

# Promotion, Tenure, and Evaluation (PTE)

Information Session for *New Faculty*  
Fall 2022

# Overview

- Policy/procedure overview
  - ***Three documents: three levels of review***
- Important considerations
- Resources/Recommendations
  - See Faculty Affairs website for information on PTE
    - Guidelines
    - Probationary Period Extension Request
    - Information Sessions for Candidates, **New Faculty**

# Key Points

- Annual performance review required for all employees (faculty, graduate assistants, etc.)
- Tenure and promotion evaluation is one part of a system of performance reviews
- In most cases, tenure and/or promotion follows logically from prior annual, third year, post-tenure reviews
- Procedures and standards vary across departments and colleges
  - ***Make sure to read and follow appropriate guidelines and timelines***

# Initial Appointment Letter

- Date for promotion/tenure consideration
  - Usually 6 years for tenure-track assistant professors
  - Within 3-6 years for faculty hired with previous relevant experience
  - Professor of practice appointments are 1-5 years
  - Indicated in **appointment letter**
- Specific job responsibilities – *follow your job description*
  - 40% teaching, 40% research, and 20% service
  - 75% teaching, 25% research
  - ...

# Moving Through the Ranks

- Assistant to Associate to Full Professor
  - Tenure-track, Professor of Practice, Research Professor
- Lecturer to Senior Lecturer
- Tenure requires six years of service (no early tenure)
- **All faculty are reviewed**
  - Annual reviews
  - Third year review
  - Final tenure review in sixth year
  - Post tenure review

# Annual Review

- Conducted for all faculty by the department chair/head
  - Performance during the last calendar year
  - Faculty provide activity report/self assessment
  - **Progress towards promotion/tenure**
  - Plans for the following year
- Department PTE committee and/or dean may also conduct annual review of faculty
- Used for merit raises
- Faculty sign and indicate they read the review
- Faculty may attach a written response

# Three Documents/Three Review Levels

- **Policy 352:** Umbrella document
- **College PTE:** Framework for department documents
  - Shared definitions and expectations
  - Outline of departmental responsibilities
  - Process/procedures: third year review, non-renewals
- **Department PTE:** Discipline-specific document (criteria)
- **Three levels of review:**
  - Department PTE committee and chair
  - College PTE committee and dean
  - University (Provost, Provost's Advisory committee, President)
  - Promotion final; tenure approved by SBHE

# Third Year Review

- Usually in early spring of third year
- Portfolio to department chair and PTE committee (*and dean and college PTE Committee in some units*)
- **Procedure same** as final year; no external letters
- Recognize/reinforce areas of strength & weakness
- **Helps prepare** for promotion and tenure
- *Any extension granted prior to the third year review delays the review by an equal period*



# The Portfolio

NDSU Guidelines for Promotion and Tenure (*available from Provost/Faculty Affairs website*)

- By candidate
  - **Part I** Cover page, B-K, PTE Criteria, Annual/Third Year reviews, CV, Letters of Evaluation (requested by chair/head)
  - Supplemental Materials – separate document/binder (*if asked*)
- By others (committees, dean, chair)
  - **Part II**
    - ✓ Recommendations

# The Portfolio – Part I

Checklist, Routing, Added Materials Form – via DocuSign

- A. Cover Page
- B. Table of Contents
- C. Appointment Letter and Position Description(s)
- D. Academic Background
- E. Academic Experience/Employment History
- F. Statement of Context and Accomplishments
- G. Teaching, Advising, and Curriculum Development
- H. Research, Creative, Scholarly, and Professional Activities
- I. Service
- J. Administrative Responsibilities
- K. Awards and Honors
- L. Department and College Promotion and Tenure Criteria
- M. Annual Evaluations and Third Year Review Report
- N. Current Curriculum Vitae
- O. Letters of Evaluation (requested by chair/head)

# Supplemental Materials

*May be requested by department/college reviewers*

- Submitted only upon request
  - **Publications** (articles, books, manuscripts)
  - Evaluations of research/creative activities and service
  - Copies/examples of course syllabi/course materials
  - Evaluations of teaching
  - Letters of professional recognitions for awards/honors
  - Verifications of creative performances/exhibits

# Department/College Level Review

- Department PTE committee and chair review portfolio
- PTE committee votes and makes recommendation
- Chair makes a recommendation
- Candidate has right to **comment within 14 days**
- College PTE committee and dean review portfolio  
(including dept. chair/PTE committee letters)
- College PTE committee votes and makes recommendation to Provost
- College dean makes recommendation to Provost
- Candidate has right to **comment within 14 days**

# University Level Review

- Provost reviews all portfolios and department and college level recommendation letters
  - Solicits input from a **nonvoting advisory committee**
- Provost makes recommendations to the President
- President makes final decision in all cases
- Positive decisions for tenure are forwarded to State Board of Higher Education for final approval
- Negative decisions can be appealed

# Appeals

- **Appeals of periodic reviews** are made by requesting a reconsideration by the evaluating party. If not satisfied, may initiate grievance process pursuant to **NDSU Policy 353**
- **Appeals of non-renewal and non-promotion decisions** are pursuant to **NDSU Policy 350.3 – Regulations on Nonrenewal, Termination, or Dismissal of Faculty**

