

## **The Department Promotion, Tenure, and Evaluation Criteria and Procedures Department of Pharmaceutical Sciences**

The mission of the Department Promotion, Tenure, and Evaluation (DPTE) committee is to conduct the review of each Departmental candidate for promotion and tenure, following the standards as stated in this document. The mid-term review of the candidates will be conducted by the College PTE committee as stated in the College of Pharmacy, Nursing, and Allied Sciences policy 1.03.1. The criteria and timelines are excerpted from the College Policy 1.03 with modification:

The promoting of faculty and awarding of tenure, and the prerequisite processes of evaluation and review, are of fundamental importance to the long-term ability of the University to carry out its mission. Promotion recognizes the high quality of a faculty member's contributions in the areas of teaching, scholarship (research and discovery), 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 in those three areas. Tenure aims to both recognize a candidate's potential long-term value to the institution, as evidenced by professional performance and growth, and to provide the expectation of continued employment. The decision to award tenure rests on criteria that reflect the potential long-term contribution of the faculty member to the purposes, priorities, and resources of the institution, the College, and its programs.

From the University's mission flows the expectation that each faculty member will make contributions of high quality in the areas of teaching, scholarship, and service. "Teaching" includes instruction both on- and off-campus. "Scholarship refers to research and other creative endeavors that lead to significant advances in the acquisition or synthesis of new information and knowledge. "Service" includes public service, service to the University, college and department, and service to the profession.

Because of the University, the College, and the Department missions, the quality and quantity of contributions in all three areas will be considered at the times of promotion and tenure. Faculty members are expected to demonstrate significant and sustained contributions, competence, and independence in all three areas; however, because of variations among faculty in strengths and/or responsibilities, faculty members are not expected to demonstrate equal levels of accomplishment in all areas. Collaboration with others in all three areas is recognized and encouraged; however, faculty members must demonstrate independence and leadership in their contributing area of expertise. As a result of collaboration with others, faculty members are expected to become a lead investigator or author and generate publications, grants, and presentations of their scholarship/new discoveries in their respective discipline. Expectations in the areas of teaching, scholarship, and service will be based on the individual's position description. Faculty members are expected to provide sustained contributions to the overall mission of the Department, College, and University and maintain high standards of professional and ethical behavior in their work. A commitment to the College core values is expected, where honesty, integrity, and collegiality guide all interactions with students, faculty, staff, administration, and the public. Failure to meet these expectations may be sufficient grounds for denial of tenure or promotion regardless of meeting expectations for teaching, scholarship, and service.

## **I. Promotion**

Promotions are based on merit and are earned by achievement as evidenced by the faculty member's total contribution to the overall mission of the Department and the College. The performance record of a candidate for promotion will be evaluated in terms of the following criteria as they apply to the proposed rank: teaching, scholarship (research and discovery), and service.

In evaluating the candidate's qualifications for promotion, the candidate's position description will be used to define priorities for each role, and evaluation must reflect those role priorities.

### **A. Criteria for Promotion**

The candidate for promotion must demonstrate significant and sustained contributions to the Department and demonstrate competence, independence, and evidence of high quality in the primary areas of evaluation including: teaching, scholarship (research and discovery), and service. Each candidate will be evaluated in each of the areas in proportion to the priorities assigned to his/her roles and responsibilities as a faculty member as defined by their position description.

**1. Teaching:** Teaching (encompassing both instruction and advising) refers to the broad area of student-faculty interaction for educational purposes. A faculty member who excels in teaching is a person who engages students to learn; guides students to think purposely, independently, and critically; keeps informed about new developments in his or her specialty and related fields; strives continuously to broaden and deepen his or her knowledge and understanding; and continually contributes to improving the methods of teaching his or her subject matter. Peer evaluations of teaching content and methods are required.

