What We’re Covering Today

• 1. Relevant Policy
  – 1. SBHE policy
  – 2. Faculty Handbook
  – 3. Essential Elements
  – 4. College/School rules of governance
  – 5. Departmental rules of governance

• 2. University Procedure
  – 1. Promotion vs. tenure
  – 2. Timeline
  – 3. Forms & packet/dossier
  – 4. Levels of review
  – 5. Special circumstances
  – 6. Procedural guidance & interpretation

• 3. Advice for Candidates
  – 1. Questions we get
  – 2. Tips we give
  – 3. Issues we see
1. Relevant Policy
1.1.b. The purpose of tenure is to assure academic freedom. ...

1.1.c. Tenure is awarded by the Board upon recommendation of the Chancellor, following review and recommendations made pursuant to the procedures established at the institution and a recommendation by the institution's president to the Chancellor. ...

A favorable recommendation means that the applicant meets all of the prerequisites and criteria and the award of tenure is consistent with the sound fiscal management and academic priorities of the institution and the system of education under the control of the Board. ...
1.3.b. The criteria for tenure evaluation and continuing evaluation of probationary and tenured faculty shall include scholarship in teaching, contribution to a discipline or profession through research, other scholarly or professional activities, and service to the institution and society. Institutions may adopt additional criteria. ...

1.3.c. Eligibility for tenure requires a probationary period of six years of continuous academic service to the institution, during which the faculty member is evaluated at least annually according to an evaluation process designed to foster continuous improvement. ...
• 1.4.a.i. An individual with previous professional experience may, at the discretion of the institution, be given tenure credit not to exceed three years for this experience, with such credit to be regarded as academic service to the institution for the purpose of these regulations. The faculty member shall be informed in writing of this policy and the institution's decision prior to or at the time of appointment.
UND Faculty Handbook

5.1 ACADEMIC RANKS OF UND FACULTY

PROFESSOR
- Recognition for teaching excellence
- Recognition for scholarly and/or creative accomplishment
- Recognition for leadership within his or her profession
- Recognition for demonstrated spirit of concern for society

ASSOCIATE PROFESSOR
- Marked teaching effectiveness
- Scholarly and/or creative accomplishment
- Substantial contribution to his or her profession
- Demonstrated spirit of concern for society

ASSISTANT PROFESSOR
- Effective as a teacher
- Scholarly and/or creative endeavor
- Active in his or her profession
- Spirit of concern for society

INSTRUCTOR
- Promise as a teacher
- Interest in his or her profession
5.2 CRITERIA FOR PROMOTIONS IN RANK

• Promotions are regarded as recognition of superior intellectual attainment as evidenced both in teaching and in distinctive contributions to one's discipline or profession. A truly effective faculty member will also demonstrate a commitment to society. ...

• While individuals will possess these qualities in varying degrees, they will be considered for promotion on the basis of the following criteria as specified to be pertinent to the individual in her or his contract(s) and tenure plan(s) identified in such contract(s).
A. Teaching

Effective teaching is an indispensable criterion for promotion. Evidence of effective teaching need not be restricted to formal classroom or seminar activity, but may include such things as the direction of graduate studies and contributions to curriculum design and implementation. Since there are a number of ways in which a faculty member may be a demonstrably effective teacher, no firm guidelines for judging this qualification are suggested. Rather, it shall be the responsibility of the department chairperson to submit meaningful statements, accompanied by whatever evidence or documentation he or she deems appropriate, concerning the candidate's effectiveness in various types and levels of instruction.
B. Contributions to One's Discipline or Profession

A second indispensable criterion for promotion is evidence of noteworthy contributions to one's discipline or profession in the form of research and creative work and/or outstanding professional competence and activity.

1. Research and creative work: Evidence of scholarship and creative work is found in the candidate's published research or recognized literary or artistic productions. Research publication and other creative accomplishments are to be evaluated, not merely enumerated, and there should be evidence that the candidate is continuously and effectively engaged in creative work of high quality and significance.

