

# **Policy and Procedures for Promotion, Tenure, and Evaluation**

## **College of Arts and Sciences North Dakota State University**

### **CAS PTE Task Force Draft Document (Revised January 2024)**

#### **1. INTRODUCTION**

- 1.1. This document describes the policy and procedures for promotion, tenure, and evaluation (PTE) in the College of Arts and Sciences, consistent with SBHE Policy 605.1 Academic Freedom and Tenure; Academic Appointments and with NDSU Policy 352 Promotion, Tenure and Evaluation.
- 1.2. The promotion of faculty, awarding of tenure, and prerequisite processes of evaluation and review of faculty are of fundamental importance to the long-term ability of the University to fulfill its Land Grant mission. Promotion recognizes the quality of a faculty member's contributions in areas of teaching, creative activity/research/scholarship, service, and administration (if relevant) consistent with their position description. Promotion further acknowledges that the faculty member's contribution to the University is of increasing value (NDSU Policy 352, Sec. 1).
- 1.3. Tenure provides an underpinning for academic freedom – the essential foundation of knowledge discovery and creative activities – and indicates the expectation of continued employment for faculty members who show promise of sustained contributions and potential long-term value to the institution, as evidenced by professional performance and growth (NDSU Policy 352, Sec. 1).
- 1.4. Both formal and informal evaluations provide important feedback to faculty and administrators on their performance. Formal performance evaluations can be useful in prioritizing efforts, maintaining focus, monitoring progress, aligning workloads with performance expectations, and as a method to recognize achievements and areas needing improvement. This process will be transparent and forthright.
- 1.5. NDSU Policy 352 requires every department/academic unit to develop a written PTE document with unit/discipline-specific definitions, criteria, and evaluation procedures to ensure that the breadth of talents, capabilities, and accomplishments of faculty within the unit are properly acknowledged. The departmental/unit document also designates the types of evidence to be used for the evaluation of progress towards tenure, for tenure and promotion decisions, as well as for post-tenure review of faculty. While departments/units may be more specific in defining their standards, criteria, and procedures, their documents must be consistent with the policies and procedures of the College and the University and must be aligned with official position descriptions.
- 1.6. Tenure-line assistant professors who are hired without previous, relevant experience shall be evaluated for tenure and promotion by their department/academic unit and by the College after a probationary period of six years. Exceptions for early promotion and

procedures for faculty hired with previous, relevant experience are described in Sec. 13 of this policy and in NDSU Policy 352, Sec. 3.5.

- 1.7. Extensions of the probationary period for childbirth or adoption, personal illness or disability, institutional circumstances, and extraordinary circumstances (e.g., pandemic, building collapse) are described in NDSU Policy 352, Sec. 3.6. At any time during the probationary period, but prior to the sixth year, a faculty member may request an extension of the probationary period not to exceed three years based on personal or family circumstances, which, according to reasonable expectations, impede satisfactory progress towards promotion and tenure. Faculty given promotion and tenure credit are eligible for this extension. The request must be in writing and will be reviewed and forwarded sequentially with recommendation by the Chair/Head, Dean, and Provost to the President who will approve or deny the request. Denial of an extension request may be appealed under NDSU Policy 350.4.
- 1.8. Because of variations among individuals in strengths and/or responsibilities, faculty members are not expected to exhibit equal levels of accomplishment in all areas of activity. Moreover, disciplines will vary with respect to the kinds of evidence produced in support of quality of contributions (NDSU Policy 352, Sec. 1).
- 1.9. The College of Arts and Sciences recognizes tenure-line, professor of practice, and research professor faculty lines in the promotion, tenure, and evaluation process. Each faculty line is developed to be unique to the responsibilities and expectations of faculty; hence, nothing in this document is to imply a hierarchy of importance between tenure-line, professor of practice, and research professor appointments. The workload distribution among job responsibilities typically differs by appointment type. Based on workload agreements specified in annual position descriptions, tenure-line faculty and research professors typically assume greater responsibility for research, while professors of practice typically assume greater responsibility for teaching and/or service.

## 2. RESPONSIBILITIES OF COLLEGE PTE COMMITTEE

- 2.1. The College PTE committee will review candidate portfolios for promotion and tenure; evaluate whether (a) the department/academic unit has followed and applied their policy and (b) the candidate meets College standards; and make recommendations for/against promotion/tenure.
- 2.2. In the case of a negative third-year review by the department/unit Chair/Head or PTE committee, the College PTE committee will prepare a written evaluation and recommendation regarding progress toward tenure (see Sec. 10 of this policy).
- 2.3. The committee will ensure that promotion and tenure evaluation criteria are aligned with official position descriptions and that College policies and standards are congruent with the University's mission and its policies on promotion and tenure, while reflecting the College's unique expectations of its faculty members (NDSU Policy 352, Sec. 1).

