should have been an active participant in Department faculty meetings and have participated in some Departmental, College, or University service.

iii. Teaching

Any faculty member is expected to teach a variety of undergraduate and graduate courses as assigned to meet Department needs. The candidate should be able to demonstrate competent teaching, concern for student learning, and desire to improve his or her teaching.

Competent teaching is shown using data collected from the instructor, students, and peers. Faculty should highlight the teaching responsibilities with clear and appropriate goals, adequate preparation, use of appropriate methods, and effective presentation (demonstrated in the narrative section of the PTE portfolio). Student ratings of instruction should be approximately average or above in most courses taught, and especially in those taught during the most recent two semesters before the third-year review. The baseline peer reviews of teaching described in Section 7.d.ii represent a third tool for assessing competent teaching.

Teaching improvement efforts may include participation in University-sponsored teaching improvement activities, participation in formal or informal peer review of teaching beyond that required by this policy, or participation in teaching-oriented professional meetings.

5. The Process for Promotion and/or Tenure Application

The Department Chair/Head is responsible for informing the Department PT&E Committee of expected candidates by August of each year. The candidate may use either the Department PT&E policies in effect when they were hired for a tenure-track position or the current policies. The candidate must indicate clearly which set of policies apply. Candidates are encouraged to seek input from the Department PTE Committee on ensuring that their portfolio presents the best possible case for this candidate.

The portfolio must be submitted to the Department Chair/Head by the second Tuesday in September. The Department Chair/Head will forward the portfolio to the Department PTE Committee.

The Committee and Department Chair/Head will prepare written evaluations following to the PTE Timeline published by the Office of the Provost. The PTE Committee evaluation must include a tally of a vote of the Committee and discuss all the areas of evaluation for the promotion and/or tenure. Copies of the written evaluations will be sent to the candidate and placed in the candidate's Department personnel file. The official evaluations will be placed in the candidate's portfolio.

The candidate may respond to the Committee evaluation and/or the Department Chair/Head evaluation in writing according to the PTE Timeline published by the Office of the Provost, if he or she wishes. This response must be submitted to the Department PT&E Committee and/or the Department Chair/Head respectively. A copy will be placed in the candidate's Department personnel file and added to the candidate's portfolio.

The Department Chair/Head is responsible for delivering all portfolios including both the Committee's evaluation and the Department Chair/Head's evaluation to the College of Engineering Dean's office according to the PTE Timeline published by the Office of the Provost.

6. Application for an Extension of Time Before Required Tenure Review

University policy describes the procedures in cases where probationary faculty may request an extension of the probationary period not to exceed three years based on exceptional personal, family or institutional circumstances. The request must go to the Office of the Provost who will approve or deny the request. Denial of an extension is appealable pursuant to Policy 350.4. Granting extensions does not increase expectations for performance.

Probationary faculty upon notification to the Office of the Provost will automatically be granted a one-year extension of the probationary period for birth of a child or adoption of a child (please refer to Policy 352, 3.6.1 for further clarification).

7. Criteria for Promotion to Associate Professor with Tenure

a. Timing

At the end of the probationary period as defined by NDSU Policy 352, the faculty member must apply for both promotion to Associate Professor and tenure. Section 8 of this document describes the criteria for early promotion to Associate Professor without tenure.

b. Research

i. Criteria

The candidate must demonstrate an active, high quality, independent research program of national stature. Collaborative research is viewed as productive scholarship and can contain independent contributions. The candidate must exhibit a research program that is a distinct advance from their Ph.D. dissertation. The candidate must describe a research agenda that includes future work that is significant and nationally important.

ii. Methods of Evaluation

The most important evidence a candidate can present is high-quality refereed publications to which the candidate has made significant, recognizable contributions. The candidate's role and contributions in collaborations that result in publications must be significant, clearly identifiable, and documented. A letter from a collaborator describing the nature and extent of the candidate's contributions is one form of

documentation. To be of high quality requires that the publication satisfies all three of these necessary (but not sufficient) conditions:

a. The full paper was refereed by multiple professional referees;
b. Written evaluations of the paper are returned to the candidate from the referees including specific suggestions for improvement or other comments;
c. The medium to which the paper was submitted has a significant rejection rate.

International journals with a reasonable impact factor and ACM or IEEE international conferences with competitive acceptance rates may qualify. Supportive evidence might include referees' reports for submitted manuscripts, conference committee report on acceptance rate, high rank in reputable citation indices or written opinions from major figures in the field. The candidate should submit evidence of several such publications over the evaluation period.