Principal criteria for the assessment of teaching quality are

- a. Effectiveness and impact upon students:
  1. Peer evaluations of teaching at least three times during the probationary period by different individuals appointed by the chair;
  2. Student ratings; evidence of high quality and effective mentoring/advising of students;
  3. Effective oral and written communications by the teacher that reflect mastery of the subject matter;
  4. Creation of new pedagogical approaches;
  6. Evidence of positive impact on student learning;
  5. Responsiveness to student needs;
  7. Evidence of effective advising and mentoring of undergraduate and graduate students;
  8. Evidence of continued quality improvements in courses or instructional methods;
  9. Evidence of innovation in teaching.
  
- b. Degree of responsibility; scope of teaching, importance of teaching duties with regard to the mission of the Department; exceptional responsibilities undertaken, assigned or voluntary; size and level of teaching load; participation in distance education programs of the College. Significant teaching responsibilities must provide evidence of high quality.

**2. Scholarship:** Scholarship (research and discovery) is defined as any original work that is conducted and sufficiently documented by faculty such that it exemplifies excellence, innovation, and independence and is recognized by peers to have made a significant impact on and contributions to new knowledge. Excellence in scholarship may be demonstrated and documented in one or more of the following areas: teaching, discovery, integration, and application.

The scholarship of teaching must demonstrate innovation, discovery, or experimentation in the classroom or clinical setting that enhances student learning.

The scholarship of discovery is the practice of research and represents the investigative tradition of academic life. The scholarship of discovery contributes to the realm of human knowledge and to the intellectual climate of the College and University.

The scholarship of integration is the giving of meaning and perspective to isolated information and fitting information into larger, more meaningful patterns. While it represents the synthesizing research traditions of academic life, it can also be affected through service and clinical practice.

The scholarship of application is the responsible application of professional knowledge to consequential problems in both preclinical and clinical arenas.

Principal criteria for the assessment of scholarship quality are

### **Primary**

- a. High quality, peer-reviewed publications, especially with the candidate being a major contributing author
- b. Extramural funding (including contracts) especially with candidate being principal investigator in a peer-reviewed, openly competitive funding process

### **Secondary**

- c. Successfully attracting graduate students and mentoring them to completion of study within an appropriate time frame
- d. Presentation of papers at professional societal meetings
- e. Appointments to regional, national, and/or international advisory boards/committees and study sections
- f. Invited editorialships, lectureships, and/or chairing of meeting sections particularly at the national and international level
- g. Election to Fellow status in professional societies
- h. Publication of non-peer reviewed sources
- i. Intramural Grantsmanship
- j. Activities relating to the review of grant proposals and manuscripts
- k. Consultantships

**3. Service:** Service refers to the work that a faculty member performs for the University, College, Department, profession, and public that contributes to the welfare of others.

Principal criteria for the assessment of quality of service are

- a. Active participation and demonstrated leadership in University governance and programs at the department, college, and university levels
- b. Active participation in and demonstrated leadership of professional organizations and societies and other activities
- c. Demonstrated high quality in advising of student organizations
- d. Active participation in continuing and distance education programs of the College
- e. Active participation and demonstrated leadership in serving the public in a professional capacity
- f. Recognition by peers as an expert in his or her discipline
- g. Service as an exemplary role model

## **B. Guidelines for Promotion or Appointment for Special Appointment (Nontenure Track) Faculty**

For promotion of faculty on special (research) appointment, the candidate must demonstrate significant and sustained contributions, competence, and independence in scholarship (research and discovery). Faculty members on special appointments (nontenure track) at the rank of Assistant Research Professor, Associate Research Professor, and Research Professor are expected to demonstrate at least 80% commitment toward scholarship activities. To be considered for promotion, the candidate will normally have served at least six years at the previous rank. Exceptions to the six-year rule may be made for exceptional candidates.

### **1. Instructor – Special (Nontenure Track) Appointment**

The rank of Instructor should be used for the faculty member who does not possess the terminal degree in his or her discipline but who is contributing in the areas of teaching, scholarship (research and discovery), and service. This rank may also be used for the faculty member possessing a terminal degree in his/her field with limited post-graduate experience.

