

# **Policy for Procedures for Promotion, Tenure, Evaluations, Dismissals, Terminations, and Non-renewals**

**Department of Animal Sciences (ANSC)  
College of Agriculture, Food Systems, and Natural Resources  
North Dakota State University**

**Revised by Department of ANSC PT & E Committee on August 1, 2008  
Approved by Department of Animal Science Faculty on November 7, 2008**

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NDSU is an equal opportunity institution.

*Department of Animal Sciences  
College of Agriculture, Food Systems and Natural Resources  
North Dakota State University  
Guidelines for  
Promotion, Tenure, Evaluation, and Non-renewals*

**1.0 Introduction** (*Corresponds to sections 1-3 of COA-FS-NR PTE guidelines*)

This document describes the Department of Animal Science's policy and procedures for promotion, tenure, evaluations, and non-renewals. The policies described in this document conform to and are consistent with SBHE policies 605.1 to 605.5, NDSU policies 350.1, 350.3 and 352, and the pertinent College of Agriculture, Food Systems and Natural Resources (COA-FS-NR) guidelines (<http://www.ag.ndsu.nodak.edu/policy/>).

Promoting of faculty, awarding of tenure, and the prerequisite processes of evaluation and review for faculty are of fundamental importance to the long-term ability of the Department of Animal Sciences to carry out its mission. Promotion recognizes the quality of a faculty member's scholarship and contributions in the areas of teaching, research, and service. Promotion acknowledges that the faculty member's contribution to the department and university is of increasing value. Tenure assures academic freedom and enhances economic security for faculty members who show promise of sustained contributions. 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 (NDSU Policy 352.1).

The Department of Animal Sciences believes each of its faculty deserves regular evaluation of his or her professional duties as they relate to a formal job description and the department's needs. This process should be honest, open, and forthright, an acknowledgment of the faculty's achievements, as well as an assessment of his or her ability to match the department's expectations, and a determination of areas needing improvement. The policies outlined in this document are designed to achieve these objectives.

**2.0 Promotion Tenure and Evaluation (PT&E) Procedures** (*Corresponds to section 4.1, 4.2, and 5.1-5.4 of COA-FS-NR PTE guidelines*)

**2.1 PT&E Committee Composition**

Evaluation of faculty for promotion and tenure in the Department of Animal Sciences is the responsibility of those faculty who hold the rank of professor. The Departmental Promotion, Tenure and Evaluation (PT&E) Committee thus will consist of all tenured full professors in the department excluding the Department Head. They shall select a chair from among the members to serve a one year term. The Animal Sciences PT&E Committee will follow the PT&E processes and procedures outlined in the COA-FS-NR PT&E guidelines, NDSU policy for Promotion, Tenure, and Evaluation (NDSU policy 352), and will be consistent with NDSU policies 350.1 and 350.3.

## ***2.2 Mentoring Committees***

The Head of the Department of Animal Sciences will establish, during the first year of their appointment, a Mentoring Committee for new, tenure-track assistant or associate professors. The Mentoring Committee will be composed of at least two tenured faculty members. The function of the Mentoring Committee will be to aid the professional development of new faculty. For that purpose, the Mentoring Committee will evaluate and discuss with the new faculty his or her progress toward promotion and tenure. The Mentoring Committee will provide an annual written evaluation of the new faculty progress toward promotion and tenure to the Departmental PT&E Committee, and the Department Head by the deadlines shown in Table 1. The PT&E Committee and the Department Head will then provide input to the Mentoring Committee regarding their evaluation of the progress of the candidate. The Mentoring Committee will not be held responsible for the performance of new faculty. Mentoring can be considered service to the department and noted in annual reports.

## ***2.3 PT&E Dossier***

The PT&E portfolio should follow the format prescribed by the University, outlined in the *NDSU Guidelines for Promotion and Tenure Application Preparation* document (available from the Office of the Provost web site). Some categories within the format may not be applicable to all applicants, thus blanks are not necessarily considered deficiencies. When entries could justifiably be listed in any of several categories, applicants should exercise judgment, but record the accomplishment only once. The candidate's entire record at NDSU should be included in the application, but the primary focus of the evaluation will be on the period of review. It is the responsibility of each faculty member to understand the processes, elements, and contributions that demonstrate productivity, and to record and annotate contributions in ways that convey value and impact. Applicants are entrusted to prepare accurate and concise representations and/or summaries of activities. Candidates should 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 application. Submitting such documents in an appendix is necessary only if requested.