2. Professional competence and activity: Contributions to one's field are often in the form of demonstrated distinction in the special competencies characteristic of the profession or discipline. Recommendations based on this criterion should be accompanied by evidence of leadership in the field and progressiveness in the development and implementation of new approaches and techniques for the solution of professional problems.
C. Contributions to Society

Other areas of activity are recognized as crucial to the effective functioning of the University. A faculty member may contribute special knowledge to the benefit of society as a whole, and may serve the University in administrative roles, committee memberships, and the like. It is expected that all faculty members will devote a certain amount of time and effort to these functions.
2. In addition to the normal procedure described in A.1 above, eligibility for promotion will be reviewed for instructors in their fourth year in rank, assistant professors in their sixth year in rank and associate professors in their seventh year in rank whenever promotion to the next rank has not been recommended earlier. The review is normally initiated in the department as described in A.1 above. A faculty member may, in writing, withdraw a consideration of a promotion at any level of review. The time periods specified above are not intended to indicate the normal or usual time spent in a particular rank prior to promotion. The criteria for evaluation of promotion should be the same regardless of when such a review occurs. For persons hired at mid-year, the half year of service shall count as a full year toward promotion.
8.2 UND ADMINISTRATIVE GUIDELINES FOR DEVELOPMENT OF TENURE RECOMMENDATIONS

- **E. Early tenure (after four or five years) will be recommended only in exceptional cases.**

- **Implementation at the University of North Dakota:**
  - The probationary period of six years of continuous academic service to the institution may be shortened under those unusual circumstances when the faculty member's qualifications support a grant of early tenure in less time than the ordinary probationary period. In these cases, the faculty member bears the burden of demonstrating that his or her achievements unequivocally meet the stated criteria for tenure as established by the University in I-8.1.1(3)(b). The evaluation for the award of early tenure shall proceed in accordance with the procedures used for ordinary tenure reviews.
  - A faculty member may be considered for early tenure only once. If a faculty member does not receive a favorable evaluation for the award of early tenure, his or her established probationary period will continue, at the end of which their ordinarily scheduled evaluation for tenure will occur.
8.2 UND ADMINISTRATIVE GUIDELINES FOR DEVELOPMENT OF TENURE RECOMMENDATIONS

- A tenure-eligible Assistant Professor ordinarily must put forth an application for both promotion to Associate Professor and tenure in his or her sixth year. If the Assistant Professor does not achieve promotion to Associate Professor, then the President will recommend that his or her tenure application also be denied.

- In this case, with the Provost’s approval, and consistent with fulfillment of the University’s institutional obligations, appropriate rigor of promotion, and tenure standards, and fairness to faculty, the Assistant Professor’s Dean may
  - Do nothing, in which case the following year will be the Assistant Professor’s terminal year.
  - Hire the Assistant Professor in a non-tenure-eligible position, such as instructor.
  - Request from the Provost a one-year extension of the tenure clock, giving the Assistant Professor one additional year to successfully apply for promotion to Associate Professor and tenure. In this case, the Dean and department should communicate clearly, and in writing, what the Assistant Professor must accomplish prior to, and demonstrate in, his or her next application. If the Assistant Professor does not achieve promotion to Associate Professor based on the next application, then his or her tenure application must also be denied, and the Dean may choose between options (a) and (b) above.
UND’s “Essential Elements of Departmental Guidelines for Evaluation, Promotion and Tenure”

• Faculty-led committee (2008) identifies the “Essential Elements” for relevant, meaningful, and useful departmental guidelines for evaluation, promotion and tenure

• Implementation process for all departmental guidelines underway

• Approval by Chair, Dean, Provost & VPAA

• Criteria include philosophy, discipline uniqueness statements; accomplishment; minimum expectations; evaluation procedures; merit adjustments; relationship among position description, tenure plan, expectations; composition of committees; evaluation evidence & assessment; organization of file; notice & time requirements; confidentiality; appeals; implementation date for new standards
2. University Procedure
• **Promotion vs. tenure**
  - Distinct, but usually aligned, expectations and process
  - Linked in *Faculty Handbook*