# Extension of Probationary Period

- Prior to the sixth year, extension may be requested based on personal or family circumstances
  - Maximum of 3 year extension, in one year increments
  - **Written request** is reviewed and approved by the Provost.
  - Extension due to birth/adoption is automatic (*written notification*)
  - Denial of an extension may be appealed under NDSU Policy 350.4
- *Due to COVID-19 all probationary faculty granted extensions (1-2 years); associate profs. time in rank extended*

# Impact of Extension of Probationary Period

- **Expectations** of performance during the probationary period **do not increase** as a consequence of extension of the probationary period



# PTE Criteria

- For **probationary faculty**, the basis for review shall be the PTE guidelines and **criteria** of the academic unit which were provided to the candidate **at the time of the candidate's appointment to the position**
- Tenured candidates for **promotion to professor**
  - If the application is within eight years of the previous promotion, may choose to be evaluated **by the criteria in effect at the time of the previous promotion**. Thereafter, candidates **evaluated by the criteria in effect at the time of application**.
  - **May choose to be evaluated based on work completed in the eight years immediately prior to applying** rather than on entire post promotion record.

# COVID-19 Impacts in PTE

- Section F. Statement of Context (up to three pages)
  - Optional COVID-19 Impact Statement (up to one page)
  - If integrated, COVID-19 impacts within the context statement should be clearly and explicitly presented.
- Faculty may include or exclude Fall/Spring 2020 evaluations in their portfolio
- Sections G, H, I. Supporting Information and Evidence. COVID-19. List impacts, positive or detrimental, on
  - teaching, advising, extension, outreach, and curriculum development
  - research, creative, scholarly, and professional activities
  - service activities

# Examples

- Position Description
- Annual Review and Annual Activity Report
- Portfolio
  - Student Evaluations
  - Peer Review of Teaching

# Resources

- Your department chair/head and colleagues
- Your department and college guidelines
- Policy 352
- NDSU Guidelines for Promotion and Tenure
- Your mentors
- *Promotion to Professor Panel Sessions*
- *Faculty Luncheons, Peer Review of Teaching, Annual Conference*
- *RCA, OTL*

# Recommendations

- Become familiar with **University, college, department guidelines for PTE**
- Be sure to know department/college **expectations** related to scholarly productivity, grant funding, teaching, advising, outreach, and service
- Make sure people know your research/teaching
- Get readiness feedback from department chair
- Work to **address any problems** identified in annual reviews, third year review
- Be present: attend meetings, keep commitments

# Recommendations, continued

- Statement of context for third-year review provides an opportunity to **reflect on the focus** that is emerging in your work
- **Focus on your work**, not “getting promoted” - you control the decisions about work, not promotion
- You will be reviewed by everyone
  - **Use criticism for improvement**
- Work with your **mentors**
  - Be a good mentee; be a good mentor for your students
- General advice: patience and persistence!

# Recommendations - Portfolio

- Create a **collection system** for evidence of activities in teaching, research and creative activity, and service
  - syllabi, grant applications, results of committee work
  - Keep track of your professional development activities
- **Prepare** your portfolio **with care**
- Identify external reviewers (*do not contact them*)

# Recommendations - Teaching

- Invest early on your teaching
- Attend presentations on teaching & learning
- Arrange **peer reviews** of your teaching
- Collect, summarize, and analyze **student evaluations** to identify areas for improvement
- Maintain office/student hours



# Recommendations – Research

- Self-advocate; ask for resources, support, and recognition effectively
- Ask department chair/ senior colleagues to recommend you for seminars at peer institutions, for grant review committees, for awards
  - It is ok to ask people: if they do not want to support you, they will find a way to get out of it
- **Transition** from conducting the research yourself **to advising students** to conduct research
- Finish your publications from **prior work**

# Recommendations – Service

- Be intentional in your service activities
- First few years, limit your service activities to
  - Professional service
  - Department
- **Be a good citizen**; avoid departmental politics
- Always act professionally, **keep long-term interactions in mind**

# Other Resources

- **Candid Advice for New Faculty Members**, Marybeth Gasman (available from Faculty Affairs)
- **Entering Mentoring A Seminar to Train a New Generation of Scientists**, Handelsman, et al.,  
[http://www.hhmi.org/sites/default/files/Educational%20Materials/Lab%20Management/entering\\_mentoring.pdf](http://www.hhmi.org/sites/default/files/Educational%20Materials/Lab%20Management/entering_mentoring.pdf)
- **Graduate STEM Education for the 21st Century**  
<https://www.nap.edu/catalog/25038/graduate-stem-education-for-the-21st-century>
- **Making the Right Moves: A Practical Guide to Scientific Management for Postdocs and New Faculty** by Burroughs Welcome Fund, Howard Hughes Medical Institute  
<http://www.hhmi.org/sites/default/files/Educational%20Materials/Lab%20Management/Making%20the%20Right%20Moves/moves2.pdf>

# Faculty Rights

## **Policy 353 – Grievances – Faculty**

- Grievance: allegation of a violation by an NDSU administrator (Chair/Head) of a specific policy, procedure or practice pertaining to the employment relationship
- First communicate with Chair/Head; if not successful:
- Appeal to Special Review Committee within 120 days by contacting Faculty Senate President

# Contact Information

Dr. Canan Bilen-Green

Vice Provost for Faculty Affairs and Equity

Old Main 103

231-7040

[canan.bilen.green@ndsu.edu](mailto:canan.bilen.green@ndsu.edu)