Because of the unique relationship among faculty in the COA-FS-NR and clientele (commodity groups, agribusiness, and others), candidates should identify and maintain clear records of these service/extension activities. Letters of support from peer scientists and/or clientele are encouraged for promotion to associate professor and required for promotion to professor. The letters are solicited by the Department Head from a list of candidates jointly agreed upon with the faculty in question. The list of candidates should exclude major professors, post-doctoral mentors, and relatives.

## 2.4 Annual Review of Probationary Tenure-Track Faculty

### 2.4.1 Review timetable and deadlines.

**Table 1.** Timetable for the annual review of probationary tenure-track faculty, the third year review process, and the promotion and tenure application process. NOTE: The deadlines for the Department Head and the submission of documents to the Dean, the COA-FS-NR PTE Committee, and the Provost are those mandated by the COA-FS-NR guidelines.

<i>Tenure Year July 1 - June 30</i>	<b>Date in Which Review must be Completed or Results Submitted to Following Locations</b>					
	<i>Submitted by Faculty and Mentoring Committee to Dept. Head and PTE Committee</i>	<i>Completed by Department Head</i>	<i>Completed by the Department PTE Committee</i>	<i>Submitted to Dean COA-FS-NR</i>	<i>Submitted to COA-FS-NR PTE Committee</i>	<i>Submitted to Provost/VPAA</i>
1	Jan 1	Feb 1	Feb 8	Feb 10		May 1
2	Jan 1	Feb 1	Feb 8	Feb 10		May 1
3	Jan 1	Jan 20	Jan 25	Feb. 1	Feb. 8	May 1
4	Jan. 1	Feb 1	Feb 8	Feb 10		May 1
5	Jan 1	Feb 1	Feb 8	Feb 10		May 1
6	Sept 19	Oct 9	Oct 20	Oct 20	Oct 20	Jan 15

**2.4.2** Probationary tenure-track candidates will submit annually (Table 1) their PT&E portfolio, including their most recent job description, to the PT&E Committee and the Department Head. The portfolio should follow the format outlined in section 2.3 minus the letters of support. The PT&E portfolio may be returned to the candidate if it does not follow the specified format.

**2.4.3** The PT&E Committee will forward annual written reviews of probationary faculty to the Department Head, the Mentoring Committee, and the faculty under review by the deadlines shown in Table 1. The review should contain a statement on progress toward promotion and tenure of the faculty in question based on the criteria outlined in section 3.3 of this document.

**2.4.4** The Department Head will also provide annual written reviews of probationary faculty by the deadlines shown in Table 1. The reviews should contain: **(a)** an overall recommendation for contract renewal or non-renewal (NDSU policy 352.4.4, for more details see section 4.0 of this document); **(b)** a statement on progress toward promotion and tenure; **(c)** a separate evaluation of each job component, which at a minimum addresses performance in teaching, research, and service to the academic discipline, stakeholders, and the university; **(d)** goals and expectations for the upcoming review period; and **(e)** signatures of faculty member and Department Head indicating that the review has been transmitted (the signature of the faculty member does not necessarily imply agreement with the review). The faculty member has the right to submit a letter of comment, rebuttal, or amplification to the Dean (with copy to the Department Head) within 10 business days following receipt of the review (NDSU policy 352.4.6).

**2.4.5** Third year reviews are designed to provide probationary tenure-track faculty members with formal guidance as to where they stand midway through their probationary term. The review will follow the format and timetable (Table 1) of regular annual reviews. The criteria used by the PT&E Committee for third year evaluations are outlined in sections 3.3 and 3.4 of this document. The Department PT&E Committee will forward a written third year evaluation of probationary tenure-track faculty to the COA-FS-NR PT&E Committee, the COA-FS-NR Dean, and the Department Head by the deadline shown in Table 1. The Department Head will prepare a separate letter of evaluation to be forwarded, along with the completed portfolio, to the COA-FS-NR PT&E Committee, and the COA-FS-NR Dean by the deadline shown in Table 1.

## ***2.5 Annual Review of Tenured Faculty***

**2.5.1** Annual reviews of tenured faculty will be done by the Department Head (NDSU policy 352.4.4), and will be completed by March 1 of each year, unless the faculty member is applying for promotion, in which case the procedure and deadlines will be those outlined in section 2.6 of this document.

