

**College of Arts & Sciences  
University of North Dakota  
Tenure, Promotion, Reappointment, & Evaluation Policy  
Adopted May, 2018**

The College of Arts & Sciences values excellence in all areas of faculty performance, including teaching, research/creative activity, service, and administration with professionalism spanning across all areas. It strives to foster a professional environment where expectations for tenure, promotion, reappointment, and evaluation are transparent for faculty working to meet those expectations and for those required to review the performance of those faculty members.

The college adheres to the minimal levels of performance as outlined in university-level policies and documents (e.g., the Faculty Handbook). It also expects that each unit within the college have an approved policy on tenure, promotion, reappointment, and evaluation on file at both the College of Arts & Sciences and the Provost and Vice President for Academic Affairs' Office.

The College of Arts & Sciences houses a wide array of disciplines, including the natural sciences, mathematics, social sciences, humanities, and fine arts. It is therefore difficult to define college-wide expectations without acknowledging that there will be discipline-specific aspects of performance that will necessarily need to be addressed at the department/unit level. The college expects that those discipline-specific aspects be addressed explicitly and transparently in department/unit-level policies.

The college has general expectations of performance and evaluation that apply to all faculty and departments/units within the college. This document outlines those expectations. In such instances in which the expectations outlined in this document are in opposition to those specified in the document/policy of any individual department/unit within the college, the expectations outlined in this document will take precedence.

#### Evaluation Committees

The College of Arts & Sciences values shared governance, including in the completion of faculty evaluations. To that end, the college expects that every department will assemble a single evaluation committee to complete the evaluations of all tenured and tenure-track faculty in cases of promotion and/or tenure decisions as well as annual/triennial evaluations. This committee will consist of at least three faculty members. In instances that the department cannot identify three faculty members from its own ranks to fill the committee, the department chair will recruit external faculty to serve, with preference given to faculty from within the department's own division (i.e., Fine Arts, Humanities, Social Sciences, or Natural Sciences/Mathematics). If necessary, the remaining vacancies on the evaluation committee should be filled by faculty from within the college.

In no instance should the individual being evaluated, at whatever rank (i.e., instructor, tenure-track, or tenured), be allowed to independently select the faculty members who serve on the committee that completes his/her evaluation.

## Teaching

The College of Arts & Sciences values excellence in teaching. Therefore, for tenure, promotion, reappointment, and/or annual/triennial evaluation of all faculty members, the college requires at least three aspects related to teaching be considered in the evaluation at the department level. The first is a self-evaluative narrative provided by the faculty member that provides perspective and context for the evaluation<sup>1</sup>. The second is student evaluation data. The third item is a peer review of at least one of the following: (1) course materials, (2) student products from the faculty member's courses, and (3) firsthand observation of in-class teaching conducted by either a peer (or peers) or the department chair. Unless otherwise dictated by department policy, the faculty member will be allowed to determine which peer-reviewed aspects of this third category will be used to satisfy the evaluation requirement. Should direct observation of teaching by a peer or peers be employed, the department's evaluation committee, in consultation with the faculty member and the chair, will determine the observer(s).

In all cases, it will be the responsibility of the department to document objectively if and why a faculty member is not meeting expectations in terms of quality teaching. Likewise, it will be the responsibility of the faculty member to document objectively if and why his/her quality of teaching should be merited as exceeding expectations.

## Research/Creative Activity

The College of Arts & Sciences values excellence in research/creative activity. It therefore expects the following in the evaluation of such efforts.

It is expected that all faculty with research/creative activities included in their position description will produce their work in peer-reviewed (or similarly rigorous equivalent) outlets/venues. Each department will establish guidelines that objectively identify the quality of those outlets/venues, keeping in mind the audience for which the work was produced.

Because highly valued research/creative activities may not be feasible to complete, publish, and/or perform in a single academic year, each department is expected to identify explicitly in their department policy the quality and quantity of work that is expected during an annual period, as well as that expected over a longer time (e.g., periods between promotions). If expectations for longer terms are greater than those for annual evaluation, then each department's policy document will state that meeting expectations on an annual basis alone is not sufficient for meeting expectations for promotion and/or tenure.

The expectations of faculty in terms of research/creative activity should be specified explicitly on the faculty member's position description in a manner consistent with departmental and

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<sup>1</sup> Faculty members should refer to the Faculty Handbook (Sections I.4.3.2 & I.4.3.3) and their department's TRP document for direction on the necessary components of the self-evaluative narrative.

college guidelines, and annual/triennial evaluations should be based on that information. It is the responsibility of faculty members to document objectively their achievements with appropriate and sufficient evidence. It is the responsibility of the department to determine objectively that faculty members are or are not meeting expectations in their research/creative activity. All departments are encouraged to identify objective benchmarks for exceeding expectations within their policy document when possible and appropriate. All departments will also recognize the scholarship of teaching and learning within their evaluation policy.

All departments will specify within their policy document the availability of flexible percentage effort toward faculty members' teaching, research/creative activity, and service and describe how differences in research/creative output will vary (and be evaluated) as a function of the percentage of effort.

For promotion and/or tenure, all department policies should identify explicitly and objectively the requisite quantity and quality of research/creative activity expected of all faculty. Departments and faculty members must ensure that the percentage of effort devoted toward research/creative activity is sufficient for the faculty member to meet expectations for promotion and/or tenure.