• **Timeline**
  - Notify intent & consult with chair (spring), prepare packet, solicit external reviews, assemble dossier, go up (fall)

• **Forms & Packet/Dossier**
  - College/school, university requirements for material, format
  - Standardized, electronic format for consistency and ease of review

• **Levels of review (note: contingent on promotion vs. tenure)**
  - Department & chair, college & dean, university, provost, president, SBHE
  - SMHS process distinct

• **Special circumstances**
  - Prior tenure credit, deviation from standard time in rank, extraordinary hardship

• **Procedural Guidance from the Provost & VPAA for AY 2016-2017 Cycle**
  - Alignment of review, review of clinical and special appointments, linkage of promotion & tenure, demonstrating accomplishment & recognition in rank, committee member eligibility & voting
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VPAA Promotion & Tenure Webpage

- One-stop for annual promotion & tenure process

- Resources:
  - Faculty Promotion Form
  - Tenure Recommendation Form
  - Required material
  - Master timeline

- Information about Essential Elements
  - List of Essential Elements
  - Assessment rubric
VPAA Promotion & Tenure Webpage

Promotion and Tenure

Timeline

Faculty candidates for promotion and/or tenure, as well as all College/School and Department faculty or staff who might be involved with this year’s cycle, should familiarize themselves with the Timeline, as well as Departmental and College/School deadlines.

Required Materials

Faculty candidates should consult with their Departmental Chair and Dean’s Office as candidates assemble materials and dossiers. Please bear in mind that more dossier information may be required at the local level than at the VPAA Office level. Candidate materials therefore should be assembled first to meet Internal Departmental and Dean’s office requirements, then to meet university requirements.

1. Applicant to Department Chair (materials remain in Dean’s Office)
2. Applicant to Department Chair (materials forwarded to reviewers)
3. Material to be added as subsequent reviews are completed
4. College/school to the Vice President for Academic Affairs Office

Following completion of required Departmental and College/School review, required material must be submitted to the VPAA Office in electronic PDF form.

2015-2016 University Promotions Committee Membership

- Elizabeth Bjerke (JDO)
- F. Richard Ferraro (A&S)

Resources

- Faculty Promotion Form
- Tenure Recommendation Form
- Master Timeline
- Required Materials

Department Resources

- Essential Elements
- Essential Elements Rubric
- Letter from President and Provost
- PTE Guidelines for Approval Process

VPAA Contacts

Michelle Hamilton
701.777.2167
michelle.hamilton@UND.edu

Steve Light
701.777.0960
steven.light@UND.edu
Annual Timeline

**April**
- Notice of Intent for tenure and/or promotion should be filed with Department Chair

**June**
- Applicants submit material to be sent to external reviewers (if required by department or college/school)

**September**
- Applicants submit tenure and/or promotion files electronically. Chairs make files available to Department Committee.
- Department Committee written record of votes due (regarding promotion only)

**October**
- Department Chair’s recommendations are due
- College Committee given access to promotion material

**November**
- College Committee submits advice along with written record of votes for and against promotion to the Dean

**December**
- Dean’s recommendation are made for promotion and tenure
- Provost’s Office makes promotion files available for review

**January**
- University Promotions Committee reviews files and provides advice, along with written record of votes for and against promotion, to the Provost
- Academic Deans review files and provides advice, along with written record of votes for and against promotion, to the Provost

**February**
- Provost’s recommendations are made for both promotion and tenure

**March**
- President’s decision on promotion and recommendation on tenure are made

**TBD annually in spring**
- President’s recommendations on tenure are forwarded to NDUS and SBHE
- SBHE decisions on tenure announced
Assembling the Packet/Dossier

- List of required material and order of material at P&T website

- VPAA Office requirements of candidate, staff, committees:
  - Format of curriculum vitae (must be as prescribed)
  - Order of evaluations (most recent evaluation first)
  - External review letters vs. informal letters of support (latter will be removed at central level)
  - Written statements explaining advice of department/program committee and college/school committee must be included in dossier

- Dossiers must be submitted to VPAA Office via PDF
  - For consistency, equity, and ease of review
  - We recommend that departments, colleges, and schools also require material in electronic form
  - Faculty should consult with Dean’s office about college-specific requirements
University of North Dakota
Required Promotion and/or Tenure Materials

I. Materials the applicant should submit to the Department Chairperson

Please submit an electronic copy (as reasonable; e.g., a book need not be digitized) of the following to your Department Chairperson. This material will remain in the Dean's Office throughout the process, unless requested.