**2.5.2** Reviews of tenured faculty should contain sufficient detail relative to performance so as to provide the faculty member with an honest and realistic appraisal of his/her progress or standing. Annual reviews will be based on the currently approved job description. The faculty member will be provided with a copy of the performance reviews, and has the right to submit a letter of comment, rebuttal, or amplification to the Dean (with copy to the Department Head) within 10 business days following receipt of the review (NDSU policy 352.4.6). Reviews of tenured faculty should contain at least: **(a)** separate evaluations for each job component; **(b)** goals and expectations for the upcoming year; **(c)** descriptions of significant changes in assignment, responsibility, or research/teaching/service direction; **(d)** a statement on progress toward promotion (if appropriate); and **(e)** signatures of faculty member and chair indicating that the review has been transmitted (the signature of the faculty member does not necessarily imply agreement with the review).

## ***2.6 Tenure and Promotion to the ranks of Associate Professor and Professor***

**2.6.1** Any faculty member may initiate the process of promotion and/or tenure for her/himself or for another faculty member.

**2.6.2** Candidates for promotion to the rank of associate professor, professor, and/or tenure will submit their PT&E portfolios, including their most recent job descriptions, for review by the Departmental PT&E Committee and Department Head by October 1 of the year preceding the anticipated award of promotion and/or tenure. The portfolio should follow the format outlined in section 2.4 and may be returned to the candidate if it fails to do so.

**2.6.3** Probationary assistant professors are normally eligible to apply for promotion to associate professor and tenure in their sixth year of continuous academic service at NDSU. Promotion and tenure decisions generally occur at the same time. For a faculty member without previous academic-relevant experience (first academic position), eligibility for tenure requires a probationary period of six years. In accordance with NDSU policies 350.1.4.b.3, and 352.3.4 and the COA-FS-NR PT&E guidelines, however, a probationary faculty who has demonstrated exceptional academic accomplishments may apply for early promotion prior to the completion of the six years probationary period.

**2.6.4** In agreement with NDSU policy 350.1.4.a.1 and the COA-FS-NR PT&E guidelines, a faculty member with relevant previous 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, the promotion and tenure applications would be due in the fifth year of service; given three years, the application would be due in the third year 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.

**2.6.5** In accordance to NDSU policy 350.1.3.c and the COA-FS-NR PT&E guidelines, a faculty member may request at any time during the probationary period (but prior to the sixth year when the portfolio is due) 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 also eligible for this extension. The request must be in writing and will be reviewed and forwarded sequentially with recommendation by the Department Head, COA-FS-NR Dean, and Provost/VPAA to the President who will approve or deny the request. Denial of an extension may be appealed under NDSU policy 350.4.

**2.6.6** Promotion to professor is typically considered after the completion of at least five years of service in rank as associate professor.

**2.6.7** Candidates for tenure and for promotion to the ranks of associate professor or professor will be evaluated by the Department PT&E Committee in accordance to the criteria outlined in sections 3.4 and 3.5 of this document. The Department PT&E Committee will forward to the COA-FS-NR PT&E Committee, the COA-FS-NR Dean, and the Department Head, by November 1, a written evaluation of the candidate and a recommendation, which should include the committee vote, regarding the granting of tenure and/or promotion to the rank of associate professor or professor. The candidate must achieve a two-thirds majority of support of the Departmental PT&E Committee to be recommended for promotion and/or tenure. The Department Head will prepare a separate letter of evaluation with a recommendation regarding the granting of tenure and/or promotion to the rank of associate professor or professor to be forwarded, along with the completed dossier, to the COA-FS-NR PT&E Committee and the Dean by November 1.

### **3.0 Promotion and Tenure Criteria** (*Corresponds to section 5.5-5.7 of COA-FS-NR PTE guidelines*)

#### **3.1 Overview**

Promotion and tenure recommendations will be based on: **(a)** fulfillment of the faculty member's job description, and **(b)** the individual faculty member's contribution to the mission of the department as described in the most recent Departmental mission statement. All faculty should demonstrate evidence of research, teaching, and creative activities, as outlined later in this document, to justify promotion or tenure. The Department Head and the individual are responsible for ensuring that the job description approximates what the individual is doing on an annual basis. It is the responsibility of the Department Head and the individual to adjust either the job description or the direction of work to make them consistent. In general, to be promoted to associate professor or professor, the candidate is expected to accomplish tasks delineated in the job description in sufficient quantity and quality to attain documented national recognition. In addition, greater emphasis will be placed on development of a national/international reputation as a criterion for promotion to professor. Evidence of national or international recognition will be documented, as described later in this document.