The need for external funding for a faculty member to engage successfully in research/creative activity will vary by discipline. However, if external funding is required for the faculty member to be successful (i.e., publish, perform, or create), then it is the college's expectation that the faculty member will pursue and secure such funding. Each department will document that expectation in their evaluation policy, along with discipline-specific guidelines for the outlets for, and frequency of, those submissions. Failure to secure necessary external funding will not excuse the faculty member from completing his/her contracted research/creative activity as outlined in the faculty member's position description and in the department's evaluation document.

The promotion and/or tenure process in the College of Arts & Sciences will require the use of external reviews. The task of the external reviewers will be to evaluate the applicant's research/creative activity (i.e., the quality and impact of their work) against the standards set forth in the applicant's official department document on tenure, reappointment, and promotion (TRP). The reviewer must be, or at one point have been, a tenured faculty member (or equivalent) at a university. Further, the reviewer must have expertise in the scholarly area of the applicant. Determination of the expertise of the external reviewer will lie with the department chairperson. Each external reviewer will be asked to submit a brief biography or his/her CV when submitting the external review to document his/her expertise.

External reviewers will be identified by the department chair in consultation with the faculty member. External reviewers should be knowledgeable about the subject area and have no conflicts of interests with the faculty candidate. Once the potential reviewers have been identified, the list will be shared with the faculty member, who will be required to disclose any relationship s/he has with each reviewer. Further, if the faculty member has concerns about the

participation of any of the external reviewers on the list, then those concerns would be communicated to the chair at this point in the process. The chair will then submit the list of potential reviewers to the dean for approval. Lastly, the faculty member will supply to the chair, prior to April 15<sup>th</sup> (if this date falls on the weekend, the subsequent work date is the due date) of the spring semester before applying for promotion and/or tenure, an electronic file containing evidence of scholarship across the time period under evaluation. Individual departments may set an earlier deadline if necessary for disciplinary-specific reasons.

It will be the responsibility of the chair to solicit the participation of the external reviewers. The chair will supply each reviewer the applicant's file of scholarship, the relevant section of the department's TRP document that outlines the criteria for scholarship expected for promotion and/or tenure, and context information (e.g. teaching load). The chair will request that the external reviewer comment on the nature of his/her acquaintance with the candidate and submit his/her own brief biography or CV when submitting the completed review. All external reviews received in this process will be added to the applicant's tenure and/or promotion file.

External reviews that are solicited by the faculty member outside of the process described above will not be included in the faculty member's application for promotion and/or tenure at either the department or college level and will not be forwarded if/when the application materials are sent to the level of the Provost.

### Service

As noted above, the College of Arts & Sciences values shared governance and faculty engagement in service is vital to that endeavor. It helps ensure the effective functioning of the department, college, and university and supporting the professional needs of the faculty member's discipline. Evaluation of faculty member's service should be based on type and quality of service expected by the faculty member's rank and departmental, college, and university priorities and needs. Evidence of quality and type of service will be provided by faculty in the form of a self-narrative that describes activities and service outcomes in relation to his/her position description.

All departments are expected to identify objective benchmarks for meeting and exceeding expectations within their policy document. In all cases, it will be the responsibility of the department to document objectively if and why a faculty member is not meeting expectations in terms of service. Likewise, it will be the responsibility of the faculty member to document objectively if and why his/her service efforts should be merited as exceeding expectations.

### Administration

The College of Arts & Sciences values excellence in departmental administration as it is integral to its commitment to shared governance. With that said, the college, along with each department, has set minimum expectations required of faculty in the areas of teaching, research/creative activity, and service to qualify for promotion and/or tenure. In accepting an administrative position, faculty members may find it necessary to decrease their percentage effort on their position description in teaching, research/creative activity, and/or service to

accommodate the administrative duties. Electing to do so does not decrease the required minimum expectations in teaching, research/creative activity, and/or service for promotion and/or tenure. Therefore, Associate Professors accepting administrative duties recognize that doing so may lengthen the time necessary to obtain the rank of Full Professor. Assistant Professors are strongly discouraged to accept administrative duties prior to promotion to Associate Professor and being awarded tenure, as the length of the probationary period is set and administrative duties may detract from their ability to meet the necessary requirements in teaching, research/creative activity, and service for promotion and tenure.

### Professionalism

The College of Arts & Sciences expects all faculty to practice and display professional behavior in all aspects of their job. The responsibilities of the faculty in this regard can be found in Section 1.1 of the Faculty Handbook (<http://und.edu/university-senate/faculty-handbook/responsibilities-and-privileges.cfm>). Professional behavior is necessary for tenure, promotion, and/or reappointment regardless of how one is evaluated in terms of teaching, research/creative activity, or service. Professional behavior will be assessed by faculty serving on the review committee, as well as the department chair, based on their collective knowledge and experience with the faculty member being reviewed. In alignment with the AAUP's recommendation, professionalism will not be evaluated as a separate category. Rather, it will be incorporated into the evaluation of the faculty member's performance in the areas of teaching, research/creative activity, service, and/or administration, as well as into the narrative provided by the review committee and chair, when appropriate. If a deficiency in professional behavior is apparent, the review committee or department chair will further document the deficiency with additional input solicited from the relevant constituencies (e.g., staff, students, administrators, or other faculty). For the purposes of evaluation, documentation of unprofessional behavior should be provided to both the review committee and chair at the time of the evaluation.<sup>2</sup>

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<sup>2</sup> Documentation of unprofessional behavior should occur at the time of that behavior and communicated to the chair and other campus authorities, as appropriate.