1. Copies/examples of course syllabi/course materials
2. Student assessments
3. Peer review evaluations of teaching
4. Peer review evaluations of creative activities
5. Letters of professional recognition for awards/honors
6. Verifications of creative performances/exhibits
7. Copies of all publications since hire (for tenure candidates)
8. Copies of all publications since last promotion at UND, or copies of all publications since hire for those who have not gone through the promotion process (for promotion candidates)

II. Materials the applicant should submit to the Department Chairperson

Please submit an electronic copy of the following to your Department Chairperson. This material will be forwarded to all subsequent reviewers.

1. Curriculum Vitae to include:
   a. Educational Background
   b. Professional Experience (including academic and administrative positions)
   c. Courses Taught
      Regular Assignments and Continuing Education Advisees (Undergraduate)
      Graduate Student Advising:
      Independent Study/Scholarly Project/Design Project Advisor
      Master’s Thesis Committee (Indicate if you served as committee Chair)
      Doctoral Dissertation Committee (Indicate Role: Chair, Member, or Member-at-Large)
   d. Curriculum Development Activities
   e. Service (Include any offices held)
     Department
     College
     University
     Professional Associations
     Community
e. Publications/Performances/Exhibits/Educational products (Please indicate full citations, and the order of multiple authorships. Indicate your contribution to the work if there are multiple authors.)
   Juried/Refereed
   Non-juried/Non-refereed
   Invited
   Other

f. Professional Presentations
   National/International
   Regional
   State/Local

g. Grants and Contracts Submitted
   Funded

h. Professional Education/Consultant Activities

i. Honors/Awards

2. Letters of outside peer evaluations (if used)

3. Copies of all prior annual evaluations since hire (for tenure candidates)

4. Copies of all prior annual evaluations since last promotion at UND, or copies of all prior annual evaluations since hire for those who have not gone through the promotion process (for promotion candidates)

III. Material to be added to file as subsequent reviews are completed

1. Letter of assessment and evaluation from department citing scholarship, teaching, and service (the UND Faculty Evaluation form can serve this purpose.)

2. Letter of assessment, evaluation and recommendation from Department Chairperson. The letter from the Department Chairperson must attach any documents not otherwise submitted that were placed in the official personnel file with the intent of becoming a part of the tenure and promotion materials.

3. Letter of assessment, evaluation and recommendation from Dean

4. Any memorandum submitted by an advisory body (e.g. College or School promotion committee) to a decision maker.
IV. Material the college or school should forward to the Vice President for Academic Affairs Office

Please submit an electronic copy to the Vice President for Academic Affairs Office.

1. Faculty Promotion Form (if applicable)
   http://und.edu/provost/_files/docs/faculty-promotion.pdf
2. Tenure Recommendation Form (if applicable)
   http://und.edu/provost/_files/docs/tenure-recommendation.pdf
3. Curriculum Vitae
4. Letter from College/School Dean
5. Letter from College/School Department Chair
6. Letter from College/School Committee
7. Letter from Department Committee
8. External evaluations (if applicable)
9. Tenure candidates: copies of all prior annual evaluations since hire (most recent evaluation first)
10. Promotion candidates: copies of all prior past annual evaluations since last promotion, or copies of all prior annual evaluations since hire for those who have not gone through the promotion process (most recent evaluation first)

Please note: A candidate’s response to any letter goes directly after the letter to which the applicant is responding.
Electronic Process at University Level

• **Quality control**
  – VPAA Office reviews files that are submitted to ensure file format is consistent across university
  – Incomplete dossiers, dossiers with extra material, or dossiers ordered incorrectly are returned to the college/school for proper revisions

