

## Overview

1. Policy/procedure overview
  - ▲ **Three documents – three levels of review**
2. Important considerations
3. Recommendations, Resources
4. Q/A with Provost J. Bruce Rafert

## Promotion, Tenure, and Evaluation (PTE)

Information Session for New Faculty  
April 2014

## Key Points

- 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 and third year reviews
- Procedures and standards vary across departments and colleges
  - ▲ **Make sure to get appropriate guidelines**

## Initial Appointment Letter

- Date for tenure consideration
  - Usually 6 years for assistant professors
  - Within 3 years for faculty hired with previous relevant experience
- Specific job responsibilities
  - 40% teaching, 40% research, and 20% service

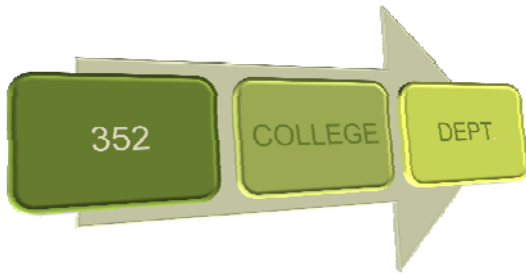
## Moving Through the Ranks

- Assistant Professors
  - Annual reviews
  - Third year review
  - Final tenure review in the sixth year

## PTE Principles at NDSU

- Discipline-specific criteria developed in department documents
- Peer review: *Internal/external faculty colleagues*
- Administrator review: *Department chair, dean*
  - ▲ **Three levels of review:**
    - Department PTE committee and chair
    - College PTE committee and dean
    - University (Provost, President)

## PTE Policy



## PTE Policy Documents

- **Policy 352:** Umbrella document
- **College PTE:** Framework for department documents
  - Shared definitions and expectations
  - Outline of departmental responsibilities
  - Process and procedures including third year review, non-renewals
- **Department PTE:** Discipline-specific document

## Annual Review

- Responsibility of the department chair
- Conducted for all faculty
  - Performance during the last calendar year
  - Progress towards promotion/tenure
- Used for merit raises
- Faculty sign and indicate they read the review
- Department PTE committee and/or dean may also provide annual review

## Third Year Review

- Usually in early spring of third year
- Portfolio to department chair and PTE committee
- Procedure same as final year; no external letters
- Recognize/reinforce areas of strength & weakness for promotion and tenure
- Helps candidates 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's website)

- By candidate
  - **Part I** (Checklist, A-L)
  - **Part III** (Current CV)
  - Supplemental Materials
- By others (committees, dean, chair)
  - **Part II**
    - ✓ Recommendations
    - ✓ Letters of Evaluation

## The Portfolio – Part I

### CHECKLIST

- |  |  |
|--|--|
| A. Cover Page                                  | H. Research, Creative, and Professional Activities |
| B. Table of Contents                           | I. Service   |
| C. Appointment Letter and Position Description | J. Awards and Honors                               |
| D. Academic Background                         | <b>K. Unit PTE Criteria</b>                        |
| E. Academic Experience                         | L. Annual and Third Year Review Report             |
| <b>F. Statement of Context</b>                 |  |
| G. Teaching, Advising, Curriculum Development  |  |

## Supplemental Materials

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

## Procedure for New Information

- Occasionally it may be appropriate to amend the portfolio when significant new information becomes available after the portfolio submission deadline:
  - College dean and PTE committee must agree to the addition
  - Additional materials must pertain to information or material already in the portfolio, such as pending publications or grant proposals

## College Level Review

- College PTE committee and dean review dossier (which includes letters from department chair and PTE committee)
- College PTE committee votes and makes recommendation to Provost
- College dean makes recommendation to Provost
- Candidate has right to review and comment within 14 days

## University Level Review

- Provost reviews all dossiers and department and college level recommendation letters
- 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

## Extension of Probationary Period

- Prior to the sixth year, extension may be requested based on personal or family circumstances
  - Maximum of 3 years 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

## 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** are evaluated by the **criteria in effect at the time of application**

## Resources

- ▲ Your department chair/head
- ▲ Your department and college guidelines
- ▲ Policy 352
- ▲ NDSU Guidelines for Promotion and Tenure
- ▲ Your mentors
- ▲ *Promotion to Professor Panel Sessions (see handout)*
- ▲ *Pedagogical Luncheons, Peer Review of Teaching, Teaching and Learning Conference, Gear Up for Grants*

## Recommended Steps

- Become familiar with **University, college, department guidelines for PTE**
- Create a **collection system** for evidence of activities in teaching, research and creative activity, and service
  - syllabi, grant applications, results of committee work
- Be sure to know department/college **expectations** related to scholarly productivity and grant funding

## Recommended Steps

- Collect, summarize, and analyze **student evaluations** to identify areas for improvement
- Arrange **peer reviews** of your teaching
- Statement of context for third-year review provides an opportunity to **reflect on the focus** that is emerging in your work
- Work to **address any problems** identified in annual reviews, third year review

## *Q/A with Provost Rafert*