

**July 22, 2003**  
*Amended*  
*August 28, 2009*

**CRITERIA AND PROCEDURES RELATED TO  
PROMOTION, TENURE, AND EVALUATION OF FACULTY**

**Department of Agribusiness and Applied Economics  
North Dakota State University**

1. Introduction

Recommendations for promotion and tenure in the Department of Agribusiness and Applied Economics are the responsibility of the faculty and the department head. The faculty will follow the Promotion, Tenure, and Evaluation (PTE) guidelines as outlined in NDSU Policy 352 and the College of Agriculture, Food Systems, and Natural Resources (COAFSNR) Policies and Procedures for Promotion, Tenure, Evaluations, Dismissals, Terminations, and Nonrenewals. Preparation of the PTE portfolios will follow instructions in the NDSU Guidelines for Promotion and Tenure and the COAFSNR Policies and Procedures.

Promotion and granting of tenure are not automatic and no formulas apply. The basis for review of the candidate's portfolio and any recommendations on promotion and/or tenure shall be the promotion and tenure criteria of the Department of Agribusiness and Applied Economics which are in effect at the time of the promotion and/or tenure decision. The evaluation of a candidate's performance shall be based on the individual's assigned responsibilities in teaching, research, extension, and service. Evaluations will be based on evidence of the candidate's work as described in the section titled "Level of Expectations." In evaluating the candidate's performance, evidence and information from multiple sources shall be considered.

Promotion and Tenure recommendation will be based on a collective judgment of peers represented in the portfolio by a summary letter from the departmental PTE committee and from an evaluation by the department head. The evaluation process will recognize each candidate's unique responsibilities, activities, and performance.

All changes in the PTE document must be approved by 75 percent approval of the probationary and tenured voting faculty.

## 2. Procedures for Promotion and Tenure

### 2.1 Departmental PT&E Committee

The departmental PTE committee consists of all tenured faculty in the department who are not a part of the administrative review process as defined by NDSU Tenure and Promotion Policy. The committee chair will be elected by the committee members during the Fall Semester of the academic year and serve for two years. The PTE committee will evaluate the portfolio of the candidate and make recommendations to the college PTE committee and the VPAGa and Dean (COAFSNR 5.4.2). The departmental PTE committee recommendation will be based on a vote of the committee members. A positive recommendation requires at least 51 percent approval of the ballots cast per nomination. Results of the balloting will be submitted as a part of the recommendation. Ballots for tenure must come from all tenured faculty. Only tenured faculty may vote on tenure, and tenured faculty of a rank higher than the candidate may vote on promotion. Candidates will not be involved in the PTE committee review process.

### 2.2. Mentoring Committees

In order to support the process, junior faculty members are encouraged to seek career mentoring from a variety of sources. A PTE mentoring committee (two tenured faculty members) will be appointed by the department head for all untenured professors during their first year at North Dakota State University. Preferably, the PTE mentors will avoid potential conflicts of interests with the candidate. The committee will mentor the candidate’s progress toward promotion and tenure. It is recommended at a minimum that the candidates meet with their mentoring committee annually, and that mentors provide feedback to the candidate as guidelines for the future.

### 2.3 Annual Review of Probationary Faculty

#### 2.3.1. Review timetable and deadlines

Tenure Year July 1- June 30	Submitted to Dept. Head	Completed by Dept. Head	Completed by Dept. PTE Committee	Submitted to VPAGa & Dean
1	Dec. 15	Jan. 15	Jan. 15	Jan. 20
2	Oct. 1	Oct. 25	Oct. 25	Nov. 1
3	Jan. 1	Jan. 25	Jan. 25	Feb. 1
4	Jan. 1	Feb. 1	Feb. 5	Feb. 10
5	Jan. 1	Feb. 1	Feb. 5	Feb. 10
6	Sept. 1	Oct. 25	Oct. 25	Nov. 1

2.3.2. The department head, the PTE committee chair, and the candidate’s mentoring committee will evaluate all probationary tenure-track faculty each year on their progress

toward promotion and tenure. All professors and the department head will evaluate all associate professors on their progress toward promotion every three years.

