

Dakota State University

Promotion & Tenure Guide

Updated 2024

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Promotion and Tenure Process: Tenure-Track and Tenured Faculty Overview

This section is intended to inform faculty of the procedures and documentation to be submitted in seeking tenure and promotion. Much of this document is derived from BOR Policy 4.4.4.

It is the applicant's responsibility to submit documentation that substantiates his/her qualification for promotion/tenure per the guidelines outlined within the policy. Only those activities and materials that date from the faculty member's last promotion should be included in the documentation. This documentation should provide evidence of the applicant's expertise and accomplishment in each of these areas:

- Teaching and advising or librarianship
- Scholarship/research/creative work
- Service to the university, discipline/profession, community or public

Note: That due to the conversion of the Spring 2020 semester due to COVID-19, all faculty members who were tenure-track during that semester and those hired during the 20-21 academic year had the tenure clock suspended for one year. Thus, persons who would have been scheduled for tenure review in the fall of 2022 would not be required to submit materials until the fall of 2023. However, faculty members can "opt out" of this process and maintain their current schedule. A faculty member who chooses to opt of the "stop-the-clock" process will need to communicate that to their dean and to the Provost at least six months prior to their intended review date.

Due to the unusual circumstances of the Spring 20, Fall 21 and Spring 21 semesters, the reliability and validity student opinion surveys administered during those semesters must be called into question and considered only if both the faculty member and the dean view them to be valid.

Minimum Qualifications

The first step is to document that you meet the minimum promotion eligibility criteria.

In addition to the minimum rank qualifications for employment and promotion stated in this section, the minimum eligibility criteria for promotion in professorial rank are detailed below. All references to years in rank herein are to full-time academic year appointments or to their equivalents. Faculty members become eligible to apply for promotion during the year in which their length of service will meet the stated requirements.

Note that the Board may, at its discretion and upon the recommendation of the administration of the institution, reduce the number of years of service required for eligibility for promotion; provided that prior service credit may not be requested in conjunction with an application for promotion. Refer to Appendix A for a description of how to apply for prior service credit.

Assistant Professor to Associate Professor:

A faculty member hired to the rank of assistant professors with no prior service credit will receive consideration for tenure and promotion to the rank of associate professor in their sixth year. The minimum qualifications for the position include:

- Earned doctorate and six (6) years of successful tenure track or postdoctoral college teaching or research experience in appropriate fields (or appropriate equivalent experience); or
- A post-graduate degree, other than a doctorate, recognized by the institutional administration as terminal for the faculty members' discipline, and six (6) years of successful tenure track or post-degree college teaching or research experience in appropriate fields (or appropriate equivalent experience).
- Evidence of external recognition for scholarly accomplishment consistent with institutional standards implementing Board Policy No. 4.4.3 for professorial ranks; and tenure at the institution.
- For persons to be appointed to the rank of associate professor at the time of hire, tenure at a prior institution is expected (See Appendix A for process of awarding tenure and prior credit at DSU).

Associate Professor to Professor:

Five (5) years in rank in the institution; tenure; a high level of performance in the areas of responsibilities commensurate with promotion to the rank of professor. Additionally, the minimum qualifications for the position which include:

- Earned doctorate and ten (10) years of successful tenure track or postdoctoral college teaching or research experience in appropriate fields (or appropriate equivalent experience); or
- A post-graduate degree, other than a doctorate, recognized by the institutional administration as terminal for the faculty members' discipline, and ten (10) years of successful tenure track or post-degree college teaching or research experience in appropriate fields (or appropriate equivalent experience).
- Evidence of external recognition for ongoing scholarly accomplishment and leadership consistent with institutional standards implementing Board Policy No. 4.4.3 for professorial ranks; and tenure at the institution.
- For persons to be appointed to the rank of professor at the time of hire, tenure at a prior institution is expected (See Appendix A for process of awarding tenure and prior credit at DSU).

Exceptions

Upon the recommendation of the institutional president, the Board may grant exceptions to the minimum rank qualifications or the promotion eligibility criteria relating to the minimum number of years in rank in the institution or both. The Board shall consider for promotion under this section only those faculty members who, in the judgment of the Board, have demonstrated that their level of

performance and/or professional qualifications are notably excellent and sufficient to offset the lack of a required degree or years in rank.

PROCESS

The Promotion and Tenure Committee

The nature of the Promotion & Tenure (P&T) Committee is determined by Board Policy 4.4.6 which contains more detailed information.

The DSU university-wide P&T Committee will consist of four elected members of the faculty and four members appointed by the president or provost. The composition of the committee shall be: fifty percent (50%) faculty members; fifty percent (50%) administrative appointees. Administrative appointees should include sufficient faculty members to assure committee balance with respect to discipline, rank and diverse perspectives.