### **2. Research Assistant Professor – Special (Nontenure Track) Appointment**

For promotion or appointment to the rank of Research Assistant Professor, the faculty member should possess a terminal or other appropriate degree in his or her discipline and show promise in the areas of scholarship (research and discovery).

### **3. Research Associate Professor – Special (Nontenure Track) Appointment**

Promotion or appointment to Research Associate Professor will be based on clear and demonstrable evidence that the candidate has, by independent effort, developed a well-funded research program that is recognized by peers as high quality. The candidate must show independent, sustained, high quality scholarship (research and discovery) recognized by peers as significant contributions to the field.

#### **4. Research Professor – Special (Nontenure-Track) Appointment**

Promotion or appointment to Research Professor requires academic maturity and evidence that the candidate has achieved national recognition as an authority in his or her area of research excellence. The candidate must show independent, sustained extramural funding, high quality scholarship recognized nationally by peers as significant contributions to the field.

#### **C. Guidelines for Promotion or appointment by Academic Rank for Probationary (Tenure Track) Faculty**

The basis for determining promotion to any of the ranks listed below must include regular reviews of faculty performance by the department chair (annually for probationary faculty and at least every three years for tenured faculty). For successively higher levels of faculty rank, higher levels of achievement are expected. A candidate being considered for initial employment by the College will be evaluated on accomplishments in the role priorities of his/her current and previous positions. Lack of congruence of the prior position(s) expectations with the job description of the position offered will not prejudice the candidate's evaluation.

In general, the following guidelines will apply.

##### **1. Assistant Professor – Probationary (Tenure Track) Appointment**

For promotion or appointment to the rank of Assistant Professor, the faculty member must possess a terminal or other appropriate degree in his or her discipline and show promise in the areas of teaching, scholarship (research and discovery), and service.

##### **2. Associate Professor – Probationary (Tenure Track) Appointment**

For promotion or appointment to the rank of Associate Professor, the faculty member must meet the criteria for the rank of Assistant Professor and display a sustained and significant record of accomplishment in teaching, scholarship (research and discovery), and service in proportion to assigned responsibilities outlined in the individual's position description. There must be clear and demonstrable evidence that the candidate has, by independent effort, developed a program of teaching, scholarship, and service that is recognized by peers as high quality. The candidate must show independent, sustained, and high quality scholarship (research and discovery) recognized by peers as significant contributions to the field. The record of accomplishments must document an emerging reputation of regional and/or national scope in the candidate's academic discipline

##### **3. Professor – Probationary (Tenure Track) Appointment**

The rank of Professor is among the highest honors that the University can bestow on a faculty member. Therefore, it should be granted only to faculty who have distinguished themselves in their respective disciplines. Promotion or appointment to Professor requires academic maturity and evidence that the candidate has achieved national recognition as an authority in his or her discipline. The faculty member must demonstrate a significant and sustained record of outstanding achievements in teaching, scholarship (research and discovery), and service, in proportion to the assigned responsibilities in the individual's position description. The candidate must show independent, sustained, and high quality scholarship (research and discovery) recognized by peers as significant

contributions to the field. The candidate must have fully achieved national and/or international recognition in his or her discipline.

## **II. Tenure**

Tenure assures academic freedom and enhances economic security for faculty by providing the expectation of continued employment. Tenure represents the most significant commitment that the University can make to a faculty member. Therefore, it is imperative that the review process for tenure be extremely rigorous. In general, the candidate for tenure shall have achieved regional/national recognition among peers in his or her discipline and shall have demonstrated competence, independence, leadership, and a significant and sustained record of accomplishments in teaching, scholarship, and service. Even though there is an expectation of continued employment, tenured faculty are expected to continue their commitment to high quality and excellence by a) fulfilling their role and responsibilities as an active/productive member of the faculty; b) striving toward continued development of their knowledge, skills, and application of their respective discipline; and c) making ongoing efforts toward significant, sustained contributions in the areas of teaching, scholarship (research and discovery), and service.