**2.3.3.** A special three-year departmental and college review of progress toward promotion and tenure will be conducted for all probationary tenure-track faculty. The candidate will prepare a portfolio consistent with the PTE portfolio guidelines and submit it to the departmental PTE committee and the department head for evaluation. The PTE committee and the chair will make separate written evaluations which will be forwarded along with the portfolio to the college PTE committee and the Dean.

**2.3.4.** Any faculty member may initiate the process of promotion and/or tenure for himself/herself or for another faculty member by contacting the department head.

**2.3.5.** The department head will evaluate the tenure and/or promotion portfolio of each candidate and submit a letter of recommendation to the college PTE committee and the VPAG and Dean (COAFSNR 5.4.2). That evaluation will be independent of the evaluation performed by the department PTE committee.

**2.3.6.** Candidates for promotion and/or tenure will submit their portfolios to the department PTE committee and department head by September 1. The PTE committee and the department head will complete the evaluation process by November 1.

**2.3.7.** The candidate will have *14* calendar days to append a response to each recommendation, or to any new material added to the portfolio during the review process, prior to the review by the Provost and VPAA (COAFSNR 5.4.4, NDSU Policy Manual 352.6.2)

**2.3.8.** The department head will coordinate PTE activities in the department. This will include the requests for evaluations and recommendations from outside the department based in part on suggested names given by the candidates. The departmental PTE committee chair will be responsible for presiding over the departmental PTE meeting, summarizing and submitting the committee's decision to the college PTE committee, and participating in the orientation of new faculty members on the PTE procedure with the department head.

### **3. Criteria for Promotion and Tenure**

#### **3.1. Level of Expectations**

**3.1.1.** Merit, rather than years of service, is the standard for promotion and tenure. All faculty are expected to engage in creative and scholarly activities in their assigned areas of responsibility, thereby demonstrating excellence and professional growth in their

discipline. Faculty are to collaborate with others, when appropriate, to accomplish their job responsibilities. Faculty with research or teaching appointments are expected to participate in the education of students as advisors and/or through service on graduate student committees. Furthermore, faculty with teaching appointments are expected to participate in the governance of the department teaching program.

**3.1.2.** The evaluation process flows from the job description, including general consistency with appointment and source of funds. The job description should include faculty responsibilities in teaching, research, and extension/outreach. The specific focus of efforts (e.g., commodity marketing, cooperatives, economic development) should be included in the job description, which shall be approved by the VPAG and Dean and the department head.

**3.1.3.** The annual work plan is derived from the job description so that over a reasonable time period, annual work plans should reflect the job description. Detail in the annual work plan includes progress on specific research projects, proposals to be written, classes taught and developed, goals and/or progress to make in teaching quality, reports and papers to be published, and service activities (NDSU Policy 352.2(2)). The annual work plan is prepared by the probationary faculty member in consultation with his or her mentoring committee and reviewed and approved by the department head. For other faculty members, the annual work plan is prepared by the faculty member and approved by the department head. This is an important step in the evaluation process.

**3.1.4.** Annual evaluations are based on annual work plans. Accomplishments can be compared to the work plan objectives of the individual. Annual evaluations will be conducted by the department head in consultation with the departmental executive committee. Each faculty member will be evaluated annually.

**3.1.5.** All periodic evaluations, including evaluation for tenure and promotion, will be based on job description, annual work plans, and annual evaluations. Additional reporting requirements for these steps, such as outside recommendations, should be clearly specified well in advance of the evaluation. All requirements for evaluation and tenure and promotion should be clearly specified at the time of appointment. Each candidate is expected to meet the following expectations with emphasis proportional to job description and consistent with approved work plans.

## **3.2. Tenure**

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, unit, and program.