- 2.4. Prior to commencement of deliberations, all committee members must have completed, within the last three years, PTE committee training and Title IX training, provided through the Office of the Provost.
- 2.5. The procedures for periodic review developed by each department/academic unit shall be reviewed and approved by the College PTE committee and the Dean (NDSU Policy 352, Sec. 4).

### 3. MEMBERSHIP OF COLLEGE PTE COMMITTEE

- 3.1. Composition: The committee will consist of two at-large members, giving priority to one professor of practice and one research professor, and seven tenured members, with one representative from each of the following areas:

- Performing Arts
- Design
- Education
- Humanities
- Mathematics, Physics, Statistics
- Physical Sciences
- Social and Behavioral Sciences

- 3.2. Eligibility: College and department/academic unit PTE committee members shall

- hold an academic position with the rank of Associate/Full Professor, Associate/Full Professor of Practice, or Associate/Full Research Professor;
- have more than a 50% appointment in the College;
- have completed at least three years of full-time appointment with the University (NDSU Policy 352, Sec. 5.2).

Faculty in administrative positions who supervise or evaluate other faculty are not eligible to serve on PTE committees. Positions include Vice President, Vice Provost, Dean, Associate or Assistant Dean, Chair or Head, or Associate, Assistant, or Vice Chairs/Heads of an academic unit, including those who hold interim positions. Center or program directors or coordinators who do not supervise or evaluate other faculty are eligible to serve (NDSU Policy 352, Sec. 5.4).

- 3.3. Administrators who have applied for promotion may not be involved in the review and recommendation process of any candidate where there may be an actual or apparent conflict of interest (NDSU Policy 352, Sec. 5.3).
- 3.4. Candidates for promotion cannot serve during the year of their promotion decision but will be replaced by a one-year substitute elected from the candidate's area.
- 3.5. Committee members select the committee chair.

### 4. ELECTION OF COLLEGE PTE COMMITTEE MEMBERS

- 4.1. Committee members shall be elected by tenure-line faculty, professors of practice, and research professors of any rank who have more than a 50% appointment in the College.
- 4.2. New members shall be nominated and elected in spring for service beginning in fall.
- 4.3. Voting for time-sensitive replacements can occur as needed.

- 4.4. Members serve three-year terms and must be off the committee for at least one academic year before reelection.
  - 4.5. Terms are staggered, such that those of approximately one-third of the committee members expire annually.
5. VOTING AND VOTING RIGHTS OF PTE COMMITTEE MEMBERS (NDSU Policy 352, Sec. 5)
    - 5.1. Only tenured members of the College PTE Committee have full voting rights, unless they are recused (see Sec. 6 of this policy for procedure on recusals).
    - 5.2. Professors of practice or research professors who serve on PTE committees have voting rights on applications for promotion of professors of practice or research professors, respectively (NDSU Policy 352, Sec. 5.2).
    - 5.3. A simple majority vote (majority of votes cast, excluding abstentions) of the entire College PTE committee shall be sufficient to carry any motion or decision.
    - 5.4. A committee member who has voted on the promotion/tenure of a candidate in the department PTE committee shall be recused from the vote by the College committee (NDSU Policy 352, Sec. 5.5). In such a case, the committee member may not deliberate with the College committee on the candidate's portfolio.
6. CONFLICTS OF INTEREST AND RECUSALS
    - 6.1. For definitions and examples of conflicts of interest, see NDSU Policy 352, Sec. 5.6.
    - 6.2. Conflicts of interest must be identified and resolved as soon as they are recognized, but no later than the start of the committee's review of a candidate's portfolio. Conflicts of interest may be identified by the candidate or anyone participating in the PTE review process for that candidate. Any individuals evaluating that candidate may voluntarily recuse themselves from the PTE process or be recused (NDSU Policy 352, Sec. 5.6).
    - 6.3. A candidate requesting the recusal of a committee member must submit a written request to the Dean, who will inform the PTE committee chair. The committee chair will ask (in writing) the committee member in question to voluntarily recuse themselves. If the member in question does not consent, the candidate may follow NDSU Policy 352, Sec. 5.6.
7. EXTERNAL REVIEWS
    - 7.1. The College delegates to departments/academic units the decision whether to request external letters of review to include in the candidate's portfolio.
    - 7.2. If the department/academic unit requires external letters of review, the College PTE committee must consider those as part of their review process.
    - 7.3. Selection of external reviewers: A candidate may provide input concerning selection of reviewers if allowed by the department/academic unit (NDSU Policy 352, Sec. 5.3).
8. CRITERIA AND EVIDENCE FOR REVIEWS
    - 8.1. The College of Arts and Sciences upholds the Land Grant mission of teaching, creative activity/research/scholarship, and service, and affirms that these activities are complementary. The College recognizes that not all faculty will be equally accomplished