Candidates for promotion and tenure also should submit evidence of successful grantsmanship through awarding of funding or evidence that proposals, on which the candidate is principle or co-principle investigator, have received reviews that suggest that funding is very likely. Several grant proposals to competitive, external funding sources should have been submitted. While the focus is on proposals, on which the candidate is principle or co-principle investigator, submissions as senior personnel may also be relevant.

Additional evidence includes any of the following:

a. Supervision of Ph.D. and M.S. students who completed their degree programs;
b. Presentation of invited research seminars to research-active groups;
c. Service on editorial boards or conference committees;
d. Service as a reviewer of research proposals and/or a referee for publications.

c. Service

<u>i. Criteria</u>

The candidate should contribute to the service of the Department, the College, the University, and the profession. The candidate should be able to point out specific contributions made.

<u>ii. Methods of Evaluation</u>

The candidate is expected to be an active participant in Department faculty proceedings. While junior faculty are not expected to take on substantial service obligations, a candidate for promotion and tenure should have served on at least one Departmental and one College or University committee.

d. Teaching

<u>i. Criteria</u>

The candidate is expected to demonstrate quality teaching in all assigned courses. The candidate is also expected to show multi-year efforts to improve his or her teaching and demonstrate concern for student learning.

<u>ii. Methods of Evaluation</u>

The candidate's teaching narrative will be reviewed and evaluated based on the teaching responsibilities including the goals, preparation, use of appropriate methods, and effective presentation. The narrative should also integrate a reflective critique of the faculty's own work highlighting changes that have been made in

teaching methods along with the motivations for, and results of, those changes. The narrative should synthesize the faculty's body of teaching responsibility. The candidate's student ratings of instruction for all courses taught will be reviewed. Candidates are expected to show approximately average or above average ratings for most semesters in most courses, especially those during the most recent two years. Some improvement in these ratings from the first year to the most recent year in comparable courses is expected.

The candidate's instruction will be evaluated by a faculty member selected by the Department Chair/Head during at least one course in the second or third year of the candidate's service to the Department. These evaluations will form a baseline for later peer evaluations in the year prior to the candidate's application for promotion and tenure. Up to two faculty will be asked to do these later evaluations and compare them to the earlier evaluations. Any candidate may submit teaching materials created by that candidate for evaluation by the Department's Undergraduate or Graduate Coordinator, as appropriate.

Additional evidence includes any of the following:

   a. Evidence of participation in teaching improvement efforts;
   b. Course and curriculum development efforts;
   c. Evaluations by peers outside of those described above including faculty from other departments.

8. Criteria for Early Promotion to Associate Professor

a. Timing

When a candidate has exceptional achievements that surpass those required for promotion to Associate Professor at the time of tenure, that faculty member may apply for promotion to Associate Professor without tenure. At least three years of full-time service in the Department are required. The application for tenure will follow at the end of the probationary period as defined by NDSU Policy 352.

b. Research

i. Criteria

A candidate for early promotion is expected to exceed significantly the requirements for promotion and tenure described in the previous section of this document. The most likely area for the candidate to exceed those requirements is in research.

ii. Methods of Evaluation

The candidate must receive competitive, national research funding. The candidate's contribution to the proposal that led to this funding must be significant and identifiable. The candidate must be the principal investigator or co-principal investigator on this proposal. Further, the candidate must be an important member of the team doing the funded research. There must be evidence that the funding is likely to be sustainable.

The candidate must have significant, refereed publications that are internationally recognized as important. The candidate should have research results that are being used by other researchers as a basis for their own research.

Additional evidence may include any of the following:

   a. Requests by potential graduate students to come to our Department to work with the candidate;
   b. Invitations to collaborate on major research proposals and research programs with researchers at other institutions;

    c.   Evidence that the candidate's publications are regularly cited by other researchers working in the same areas;

    d.   Invited keynote presentations at national or international research meetings.

c. Service

i. Criteria

The requirements for early promotion in the service area are the same as for normal promotion and tenure as described in the previous section.

ii. Methods of Evaluation

The same methods of evaluation are used as for normal promotion and tenure as described in the previous section.

d. Teaching

i. Criteria

The requirements for early promotion in the teaching area are that the candidate's achievements should surpass those required for promotion to Associate Professor. Extraordinary teaching accomplishments can strengthen a candidate's application for early promotion but will not serve by themselves.

ii. Methods of Evaluation

The methods described in the previous section for regular promotion to associate professor with tenure will be followed.

Additional evidence includes any of the following:

    a.   A teaching award or distinction;

    b.   Leadership in developing new teaching methods or practices;

    c.   Leadership in developing a new or revising an existing Departmental curriculum;

    d.   Leadership in developing or adopting a new method of assessment.