**3.2.1. Research:** The candidate must demonstrate (1) his or her capability of conducting research as measured primarily by publications of peer-reviewed articles in high quality journals; (2) documented expertise in initiating and leading a sustainable research program in the candidate's research area; (3) other products of research, such as papers selected for professional meetings, invited presentations, and technical publications, including departmental publications; and (4) pursuit and acquisition of extramural and intramural research funds necessary to support the candidate's research efforts (COAFSNR 5.6.4). Publications completed during the candidate's time at NDSU are of primary importance in the evaluation.

**3.2.2. Teaching:** The candidate must demonstrate (1) an effective teaching program, (2) a commitment to student learning; and (3) effective advising to students and/or student organizations. These may be evidenced by course evaluations and other documents which support teaching effectiveness.

**3.2.3. Extension:** The candidate must demonstrate (1) a productive research program as measured primarily by publications in peer-reviewed journals, departmental and extension publications, and presentations in professional meetings; (2) an effective extension program that includes program development, delivery, and relevance, as measured by peer and client evaluation of programs, publications, and presentations; (3) documented expertise in candidate's specialty areas that complement research of the department and meet the needs of constituents; and (4) pursuit and acquisition of extramural and intramural funds necessary to support the candidate's research and extension efforts (COAFSNR 5.6.4). Publication and extension educational materials completed during the candidate's time at NDSU are of primary importance in the evaluation.

**3.2.4. Service:** The candidate must demonstrate service to the department, college, professional associations, and the public and/or private sectors through contributions to the welfare of the university and the public.

**3.3.5.** Special recognition will be given to the candidate who has received awards from professional associations and/or institutions through a peer review process for the period employed at NDSU.

### **3.3. Promotion to Associate Professor**

**3.3.1. Research:** The candidate must demonstrate (1) a productive research program as measured primarily by publications of peer-reviewed articles in high quality journals; (2) other products of research, such as papers selected for professional meetings, invited presentations, and departmental publications; (3) documented expertise in their specific area of research; and (4) pursuit and acquisition of extramural and intramural research

funds necessary to support the candidate's research efforts (COAFSNR 5.6.4). Publications completed during the candidate's time at NDSU are of primary importance in the evaluation.

**3.3.2. Teaching:** The candidate must demonstrate (1) an effective teaching program, (2) a commitment to student learning; and (3) effective advising to students and/or student organizations. These may be evidenced by course evaluations and other documents which support teaching effectiveness.

**3.3.3. Extension:** The candidate must demonstrate (1) a productive research program as measured primarily by publications in peer-reviewed journals, departmental and extension publications, and presentations in professional meetings; (2) an effective extension program that includes program development, delivery, and relevance, as measured by peer and client evaluation of programs, publications, and presentations; (3) documented expertise in *candidate's* specialty areas that complement the research of the department and meet the needs of constituents; and (4) pursuit and acquisition of extramural and intramural funds necessary to support the candidate's research and extension efforts (COAFSNR 5.6.4). Publication and extension educational materials completed during the candidate's time at NDSU are of primary importance in the evaluation.

**3.3.4. Service:** The candidate must demonstrate service to the department, college, professional associations, and the private and public sectors through contributions to the welfare of the university and the public.

**3.3.5.** Special recognition will be given to the candidate who has received awards from professional associations and/or institutions through a peer review process for the period employed at NDSU.

### **3.4. Promotion to Professor**

**3.4.1. Research:** The candidate must demonstrate (1) sustained productivity in research of high quality and significance since the last promotion as measured primarily by publications of peer-reviewed articles in high quality journals; (2) documented expertise in initiating and leading a sustainable research program in the candidate's research area; (3) other products of research, such as papers selected for professional meetings, invited presentations, and departmental publications; (4) a regional and national, or international, reputation in the candidate's research area; (5) pursuit and acquisition of extramural and intramural research funds necessary to support the candidate's research program; and (6) leadership in research activities in the department, college, and region.