The faculty representatives on the institutional P&T Committee will be elected by the faculty as soon as practicable after the commencement of school activities in the fall. Membership terms will be for three (3) years. Only tenured faculty members will be eligible for election to the institutional P&T Committee. Faculty members who themselves are to be considered for promotion or tenure are not eligible for membership on P&T Committee during the academic year in which their promotion or tenure is being considered. Individual committee members will recuse themselves whenever their ability to make a disinterested judgment might reasonably be called into question.

All members of the P&T Committee should be identified by November 1.

The P&T Committee will use the guidelines put forward in this document for consideration in their promotion and tenure recommendations. Deliberations of the committee are confidential. The working papers and files of the committee will remain confidential. All deliberations of the committee and notes taken by members of the committee are confidential, and will not be placed in the candidate's personnel file.

Evaluation Process

The **faculty** candidate must develop a digital portfolio that follows the university's required template, and that presents evidence of their accomplishments at the necessary levels in the area of teaching and advising, scholarship/research/creative works, and service. The portfolio must be completed according to the university's published deadlines.

The **Dean** will review the candidate's portfolio and write an evaluative statement addressing whether the candidate sufficiently meets the standards for tenure and/or promotion as well as a summary recommendation. This document will be available to the P&T committee, the provost and president as part of their deliberations. This document will be placed in the candidate's personnel file following the President's notification to the candidate.

The **Promotion & Tenure Committee** will make a recommendation to the provost and president in a letter indicating the vote of the committee and summarizing the candidate's strengths and weakness in each of three categories: Teaching/Advising; Scholarship/Research/Creative Activities and Service as well as an overall summary recommendation.

The **provost** will make an independent review of the candidate's portfolio taking into account the recommendations from the dean and the P&T Committee. The provost will summarize for the president the recommendations of the dean and P&T Committee and make an independent recommendation to the president. This document will be placed in the candidate's personnel file following the president's notification to the candidate.

The **president** will review the relevant material including the previous reviews and makes a recommendation to the South Dakota Board of Regents regarding the candidate's qualifications for promotion and/or tenure.

The final decision whether to grant a promotion to any applicant shall remain exclusively with the **Board**. The candidate is not informed of any of the evaluations until the campus process is completed.

TIMELINES

Note that if any deadline falls on a weekend or holiday the adjusted deadline will be the first working day following the deadline date.

Note also that these deadlines are independent of the deadlines for annual review, which is distinct from the P&T review process.

Candidate Intent: September 1

The candidate needs to inform the dean and the Office of the Provost in writing of the intent to submit materials for tenure and/or promotion by September 1. Faculty members appointed to tenure track appointments who have not been promoted to the rank of associate professor must apply for such promotion at the beginning of their sixth year of tenure track service. The candidate needs to document that they meet the minimal criteria for promotion in terms of degree, time in rank and time at DSU at the time of submission.

Faculty members who complete their sixth year of tenure track service without being granted promotion to the rank of associate professor will be offered a single term contract for the following academic year. This term contract is not subject to renewal, and the faculty member will be ineligible for reappointment after it expires.

Candidate Application: October 1

Faculty members who wish to be considered for tenure and/or promotion shall submit an application for tenure and/or promotion, together with supporting documents in a template, for review by their dean

by October 1. The required supporting documents are detailed below. Such notification and application shall allow the Promotion & Tenure Committee to access the faculty member's personnel file and individualized professional development plans. It is the responsibility of the faculty member to prepare the portfolio documentation appropriate for use by the Promotion & Tenure Committee, dean, provost and president in judging the faculty member's qualification for promotion.

Provost Office Responsibility: October 15

The Office of the Provost will prepare a compilation of the student opinion surveys by October 15 and have these available for the dean and P&T Committee to be included as part of the review. The Office of the Provost's compilation of the student opinion survey and annual evaluation ratings from the period of time the candidate has been at DSU with a maximum of the last five years. The summary will include all student comments when available.

Dean Evaluation: November 7

All documentation must be available to the dean for consideration. The dean, and any other administrators, including the president, who review the file in order to make independent recommendations, may supplement the material assembled by the faculty with information obtained from other sources, and they may base their recommendations upon such additional information, provided that such additional information is included in the file together with the materials assembled by the faculty member.

Initial Meeting of P&T Committee: November 15

An initial meeting of the Committee will be called by the Office of the Provost to outline the responsibilities and working procedures of the Committee. Special emphasis will be given to issues such as confidentiality, use of the candidate's portfolio and relevance of the DSU standards for promotion and/or tenure as the guiding document for decisions. The Committee will structure itself, including selection of a chair, to manage its work in the most efficient manner.

University P&T Committee: January 15

The institutional Promotion & Tenure Committee will review all materials and may consult with the faculty member or other individuals as it deems appropriate. After such consultation, the institutional Promotion & Tenure Committee will add its recommendation and forward all information to the provost according to institutional timelines by January 15.