9. Criteria for Promotion to Professor

a. Timing

The College policy on tenure and promotion describes the service as Associate Professor expected before promotion to Professor may be attempted. Any Associate Professor who wishes to apply for promotion is required to inform the Department Chair/Head by June 1st of the year in which the person expects to make an application.

b. Research

i. Criteria

The candidate must demonstrate a level of research performance substantially exceeding that required for promotion to Associate Professor. Their independent research program must be competitive for external funding from national sources. They must show leadership in research, which might include leading research teams, significant mentoring of other faculty and of graduate students, or other substantial research activities.

<u>ii. Methods of Evaluation</u>

The same methods of evaluation are used as for promotion to Associate Professor, but the successful candidate must demonstrate a research program that has been nationally competitive for several years and shows the potential to continue to improve for several additional years.

In addition, the candidate must demonstrate leadership in research through showing significant mentoring of other researchers. This demonstration should include the graduation of M.S. and Ph.D. advisees, and collaboration with other faculty (locally or from elsewhere) in the candidate's research. Additional evidence may include any of the following:

a. Requests by potential graduate students to come to our Department to work with the candidate;
b. Invitations to collaborate on major research proposals and research programs with researchers at other institutions;
c. Evidence that the candidate's publications are regularly cited by other researchers working in the same areas;
d. Invited keynote presentations at national or international research meetings.

c. Service

<u>i. Criteria</u>

The candidate must demonstrate service to the Department, College, to the University and to the profession.

<u>ii. Methods of Evaluation</u>

The same methods of evaluation are used as for promotion to Associate Professor. In addition, the candidate should have served on at least one University-level committee and made significant, identifiable contributions to departmental goals as determined by the Department PT&E committee. The candidate should have chaired at least one committee.

d. Teaching

<u>i. Criteria</u>

The candidate must be a capable teacher who has taught a variety of undergraduate and graduate courses for the Department. The candidate should demonstrate leadership in curriculum or course development or improvement for the Department.

<u>ii. Methods of Evaluation</u>

The same methods of evaluation are used as for promotion to Associate Professor with tenure. In addition, the candidate should have served in a leadership position for curriculum or course improvement either for the Department or for the profession. Additional evidence includes any of the following:

a. A teaching award or distinction;
b. Leadership in developing new teaching methods or practices;
c. Leadership in developing a new or revising an existing Departmental curriculum;
d. Leadership in developing or adopting a new method of assessment.

10. Criteria for Tenure When Already Associate Professor

The length of the probationary period is defined by NDSU Policy 352. A faculty member who is already in the rank of associate professor at the end of his or her probationary period, has to demonstrate that the criteria

for tenure, outlined in Section 7, are met for the entire probationary period, including the time after the last promotion.

11. Professor of Practice

Faculty in Professor of Practice and Research Professor positions are not eligible for tenure. Promotion through ranks is encouraged and is based on time in rank and satisfactory evaluations of assigned responsibilities. An application for promotion is initiated via a departmental recommendation and follows the same procedure and submission deadlines as for tenure-line faculty.

The same evaluation criteria apply as for tenure-track faculty provided the Professor of Practice has a non-zero responsibility in the broader category, for example, a Professors of Practice with 0% research will not be evaluated on research performance. In the other categories, the weighting of accomplishments will be based on the position description.

For promotion to Professor, faculty in these positions are expected to show leadership in their primary area of responsibility. In addition to methods of evidence provided in Section 9 on promotion of tenure-track faculty to Professor, leadership may be demonstrated in regard to assigned duties specific to the role. For example, a Professor of Practice who has a supervisory role of other teaching staff may demonstrate leadership in that context.

12. Nonrenewal of Probationary Faculty Members

In accordance with NDSU Policy 350.3, a probationary appointment may be terminated, without cause, with notice to the faculty member that the appointment will not be renewed. The Department Chair/Head may initiate this process at any time. The process is described in University Policy 350.3.

13. Amendment of this Policy

Once this policy has been approved by the Department faculty, the College PT&E Committee, the Dean, and the Provost, the policy may be amended at any time. Amendment requires a scheduled Department Faculty Meeting to discuss and vote upon proposed amendments. Those amendments must be distributed to all tenured and tenure-track faculty at least two days before the meeting. For an amendment to pass, a majority of the faculty present which includes at least four faculty must approve the amendment.

The Department Chair/Head decides if approved amendments are editorial or substantive. Editorial amendments take effect following the Department Meeting at which they are approved. Substantive amendments must be approved by the Dean, the College PT&E Committee, and the Provost before they can take effect.

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CS PT&E Chair, Anne Denton

05/11/2021

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Date

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Provost, Margaret Fitzgerald

05/25/2021

Date