**3.4.2. Teaching:** The candidate must demonstrate (1) sustained productivity in their teaching responsibilities including excellence in instruction; (2) sustained improvement of teaching effectiveness and a commitment to student learning; (3) an effective advising

program to individual students and student organizations; (4) leadership at the department, college, and university levels in the improvement of teaching programs; and (5) a regional, national, or international reputation in teaching based upon professional presentations and publications.

**3.4.3. Extension:** The candidate must demonstrate (1) sustained productivity in research of high quality and significance to support an effective extension program which includes program development, delivery, and impact, as measured by peer and client evaluation of programs, publications, and presentations; (2) a regional and national, or international reputation in candidate's specialty area; (3) leadership in extension or service; (4) documented expertise in candidate's specialty areas that complements research of the department and meet the needs of constituents; and (5) pursuit and acquisition of extramural and intramural funds necessary to support the candidate's research and extension efforts (COAFSNR 5.6.4).

**3.4.4. Service:** The candidate must demonstrate (1) service to NDSU at the department, college, or university level through contributions to the welfare of the university; (2) service to professional organizations and associations; and (3) service to the private and public sectors outside the university at the regional or national level.

### **3.5. Early Promotion and Tenure:**

**3.5.1. Tenure:** Tenure prior to completion of a probationary period of six years may be granted in extraordinary cases (NDSU Policy 352.3(4)). Ordinarily, the candidate must have a minimum of three years of service at NDSU for early tenure consideration. Early tenure may be considered when the candidate demonstrates exceptional accomplishments relative to the expectations for tenure identified for research, teaching, and *extension/outreach* and service (COAFSNR 5.2.4).

If the initial hiring contract provides an opportunity to apply for tenure after three years (or other period), the portfolio will not be considered early tenure. Contributions, experience, and credentials of the candidate gained prior to employment at NDSU will be considered as service to the department and college and will be evaluated as if the individual were a faculty member of NDSU during a normal length evaluation period. The offer is an option which may be exercised at the faculty member's discretion. They may choose to apply at any time up to the normal six-year probationary time period (COAFSNR 5.2.5)

**3.5.2. Promotion:** Merit, rather than years in service, determines promotion decisions. Although six years in rank is typical prior to being considered for promotion to associate professor from assistant professor or to professor from associate professor, earlier consideration of promotion may be granted in extraordinary cases. Early promotion may be

considered when the candidate demonstrates exceptional accomplishments relative to the expectations for promotion identified for research, teaching, extension, and service.

If the initial hiring contract provides an opportunity to apply for promotion after three years (or other period), the portfolio will not be considered early promotion. Contributions, experience, and credentials of the candidate gained prior to employment at NDSU will be considered as service to the department and college and will be evaluated as if the individual were a faculty member of NDSU during a normal length evaluation period. The offer is an option that may be exercised at the faculty member's discretion. They may choose to apply at any time up to the normal six-year probationary time period (COAFSNR 5.2.5)

**3.5.3. Definition of extraordinary cases:** Extraordinary performance for early promotion and tenure is defined as follows:

1. The level and quality of research output exceeds the departmental expectations for the six-year review of tenure and promotion portfolios.
2. Special accomplishments in teaching, research, and extension, resulting in national and international recognition of the candidate's excellence.

#### **4. Recommendations for Nonrenewal of a Probationary Faculty**

**4.1.** A probationary appointment may be terminated, without cause, with notice to the faculty member that the appointment will not be renewed (Policy 350.3(1) and COAFSNR Policies and Procedures Section 6.0). A recommendation for the nonrenewal of a probationary faculty member will be made by the department head and the VPAG and Dean to the Provost and VPAA for recommendation to the President (COAFSNR 6.2). The department head may request the departmental PTE committee to complete an evaluation, which becomes part of the official file (COAFSNR 6.3). The department head will meet with the faculty member, discuss the proposed nonrenewal recommendation, and give the faculty member 10 business days after receipt to respond, in writing, to the proposed nonrenewal recommendation (COAFSNR 6.4).