• **Material submitted to VPAA Office posted on secure Blackboard site**
  – Information is sent to candidates once material is posted
  – Candidates have access to their individual file only
  – Academic Deans (promotion files only), University Promotions Committee (promotion files only), and Provost & VPAA and his staff are the only individuals with access to the files
  – Tenure files and the Tenure Recommendation Forms will be posted to the site following the Academic Deans review of promotion requests
  – Candidates remain updated throughout review process
Notifications to Candidates

Candidates remain updated throughout the university-level review process. They are able to refer to the Blackboard site to view the updated Faculty Promotion Form and/or Tenure Recommendation form following each level of review.

Please see the message below from Steve Light.

Greetings,

I would like to provide you with an update on your candidacy for promotion and/or tenure. President Schafer has completed his review of promotion and tenure applications. The Faculty Promotion Forms have been updated to reflect his decision, and Tenure Recommendation Forms have been updated to reflect his recommendation to the State Board of Higher Education. The forms are available for your review on Blackboard.

Please note that tenure requests require final action from the State Board of Higher Education (SBHE). The President’s recommendations will be on the SBHE April 28, 2016 meeting agenda.

A letter from President Schafer regarding his decision and/or recommendation will be sent through intra-campus mail soon.

If you have questions about promotion and tenure, please contact Michelle Hamilton (777-4138 or michelle.hamilton@und.edu) or me (777-0860 or steven.light@und.edu).

Thank you,
Steve

Steve Light, Ph.D.
Associate Vice President for Academic Affairs
Professor of Political Science & Public Administration
University of North Dakota

Office of the Provost & Vice President for Academic Affairs
254 Centennial Drive Stop 8175
Grand Forks, ND 58202-8175
701.777.0960
steven.light@UND.edu / UND.edu/provost/light-bio.cfm

Co-Director, Institute for the Study of Tribal Gaming Law & Policy
Indian Gaming Now / indigenownow.com
University Promotions Committee

• **Charge**
  – Review promotion requests
  – Provide advice to the Provost & VPAA

• **Committee is comprised of one representative from each college/school**
  – College of Arts & Sciences has two representatives – one faculty member in a hard science & one faculty member in fine arts or social sciences
  – Members are nominated by the Dean
  – Full professors (preferred)

• **Committee membership will be listed on the P&T website once it’s determined**

• **Followed by Deans Committee**
  – All deans review all applications for promotion
  – VPAA office support & assistance
3. Advice for Candidates
Questions We Get

- I want to go up “early” – can I?
- I think I meet all the requirements for Full but my department/dean doesn’t. What do I do?
- What’s the annual timeline?
- What’s the quantification of X,Y,Z that I need to do? How many publications do I need?
- Does teaching/service count, or is it just scholarship?
- Who reviews my file?
- How do I prepare my packet/dossier?
- What if I get a split vote?
Tips We Give

1. Make sure you understand expectations
2. Make sure people know you
3. Make sure to clear the bar high
4. Make sure it’s easy to be your champion
5. Make sure you understand policies and process

And...Talk to your Chair!!!!!!
Issues We See in Promotion & Tenure Cases

• Didn’t demonstrate met departmental standards
• Johnny or Jenny Come Lately – back-loaded record with “assurance” that book/article will hit by end of year
• The Coaster – started strong, weak finish
• Ignored clear signals from annual reviews
• Poorly organized dossier – didn’t follow instructions
• Strong in just one area
• Divided votes (among faculty, between chair & faculty, dean)
• Personnel issues (separate category of considerations)
Thanks!
We’re ready for questions!

Call or contact us anytime!
UND’s Promotion & Tenure Process:
An Overview

Prepared for Information Sessions with Faculty, Department Chairs, Committee Members, and Administrative Support Staff

Steve Light
Associate Vice President for Academic Affairs
Professor of Political Science & Public Administration

Katrina Kriewall
Special Projects Coordinator
Assistant to Associate Vice President for Academic Affairs

August 2016

steven.light@und.edu
777-0960

katrina.kriewall@und.edu
777-4138