#### **3.2 Promotion and Tenure Expectations**

All faculty members are expected to make contributions in the areas of teaching, research, and service. Both the quantity and quality of a faculty person's contributions in all areas of responsibility will be evaluated during the promotion and tenure review process. The emphasis on each area will vary over time from individual to individual based on their job-related responsibilities, which in the Department of Animal Sciences vary considerably among faculty. Faculty will be expected to demonstrate greater levels of accomplishment in those areas (teaching, research, or service/extension) in which they have the greatest percentage of appointment as described in their job description. Faculty members are not expected to exhibit equal levels of proficiency in all areas. Evaluation of performance in each area will be based on input from multiple sources including the individual being assessed, students, peers, clientele, and administrators. As stated above, all faculty members are expected to make contributions in each of the three areas of teaching, research, service, and creative activities. The periodic reviews by the Mentoring Committee, Department Head, and Departmental PT&E Committee

are designed to ensure that each faculty member is aware of, and thus can address, deficiencies in any of these areas.

### ***3.3 Criteria Used in Judging Probationary Faculty***

Teaching: The Departmental PT&E Committee will consider student and peer evaluations to ascertain the faculty member's performance. Consistently poor evaluations, coupled with a failure to improve teaching performance over time, will be considered evidence for insufficient development of teaching expertise. For faculty with extension appointments, presentations and programs should be well developed by the second year. Evaluation of performance will be accomplished by peers and presentation recipients. In the evaluation process of all persons with greater than a 50 percent extension appointment, the program director for Extension Administration will be asked to confer with the Departmental PT&E Committee.

Research: Since the establishment of a research program may require time, consideration will be given the percent appointment to research, the nature of the research program, and the quality and contributions of the publishable results. The PT&E Committee shall expect: research publication submissions to peer-reviewed journals on subjects related to the individual's Animal Sciences research area (regardless of where the research was done) no later than 24 months after the faculty member's hiring date; acceptance or publication of manuscripts in peer-reviewed journals no later than 36 months after hiring for research conducted before hiring; and acceptance or publication of Animal Sciences - based manuscripts in peer-reviewed journals no later than 42 months after the date of hiring.

Service: The Departmental PT&E Committee will consider provision of professional expertise to the college, the university, the public, and professional and governmental organizations.

### ***3.4 Criteria for Tenure and Promotion to Associate Professor***

Teaching: Persons having teaching responsibilities must demonstrate quality instruction through the effective design and presentation of course (or extension) materials, the continuous improvement of courses or instructional programs, and the effective advising and mentoring of undergraduate and/or graduate students. Examples of evidence of quality teaching include:

1. Student evaluations of the candidate's teaching.
2. Peer assessment of the quality of the candidate's courses and course materials.
3. Receipt of nominations and/or awards for teaching.
4. Student evaluations of the candidate's advising competency.
5. Scholarship of teaching that includes activities like, but not restricted to, teaching workshops, publication of textbooks, new peer reviewed course materials, publication of teaching methodologies, etc.
6. Extension programming and presentations.
7. Extension materials developed or published.
8. Extension conferences coordinated or developed.
9. Peer and clientele evaluation of extension programs and presentations.



Research: The candidate must clearly document scholarly contributions from her/his research program. This documentation may take several forms:

1. Publications e.g., peer-reviewed journal articles, books and book chapters, extension bulletins, peer-reviewed instructional materials. The documentation includes peer-reviewed publications.
2. Grant proposals with an indication of those funded or not funded.
3. Completion of disquisitions by graduate advisees.
4. Professional society presentations.
5. Invited presentations.

Service and Creative Activities: The candidate must provide a clear indication of service related activities.

1. Departmental, College, University, Professional, and(or) Public service activities (committees, workshops, programs).
2. Participation as a peer review panel member in granting agencies.
3. Peer and ad-hoc reviews of journal articles, books, and grant proposals.
4. Participation in mentoring committees.

Professional Assessment: The candidate is expected to exhibit professional and team performance behavior contributing to the mission of the Department, COA-FS-NR, and the University.

1. Show initiative in meeting professional and Departmental goals and mission.
2. Reinforce teamwork, accept and offer team direction, and inspire cooperation and progress.
3. Contribute to the Department's cohesiveness and morale through displayed fairness and respect for others.