**4.2.** The head will prepare the formal letter of nonrenewal recommendation. The faculty member's written response and any additional material the faculty member wishes to include will accompany the recommendation. The head's letter of recommendation for nonrenewal is forwarded to the VPAG and Dean (COAFSNR 6.5).

**4.3.** Pursuant to University Policy 352, a probationary faculty member is subject to contract nonrenewal if he or she is not making satisfactory progress toward tenure. Evidence of insufficient progress includes, but is not limited to, failure to establish an independent research program within a period of time sufficient to result in identifiable

outcomes of expected quality and quantity by the end of the probationary period, continued student and peer evaluations of unsatisfactory teaching quality, failure to develop acknowledged expertise and educational materials in an extension or outreach program priority area, and/or failure to actively participate in departmental and professional service and governance obligations.

## **5. Recommendations for Nonrenewal of a Tenured Faculty**

(NDSU Policy Manual 350.3, COAFSNR7.0)

**5.1.** Appointments of tenured faculty members may be terminated due to financial limitations, workload reductions, unit consolidations, or as otherwise stated in NDSU Policy 350.3.6. The COAFSNR will comply with definitions and provisions of Policy 350.3 in enacting dismissals for those reasons.

**5.2.** Dismissal due to adequate cause will be considered only under special circumstances as described in NDSU Policy 350.3.8.

**5.3.** It is recommended that prior to a dismissal recommendation based on performance, the department head will assure that the faculty member is 1) made aware of unsatisfactory performance in writing, including what would demonstrate satisfactory performance and who is responsible for judging adequacy, and 2) is given adequate opportunity to respond to performance problems or provide evidence or clarifications of performance.

**5.4.** The department head will request the department PTE committee complete an evaluation that becomes part of the official personnel file. The faculty member will have 10 business days after receipt to add a written response to the PTE Committee evaluation.

**5.5.** The department head will first review appropriate administrative procedures, then meet with the faculty member, discuss the proposed dismissal recommendation, and give the faculty member 10 business days after receipt to respond, in writing, to the proposed dismissal recommendation. It is recommended that this meeting be summarized by the head in writing and be provided to the faculty member with acknowledgment of receipt. It is encouraged that a neutral third person be invited to be present at the meeting.

**5.6.** The head will prepare the formal letter of dismissal recommendation that will summarize pertinent information. The faculty member's written response and any additional material the faculty member wishes to include will accompany the recommendation. The department head may include all periodic reviews and any other materials from the faculty member's official personnel file that he/she deems relevant. The head's letter of recommendation for dismissal is forwarded to the VPAG and Dean of the COAFSNR.

**5.7.** The VPAG and Dean will request the COAFSNR PTE committee complete an evaluation that becomes part of the official personnel file. The faculty member will have 10 business days after receipt to add a written response to the PTE Committee evaluation.

**5.8.** The NDSU Extension Service Director will provide an evaluation of faculty with NDSU Extension Service appointments and the NDSU Agricultural Experiment Station Director will provide an evaluation of faculty with appointments in the NDSU Agricultural Experiment Station.

**5.9.** The VPAG and Dean, in consultation with the Extension and/or Experiment Station Directors as appropriate based on faculty appointment, will formulate a recommendation and forward that recommendation to the Provost and VPAA. Copies of the recommendation will be provided to the faculty member and to the department head. The faculty member and department head will have 10 business days after receipt to respond to the VPAG and Dean's recommendation with responses sent directly to the Provost and VPAA and copies to the affected parties such as the faculty member, department head, and directors.

**5.10.** All provisions for appeal of dismissal as described in Policy 350.3.8 apply.

**5.11.** The process for applying sanctions for adequate cause follow the same procedures described for dismissal.

**Approved:**

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David K. Lambert, Head Date  
Department of Agribusiness and Applied Economics

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Pat Jensen Date  
Vice-President for Agricultural Affairs and Dean

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Craig R. Schnell Date  
Provost and Vice-President for Academic Affairs