in all these activities, and that different departments/academic units will not necessarily accord each activity equal weight. However, all faculty are expected to demonstrate accomplishment in teaching, creative activity/research/scholarship, service, and administration (if relevant) consistent with their position descriptions if they are to be awarded tenure and promoted.

## 8.2. Teaching, Advising, and Curriculum Development

8.2.1. Faculty must show a record of effective teaching, advising, mentoring, and curriculum development consistent with their position descriptions.

8.2.2. Consistent with NDSU Policy 332 Assessment of Teaching and NDSU Policy 352, Sec. 2.2.1, a candidate demonstrates quality of teaching (encompassing both instruction and advising) by providing evidence from multiple sources, such as:

- the receipt of awards or special recognition including certification or licensing for teaching;
- student and peer evaluation of course materials, expertise, and ability to communicate knowledge (note that student ratings of instruction, by themselves, are insufficient evidence of teaching effectiveness);
- peer evaluation of an individual's contribution to the improvement of instructional programs through the development and/or implementation of new courses, curricula or innovative teaching methods;
- the dissemination of best practices in teaching;
- evaluation by advisees of the quality of graduate and undergraduate advising.

## 8.3. Creative Activity/Research/Scholarship

8.3.1. Faculty must show a record of regular and sustained creative activity, research, and/or scholarship consistent with their position descriptions. Specific definitions of creative activity, research, and/or scholarship, and any funding expectations, are consistent with individual departments/academic units and position descriptions.

8.3.2. Consistent with NDSU Policy 352, Sec. 2.2.2, a candidate demonstrates quality of research by providing evidence from multiple sources, such as:

- dissemination of scholarly or professional papers, and publication of books, book chapters or articles;
- juried or invited presentations, exhibitions, installations, competition proposals, performances or productions in the theater, music, or visual arts, design, architecture, and landscape architecture;
- the development and public release of new products or varieties, research techniques, copyrights, and patents or other intellectual property;
- peer evaluation of research by colleagues from an individual's discipline or area of expertise;
- the receipt of awards or special recognition for research;
- the receipt of grants or other competitive awards;
- documented evidence of community-engaged scholarship, collaboration, or multi-disciplinary work, and demonstrated beneficial impact on the department/academic unit, university, local community, and discipline.

## 8.4. Service

8.4.1. Faculty must show a record of active service to their department/academic unit, the College, and the University consistent with their position descriptions. Faculty must also demonstrate active service to the profession and/or to the public consistent with their position descriptions.

8.4.2. Consistent with NDSU Policy 352, Sec. 2.2.3, a candidate demonstrates quality of service by providing evidence from multiple sources, such as:

- the receipt of awards or special recognition for service;
- evaluation of an individual's service contributions by peers, administrators, and constituents;
- active participation in and leadership of societies which have as their primary objective the furtherance of scholarly or professional interests or achievements;
- active participation and leadership in University governance and programs at the department/academic unit, College, University and system levels;
- contributions to fostering a campus climate that supports and respects faculty, staff, and students who have diverse cultures, backgrounds, and points of view;
- contributions to the management or improvement of administrative procedures or programs;
- contributions to knowledge as editors of scholarly publications, or service on editorial boards, juries, or panels;
- contributions to the operation of public or private organizations, boards, and agencies;
- contributions to public engagement and community work;
- contributions to NDSU's Land Grant mission.

#### 8.5. Administration

8.5.1. Faculty in administrative positions will be evaluated consistent with their position descriptions and department/academic unit policies or bylaws.

8.5.2. Consistent with NDSU Policy 327, Sec. 4, common review criteria will be based on the administrator's job description and shall include demonstrated commitment to institutional values, including equity, diversity, respect, academic freedom, shared governance, and contributions to creating and/or maintaining an inclusive and equitable environment.

Further review criteria will vary with administrator job descriptions and may include, but are not limited to, the following:

- leadership, strategic planning, and assessment;
- effective and collaborative administration and management;
- creating and/or maintaining a culture of mentorship and support;
- external relations;
- service to the broad mission of the University.