Provost Review: March 1

The provost will conduct an independent review of the materials submitted by the candidate, the recommendation from the dean, and the recommendation from the university P&T Committee. The provost will prepare a letter for the president summarizing that information and provide a recommendation for action.

President Recommendation: April 1

The president will notify the candidate no later than April 1 of the year in which the faculty member is being considered for promotion, of whether the president will recommend promotion to the Board. Such notice will indicate the institutional Promotion & Tenure Committee's recommendation. The President will make the institutional recommendation to the Board by April 15.

At the request of the faculty member, the recommendation of the institutional Promotion & Tenure Committee will accompany the institutional recommendation to the Board. If the president intends to recommend that promotion be denied, the president will, upon receipt prior to April 15 of a written request, within fifteen (15) working days of the request provide reasons in writing for the decision. The reasons given shall be substantive in nature and shall transcend the mere fact of the recommendations by the committees by including the opinions of the president from the information available to him/her. The faculty member may file a written request for reconsideration within ten (10) working days of receipt of the president's reasons for denial of promotion. The request should specify the grounds and considerations that the faculty member believes warrant a different result. The president, after reviewing the request, shall notify the faculty member in writing, within ten (10) working days, of the final institutional recommendation to be forwarded to the Board and of its basis. The rights to obtain reasons and to request reconsideration shall not expand the rights and limitations under BOR Policy 4:7(8).

Board Action: Typically the May or June Board Meeting

The President will make the institutional recommendation to the Board by April 15. The final decision whether to grant a promotion to any applicant shall remain exclusively with the Board.

No promotions shall be granted unless funds exist to provide for an increase in salary, and an increase in salary is given.

COMPILING THE PORTFOLIO

When reviewing applications for promotion and/or tenure, administrators and P & T committee members shall consider the candidate's progress toward meeting the objectives of professional development plans, and they shall heed evidence that the faculty member is effectively pursuing approved objectives, but they shall exercise independent judgment as to the quality of results achieved by the faculty member.

When assessing the quality of performance, administrators and committee members shall be guided by the principles stated in Board Policy No. 4.4.3 as complemented by institutional policy statements.

Candidates for promotion and/or tenure are responsible for compiling a portfolio utilizing the institutionally-approved template in D2L for review by the dean, the Promotion & Tenure Committee, the provost and the president.

Documentation Provided by the Candidate

The following is required documentation to be provided by the candidate:

1. Personal statements, to include:

Personal statement of application for promotion or tenure, including a statement documenting that minimum promotion and tenure eligibility criteria (as described in Board of Regents policy) have been met (maximum of four single-spaced pages);

Personal statement on philosophy of teaching and relevant comments about their teaching experience at DSU (maximum of four single-spaced pages);

Personal statement on philosophy of advising and relevant comments about their advising experience at DSU (maximum of four single-spaced pages);

Personal statement of the nature and direction of the candidate's scholarship/research/creative endeavors (maximum of four single-spaced pages);

Personal statement of the candidate's contribution to service to DSU, to the discipline, to the state and/or community (maximum of four single-spaced pages);

2. At least three letters of recommendation from colleagues (at least one must be from a professional colleague of the applicant's academic unit and at least one from a professional colleague from off-campus). These recommendations should address their knowledge of the candidate's accomplishments in the areas of teaching, scholarship/research/creative works, and or/service;
3. Current curriculum vita;
4. Copies of or links to as many as three samples of scholarly or creative works. Examples might be articles, papers, manuscripts, books, evaluation instruments or software, photos, slides or recordings of any creative works of the candidate's choosing;
5. Documentation to demonstrate accomplishments

The candidate should present representative evidence of accomplishments, even if some seem appropriate for promotion to a higher rank than that for which they are applying.

Documentation refers to the specific materials that can be used to substantiate or illustrate a faculty member's achievement of a particular professional behavior. Appropriate (but not exhaustive) documentation is a necessary component in a faculty member's application for promotion or tenure. Examples of appropriate documentation are included below.

Documenting Professional Behavior in Teaching

Faculty members are responsible for explaining and documenting the impact of their work. The following are some examples of documentation which may be used in determining the impact of a behavior. The list is not meant to be all-inclusive and candidates are not expected to address every item on the list.

- Description of how course, administrator, peer, or self-evaluation results (and other applicable quantitative and qualitative data) were used to improve the course or improve teaching and the outcome;
- Description/documentation of attendance at faculty development sessions, seminars, workshops, courses, conferences, etc., along with an explanation of how the faculty member applied knowledge from these activities to their teaching;
- Examples of exceptional and innovative teaching (lesson plans, activities, assignment criteria sheets, rubrics, etc.);
- Descriptions of changes in course syllabi assignments and projects and the significance of those changes;
- Descriptions of new technologies and software utilized or developed to enhance teaching and learning;
- Evidence of student learning (pre/post-tests, projects, comments from teaching evaluation documents, etc.);
- Evidence of broadened student learning (students present material related to your class at conference or workshop; student publications);
- Explanations of mentoring relationships and the importance, outcome, and/or impact;
- Description of individualized instruction or help session, materials and methods used, and problem areas addressed;
- Explanations of the faculty member's role in curriculum and assessment activities.