Tenure and promotion are separate issues but evaluations for promotion to Associate Professor and granting of tenure will ordinarily be conducted concurrently. In cases where promotion is offered to a faculty member before his or her probationary period has been completed, no promise of eventual tenure is implied by the promotion.

### **A. Tenure Policy**

Faculty without previous, academic-relevant experience (first academic position), 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. 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 two options:

(1) Faculty may be given one to three years of credit (maximum allowed) and then would apply for promotion and tenure in the sixth year of academic service (for example, given one year of credit, promotion and tenure application would be due after four years of service; given three years, the application would be due after two years of service).

(2) 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.

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 exceptional personal or family circumstances. Faculty given promotion and tenure credit are eligible for this extension. The request must be made by the faculty member in writing and forwarded and reviewed sequentially with recommendation by the chair, dean,

and Provost to the President who will make the final decision on approval or denial of the request. Denial of an extension is appealable pursuant to Policy 350.4 of the University Policy Manual.

Persons holding an academic rank below Associate Professor or special appointment (nontenure track) faculty (i.e., Associate Professor and Professor) are ineligible for tenure.

## **B. Criteria for the Awarding of Tenure**

The awarding of tenure constitutes recognition of past academic and professional achievements and confidence of continued professional development. The criteria for promotion in Section II A of this document are the activities and accomplishments that will be evaluated in arriving at tenure decisions. Tenured individuals are presumed to be committed to maintenance of high standards of performance in teaching, continued scholarly contributions to their disciplines, and service consistent with the University, College, and Department missions. In recognition of these achievements, the faculty member is assured of continued academic freedom with its attendant advantages and obligations.

## **III. Procedural Guidelines for the Recommendation of Promotion and Tenure**

### **A. Annual performance and mid-tenure reviews**

The following procedures have been established and will be followed to provide faculty PTE candidates and administrators the opportunity to monitor and evaluate the candidate's progress in meeting the expectations of employment and the criteria for promotion and tenure. These procedures are intended to provide faculty constructive feedback to assist them in attaining their goals for promotion and tenure.

In implementing the Department PTE policy, the following procedures shall be used:

1. Each faculty member of the Department [tenured and probationary (tenure track)] will be reviewed by February 1 of every year by his/her department chair according to the College policy on Annual Performance Review of Faculty. When requested by any party to the tenure or promotion process, including the candidate, formal feedback shall be provided to the individual by the Department PTE Committee, Department Chair, Dean, College PTE Committee, and the Provost. The College PTE Committee shall conduct a mid-tenure review according to the College policy on Mid Tenure Track Review for each tenure track candidate to provide feedback on the candidate's progress toward achieving promotion and tenure within the College.
2. The Department Chair will be responsible for conducting annual performance reviews of the Department faculty and communicating the results to the individual faculty member.

During the annual performance review, the Department Chair will provide each faculty member with both verbal and written feedback regarding the individual faculty member's performance and where appropriate, progress toward achieving promotion and tenure including strengths and recommendations for improvement related to the areas of teaching, scholarship (research and discovery), and service. The annual performance review shall also state expectations and goals for the coming year review period. Should the annual performance reviews indicate that a faculty member is

not making satisfactory progress toward tenure and/or promotion; the report may include a recommendation for non-renewal. Non-renewal of probationary faculty prior to the sixth year shall be done in accordance with the College and University policies for non-renewal of probationary faculty. In making a judgment on satisfactory progress, due consideration shall be given to the candidate's academic record, performance of assigned responsibilities as defined in his/her position description, and future potential to meet the criteria for promotion and/or tenure.

3. The faculty member being reviewed shall have 14 calendar days to respond in writing to the written assessment of performance. The written report of the annual performance by the chair, and any written response from the faculty member, shall become part of the faculty member's official personnel file.

4. For probationary faculty (tenure track), at the completion of the sixth year of service, the faculty member shall be notified in writing that he or she will either be awarded tenure or a one-year terminal contract for the seventh year of service.