8.5.3. A candidate will provide evidence of effective administration, using multiple sources, such as:

- a statement of context specific to the administrative position;

- internal evaluations, such as annual evaluations or comprehensive evaluations, consistent with NDSU Policy 327, Secs. 2 and 3;
- external evaluations;
- awards and recognitions;
- contributions to the management or improvement of administrative procedures or programs.

## 9. STANDARDS FOR ACADEMIC PROMOTION AND TENURE (if applicable)

9.1. The College of Arts and Sciences recognizes multiple pathways to promotion and the granting of tenure consistent with the candidate's position description.

### 9.2. Promotion to Associate Professor and Tenure

9.2.1. Standard – Teaching: Faculty must show a record of effective teaching, advising, mentoring, and curriculum development consistent with their position descriptions and individual department/academic unit policies.

9.2.2. Standard – Creative Activity/Research/Scholarship: Faculty must show a record of regular and sustained creative activity, research, and/or scholarship consistent with their position descriptions. Specific definitions of creative activity, research, and/or scholarship, and any funding expectations, are consistent with individual department/unit policies.

9.2.3. Standard – Service: Faculty must show a record of active service to their department/academic unit, the College, and the University consistent with their position descriptions. Faculty must also demonstrate active service to the profession and/or to the public consistent with their position descriptions.

### 9.3. Promotion to Professor

9.3.1. For promotion from Associate Professor to Professor, the same areas of teaching, research, service, and administration (if relevant) form the basis of the criteria. Professors should excel, and demonstrate effective leadership, in areas consistent with their job description, as defined by individual departments/units.

9.3.2. Application for promotion to Professor is encouraged after the completion of five years of service in rank as Associate Professor, although promotion during a candidate's fourth year in rank will be considered in exceptionally strong cases.

9.3.3. Candidates for promotion to the rank of Professor may choose to be evaluated by the criteria in effect at the time of the previous promotion if the application is made within eight years of the previous promotion. Thereafter, candidates shall be evaluated by the criteria in effect at the time of application. Candidates applying for promotion to the rank of Professor more than eight years after the previous promotion may choose to be evaluated based on work completed in the eight years immediately prior to applying rather than on their entire post-promotion record (NDSU Policy 352, Sec. 3.3).

## 10. PERIODIC REVIEW

10.1. The College follows NDSU Policy 352, Sec. 4 regarding annual, third-year pre-tenure, and post-tenure reviews. Departments/academic units shall conduct these reviews, consistent with their criteria and procedures.

- 10.2. The College requires all faculty in tenure-line positions to undergo a formal review during the spring semester of the third year of their probationary appointments. The purpose of the review is to familiarize faculty members with the process of tenure review and to allow the College PTE committee to provide constructive feedback to probationary faculty members and their departments/academic units regarding progress toward tenure.
- 10.3. Candidates undergoing third-year review should submit a portfolio according to the current *NDSU Guidelines for Promotion and Tenure* to their department/academic unit Chair/Head and their department PTE committee (if applicable) for review.
- 10.4. Department feedback must be sent to candidates by February 14 to allow two weeks for candidate response.
- 10.5. Letters from the department/academic unit Chair/Head and PTE committee, the candidate's portfolio, and, if relevant, the candidate's response should be forwarded to the Dean's Office by the department/unit Chair/Head by March 1.
- 10.6. In the case of a negative review by the department/unit Chair/Head or PTE committee, the College PTE committee will prepare a written evaluation and recommendation regarding progress toward tenure to be presented to the probationary faculty member and the Chair/Head of the department/unit by April 15. This third-year pre-tenure review report will be included with the candidate's promotion and tenure portfolio. Although the report is intended to be advisory in nature, it serves as an important evaluation of the candidate's progress and is used as a baseline assessment during subsequent reviews of a candidate's continuing progress.
- 10.7. Consistent with NDSU Policy 352, Sec. 4, periodic reviews shall result in a written report to the faculty member being reviewed. The report shall state expectations and goals for the coming review period. For probationary faculty, the report shall include an assessment of the faculty member's progress toward promotion and tenure and recommendations for improvement. Should the periodic reviews indicate that a probationary faculty member is not making satisfactory progress toward tenure, the report may include a recommendation for nonrenewal. For associate professors, the report 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 (NDSU Policy 352, Sec. 4.7).

## 11. INCLUSION OF MATERIALS IN PROMOTION AND TENURE PORTFOLIOS

- 11.1. The format prescribed by the University, outlined in the current *NDSU Guidelines for Promotion and Tenure*, serves as the official guideline to prepare the application for promotion/tenure. This standard format is intended to expedite the review process. Some categories within the format may not be applicable to all portfolios, and blanks are not necessarily considered deficiencies. When entries could justifiably be listed in



any of several categories, candidates should exercise judgment, but record the accomplishment only once.