### ***3.5 Criteria for Promotion to Professor***

The recognition as professor implies marked achievement, as described below, in areas of teaching, research, and service. Time in rank as associate professor, though not in itself a direct condition for promotion, should be sufficient to allow for development of shown achievements. Candidates for promotion to professor, in addition to continuing to meet the criteria for tenure and promotion to associate professor, must provide documentation, as outlined above, of:

1. Continued quality teaching performance as documented by: teaching, awards; participation in teaching-oriented seminars, grants, etc; development of new teaching materials, reviews of course or extension materials by intra- and extramural peers, etc.
2. Continued intellectual contributions to their discipline as documented by: publications in peer reviewed journals, invited peer reviewed articles, research awards, grantsmanship, etc.
3. Continued provision of professional expertise to the college, the university, the public, and their profession as documented by: service to college, university, professional, or government organizations; etc.

**4.0 Non-Renewal of Probationary Faculty Contracts** (*Corresponds to section 6 of COA-FS-NR PTE guidelines*)

**4.1** Non-renewal of probationary faculty contracts will conform to, and be consistent with, NDSU policy 350.3 and the COA-FS-NR PT&E guidelines.

**4.2** As stipulated by NDSU policy 350.3.1, a probationary appointment may be terminated, at any time and without cause, with notice to the faculty member that the appointment will not be renewed.

**4.3** In accordance with NDSU Policy 350.3.1.b, non-renewal recommendations of a probationary faculty prior to the final probationary year will be made by the Department Head to the Dean.

**4.4** As part of the non-renewal process, the Department Head will request that the Departmental PT&E Committee perform a complete written evaluation of the faculty in question which will be part of the official file. The faculty member will have 10 business days to add a written response to the PT&E Committee evaluation.

**4.5** The Department Head will first review appropriate administrative procedures, then meet with the faculty member, discuss the proposed non-renewal recommendation, and give the faculty member 10 business days to respond, in writing, to the proposed non-renewal recommendation. It is recommended that this meeting be summarized by the Department Head in writing and given to the faculty member with acknowledgment of receipt. It is encouraged that a neutral third party with the rank of professor be invited to be present at the meeting.

**4.6** The Department Head will prepare the formal letter of non-renewal recommendation. The faculty member's written response and any additional material the faculty member wishes to include will accompany the recommendation. The Department Head will include all periodic reviews and any other materials from the faculty member's official personnel file that he or she deems relevant. The timelines and procedures of NDSU Policy 352.6 (*promotion and tenure application timelines*) do not apply to non-renewals prior to the sixth year. The Department Head's letter of recommendation for non-renewal will be forwarded to the Dean.

**4.7** In accordance to NDSU policy 350.3.1.a and the COA-FS-NR PT&E guidelines, the timetable for non-renewals is as follows:

(a) If the faculty member is in his/her first year of probationary service, termination will be effective at the end of 90 days following determination of non-renewal.

(b) If a faculty member is in his/her second year of probationary service, termination will be effective at the end of 180 days following determination of non-renewal.

(c) If a faculty member is in the third to sixth year, termination will be effective at the end of twelve months following determination of non-renewal.

In accordance with the COA-FS-NR PT&E guidelines, the Department Head can, however, petition the Dean for delayed termination provided the rationale is for the good of the department and the college.

**5.0 Procedures for Changing the Promotion, Tenure, Evaluation, and Non-renewals Guidelines** (*Corresponds to section 11 of COA-FS-NR PTE guidelines*)

The Department of Animal Sciences Policy and Procedures for Promotion, Tenure, Evaluations, and Non-renewals should be periodically modified to comply with the State Board of Higher Education and/or NDSU policies, to correct errors, to edit for clarity, and to respond to issues that are not well addressed. The Department of Animal Sciences PTE Committee has the authority to make editorial changes, correct errors, inconsistencies, or format, and to make those changes that bring the Departments policies in line with NDSU and SBHE policies. A summary of the corrections/edits will be forwarded to the COA-FS-NR Dean and Provost/VPAA for their approval before taking effect.

**Approved**

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Chair, PT&E Committee  
Department of Animal Sciences

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Date

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Department Head  
Department of Animal Sciences

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Date

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Chair, PT&E Committee  
College of Agriculture, Food Systems, and Natural Resources

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Date

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Dean  
College of Agriculture, Food Systems, and Natural Resources

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Date

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Provost/Vice President for Academic Affairs  
North Dakota State University

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Date