5. A new faculty member with previous tenure relevant experience will normally undergo a review with respect to tenure in the final year prior to the end of his or her probationary period at the University. At the completion of the probationary period, the faculty member will be notified in writing that he or she will either be awarded tenure or a one-year terminal contract at the conclusion of the probationary period.

6. Promotion and tenure are two separate considerations. For example, a person may be eligible and acceptable for promotion and eligible but not acceptable for tenure. Circumstances may be such that a recommendation for postponing the granting of tenure may be in order. In such a case, the faculty member will be recommended for a special appointment position according to the guidelines of the State Board of Higher Education and NDSU. The Department Chair and Dean should meet with the candidate to discuss the basis of such a decision. This decision must be made before the process is initiated to evaluate the candidate's credentials for promotion and tenure.

Faculty members may request a change in appointment (i.e., changing from non-tenure track to tenure-track appointment and vice versa). The request must be made by the faculty member in writing and forwarded and reviewed sequentially with recommendation by the chair, dean, and Provost who will make the final decision on approval or denial of the request. Non-tenure track faculty can request a change in appointment at any time; however, tenure-track faculty must request a change in appointment no later than the completion of their third probationary year of employment.

## **B. Constitution of DPTE Committee and Procedures**

The DPTE committee consists of all tenured, full-time faculty members of the Department, who are in non-administrative positions, and not serving on the Promotion, Tenure, and Evaluation committee of the College of Pharmacy, Nursing, and Allied Sciences. The committee has at least three members. The DPTE committee member, who is being considered for promotion, cannot participate in own evaluation. If there are less than three eligible faculty in the department, the minimum membership roster will be completed by the faculty from other NDSU departments, fulfilling the eligibility criteria for the DPTE committee, as defined above. The non-departmental candidates for the committee



membership will be nominated by the Department tenured faculty members. The nominees should be from disciplines closely-related to that of the candidate(s) under consideration. The non-departmental DPTE committee members will be elected, using written ballots, by the majority vote of the tenured and tenure-track Department faculty. The quorum for the election is two thirds of the tenured and tenure-track Department faculty. The elected non-departmental candidates for the committee membership will be appointed by the College Dean.

The Chair of the DPTE committee is selected by the committee members. The Chair is responsible for organizing the evaluation process in accordance with the guidelines. If deemed necessary by the DPTE committee, the chair may request additional information from the candidate and the Department Chair. Before collecting the information, the Chair informs the other party, the candidate or the Department Chair, what information is being requested.

The DPTE committee and the Department Chair evaluate the candidates independently, according to the criteria described above. The committee will generate a consensual review report, including a minority opinion, if applicable. In the case of a tie on the final recommendation, the committee chair's vote is a tie-breaker.

### **C. Timelines**

Candidates for promotion and/or tenure must submit a portfolio (following the current "NDSU Guidelines for Promotion and Tenure Portfolio Preparation" distributed by the Provost to their department chair for review by no later than August 15. Candidates are encouraged to include the section called "Statement of Accomplishment" as part of their portfolio. The Department Chair will forward the candidate's portfolio to the Department's Promotion and Tenure Committee by September 1. The Department PTE Committee will conduct a review and submit a written letter of evaluation of the candidate and recommendation to the department chair by no later than October 1, according to Department's PTE guidelines and university promotion and tenure guidelines distributed by the Provost.

Upon receipt of this information, the Department Chair will review and submit a written letter of evaluation of the candidate and recommendation to the College PTE Committee. The letters of evaluation from the Department PTE Committee and the Department Chair will be inserted in the candidate's PTE portfolio by the Department Chair. The Department Chair shall forward the candidate's PTE portfolio and all supporting documentation to the College Promotion and Tenure Committee and to the Dean by no later than October 20<sup>th</sup>.