- 11.2. Copies of all annual evaluations for the review period shall be included in the candidate's portfolio. Candidates for promotion to the rank of Professor should provide job descriptions and annual reviews, and list teaching and service activities, only since their last promotion at NDSU, or since hire for those who have not gone through the promotion process. The candidate shall ensure that the dossier is complete, current, accurate, and ready for review.
- 11.3. Candidates are entrusted to prepare accurate and concise representations and/or summaries of activities and must have available, if requested, a copy, or parts thereof, of supplemental materials that illustrate the candidate's achievements in teaching, research, and service referred to in the portfolio.
- 11.4. Additions to the portfolio subsequent to November 1 will be written and be limited to: (a) the reports of the College PTE committee and of the Dean; (b) materials requested by the College PTE committee or by the Dean (Note: Items in (b) will be reciprocally shared so the College PTE committee and Dean review identical portfolios); and (c) any responses by the candidate to the report(s) of the College PTE committee and/or of the Dean. When any written materials are added to the candidate's portfolio, copies must be sent to the candidate for review. All additions must be signed and dated by the candidate.

## 12. PROCEDURES FOR ACADEMIC PROMOTION AND TENURE

- 12.1. The candidate shall submit their application for promotion and/or tenure and the portfolio to the department/academic unit Chair/Head for review at the departmental level according to the deadline and procedures developed by the department/unit.
- 12.2. By September 15, the department/academic unit Chair/Head shall submit a letter of intent to the College PTE committee chair, informing the College committee of the candidate's name and requested action, and listing the composition of the department/unit committee designated to evaluate the candidate's qualifications for promotion. In case no evaluation committee is identified, the College committee, in consultation with the candidate, the Chair/Head, and the College Dean shall name such a committee. Should fewer than three qualified faculty members be available from the department/unit, the College PTE committee, in consultation with the qualified faculty, the candidate, the Chair/Head, and the Dean shall name additional qualified faculty.
- 12.3. Department/academic unit chairs/heads and PTE committees (if applicable) will perform separate evaluations and formulate separate written recommendations. This separation does not preclude logistical coordination between chairs/heads and PTE committees.
- 12.4. After November 1, any addition of materials to the portfolio is limited by NDSU Policy 352, Sec. 6.
- 12.5. Upon receipt of the complete application and portfolio, the College PTE committee will independently review, evaluate, and vote on the candidate's application for promotion and/or tenure. The College committee will prepare a written evaluation of the application, including their vote tally, recommendations, and an explanation of

their basis, which will be placed in the candidate's application for subsequent submission to the Provost. A copy of the College PTE committee's report shall be sent to the College Dean, the department/academic unit Chair/Head, the department/unit PTE committee chair, and the candidate.

- 12.6. Independent of and concurrent with the College PTE committee's review, the College Dean shall review the application and prepare a separate written evaluation, including recommendations and an explanation of their basis, which will be placed in the candidate's application for subsequent submission to the Provost. A copy of the Dean's report shall be sent to the College PTE committee, the department/academic unit Chair/Head, the department/unit PTE committee chair, and the candidate. The Dean shall forward the complete application, including the recommendations of the College PTE committee and the Dean, to the Provost no later than January 1.

### 13. SPECIAL PROCEDURES

- 13.1. The College follows NDSU Policy 352, Sec. 3.5 regarding faculty hired with and without previous relevant experience and procedures for early promotion.
- 13.2. For a faculty member without previous academic-relevant experience, eligibility for tenure requires a probationary period of six years. Evaluations for promotion to Associate Professor and granting of tenure will ordinarily be conducted concurrently. However, exceptional academic accomplishments may warrant early promotion prior to the completion of the six years of the probationary period. Petitions for early promotion shall be initiated by department/academic unit chairs/heads, and not by faculty members themselves (NDSU Policy 352, Sec. 3.5).
- 13.3. The College follows NDSU Policy 352, Sec. 3.6 regarding extensions to the probationary period.
- 13.4. The College follows SBHE Policies 605.3, 605.4, and 605.5 and NDSU Policy 352, Sec. 6 regarding pre-sixth-year nonrenewal.

### 14. PROCEDURES FOR REVISING THIS POLICY

- 14.1. Revisions to this policy shall be proposed by the College PTE committee, in consultation with the College Dean, and approved by a simple majority vote (majority of votes cast, excluding abstentions) of tenure-line faculty, professors of practice, and research professors of any rank who have more than a 50% appointment in the College.