## **IV. Letter of Evaluation from Outside North Dakota State University**

Letters of evaluation from outside North Dakota State University are not required but may be considered. The purpose of seeking such letters is to accumulate credible documented evidence of a faculty member's qualifications and contributions to the profession related to their position responsibilities. Such letters should be objective evaluations from well qualified individuals. Solicited outside letters should provide specific evidence of achievement or competence by the candidate in a specific area, but should not include a recommendation for or against promotion and/or tenure. Solicited outside letters should be limited to evaluation from leaders in the field and from scholars at

comparable research universities (no more than three letters). Letters should not be solicited from co-authors, co-principal investigators, former professors/advisors, co-workers, or former students. Letters should generally be from tenured professors or individuals of equivalent stature outside of academia who are widely recognized in the field. The following process must be followed for soliciting letters of evaluation from outside reviewers:

1. The faculty member will submit a list of names of potential outside reviewers who meet the above criteria to the Department Chair by August 15. The Department Chair will select individuals from this list or request additional names that are mutually agreed upon by the Chair and the candidate. The Department Chair will notify the candidate of the outside reviewers that have been selected.
2. Letters of evaluation from outside reviewers will be solicited by the Department Chair. The Department Chair will send letters to each outside reviewer soliciting a formal letter of evaluation of the faculty member. The letters sent to outside reviewers soliciting an evaluation must contain statements pertaining to the following: (a) under North Dakota law the candidate has a right to review all material in the promotion and tenure file. A copy of each letter is sent to the candidate; and (b) no recommendation is to be made for or against promotion and/or tenure. A representative form letter (see sample letter Appendix A) should be used by the Chair as a guideline. The letter sent by the Department Chair to the outside reviewers should also contain the following information about the faculty member: a copy of the faculty member's current position description, vita, and where appropriate copies of publications.
3. Letters of evaluation from outside reviewers are not to be solicited by the faculty member, but will be added to the portfolio by the Department Chair. To receive consideration in the PTE process, letters of evaluation from outside reviewers must be solicited, inserted, and part of the completed faculty member's portfolio which is submitted by the Department Chair to the Department PTE Committee by no later than September 15.

## **V. Non-renewal of Probationary Faculty**

Termination of a probationary or tenured appointment may occur only in accordance with the policies of North Dakota State University and the State Board of Higher Education (State Board Policy 605).

## **VI. Process of Making Changes to the Department PTE Document**

Any changes to the Department PTE document would be made after discussion in the Department meeting and approved, using written ballots, by the majority vote of the full-time tenured and tenure-track Department faculty. The quorum for approval is two thirds of the full-time tenured and tenure-track Department faculty. The document then should be approved by the College Dean and University Provost.

Approved by department faculty May 9, 2007

Revision approved by Department faculty July 27, 2007

Approved by the Provost and Vice President of Academic Affairs, October 26, 2007

Revision approved by Department faculty October 7, 2013

Revision approved by the Provost December 26, 2013

## APPENDIX A

### SAMPLE REQUEST FOR OUTSIDE LETTER OF EVALUATION

Date \_\_\_\_\_ :

Dear \_\_\_\_\_ :

Professor \_\_\_\_\_ is being considered for (tenure) (promotion to \_\_\_\_\_) in the Department of Pharmaceutical Sciences in the College of Pharmacy at North Dakota State University. We customarily write to a selected group of leaders in the faculty member's discipline asking for an independent assessment of the faculty member's record of (research, creative activity, assessment, or service). In your letter, please indicate how you know Professor \_\_\_\_\_.

Your appraisal of the significance of Professor \_\_\_\_\_'s scholarly contributions (to research or service) and the impact of this work on the discipline would be greatly appreciated. Your comments about his/her potential contribution in the future would also be valuable. Please add any additional comments you would like to make.

Please do not make a recommendation for or against tenure or promotion.

Under North Dakota law, Professor \_\_\_\_\_ has a right to review all of his/her promotion (tenure) portfolio. I wish to emphasize that it is important that your letter provide an objective and candid assessment of his/her work.

I am aware of the great demands on your time and, therefore, would be especially grateful if you were able to provide us with this evaluation by \_\_\_\_\_.

Your assistance is much appreciated.

Sincerely,