Documenting Professional Behavior in Advising

Faculty members are responsible for explaining and documenting the impact of their work. The following are some examples of documentation that may be used in determining the impact of a behavior. The list is not meant to be all-inclusive and candidates are not expected to address every item on the list.

- Evaluations by program coordinator and/or dean and students;
- Explanation of when and how advisees and/or other students were assisted, including student orientation and registration sessions;
- Participation in workshops or seminars designed to improve academic advising skills;

- Description of when and where innovative advising techniques were disseminated to colleagues;
- Description of the assessment techniques or materials used and the outcome;
- Description of the faculty member's role in project/dissertation or portfolio review, when appropriate.

Documenting Professional Behavior in Scholarship, Research and Creative Activity

As indicated above, copies of up to three scholarly or creative works (articles, papers, manuscripts, books, evaluation instruments or software, grant applications and awards, photos, slides or recordings of any creative works) may be included as part of the faculty member's research portfolio. Faculty members are responsible for explaining and documenting the impact of their work to the college, to the discipline, and to the institution. The following are some examples of documentation which may be used in determining the impact of a behavior. The list is not meant to be all-inclusive and candidates are not expected to address every item on the list.

- Evaluation by professional peers;
- Awards, prizes, commendations, honors, invited presentations;
- Development of software, media, patents, inventions;
- Citation counts;
- Acceptance rates of various journals or conferences;
- Advanced degrees, certifications, etc.

Documenting Professional Behavior in Service

Faculty members are responsible for explaining and documenting the impact of their work behaviors to students, to their college, to the discipline, and to the institution. The following are some examples of documentation which may be used in determining impact. The list is not meant to be all-inclusive.

- Evaluations by an organization to which service was provided;
- Evaluations by professional peers;
- Citations or acknowledgements of contributions;
- News articles, announcements, feature stories, photo stories, web sites;
- Discussion of role in the activities of university, college, or multi-institutional committees and task forces;
- Reports produced for institutional or departmental studies or projects;
- Recruitment seminars and recruitment efforts;
- Discussion of role in student activities;
- Description / documentation of function and/or position in professional organizations;
- Discussion of role in activities of city, county, state, or regional committees;
- Description of efforts to promote the mission and interests of DSU;
- Description of service to schools and other universities;
- Description of editorial and advisory service to professional journals or review boards;
- Description of advisory services to accrediting agencies;

- Description of efforts to share knowledge related to application and promotion of technology;

Recognition of Other Activities

Faculty members and their dean may agree that other specific activities shall be considered teaching/advising; research, scholarship and creative activity; or service contributions.

Significant performance relative to these other activities will also be recognized, provided that such specified activities are consistent with agreed-upon goals and appropriate professional behaviors.

To warrant recognition, other specific activities must be justified in terms of the mission of the university, the role or mission of the faculty member's department or discipline or the faculty member's specific assignment as agreed to by the faculty member and his/her dean. This agreement to recognize other activities is intended to permit the modification of performance standards for individual faculty members, as warranted by unique circumstances.

Documentation Available to the Evaluators

Personnel File: The faculty applicant's official personnel file will be available to the Promotion & Tenure Committee within a secure location. The file may not be removed, copied, photographed, scanned or in any other way reproduced.

Student Opinion Surveys: Student data will be used as part of the evaluation of faculty members with teaching responsibilities, including the student opinion surveys selected by the Board and administered by the institutions to students enrolled in a course. The Office of the Provost will compile the Student Opinion Survey information from the period of time the candidate has been at DSU with a maximum of the last five years. The summary will include all student comments when available.

Workload Documents: The workload calculation documents for each of the previous five years will be provided as part of the candidate portfolio.

Annual Review Ratings: The ratings for instruction/scholarship and service for each of the previous five years will be provided as part of the candidate's portfolio.

Promotion or Change in Rank Salary Increment

No promotions shall be granted unless funds exist to provide for an increase in salary, and an increase in salary is given. A faculty member who is to be promoted or granted a change in rank will receive an increment based on the faculty member's current academic year base salary. If the faculty member's next academic year contract is for a different percentage of time or number of months than was in effect in the current academic year, the current academic year base salary will be adjusted to reflect such changes prior to the application of the following schedule of increments:

PROFESSORIAL RANKS:

Assistant Professor to Associate Professor: 8%

Associate Professor to Professor: 10%

Promotion and Tenure Process: Instructor/Lecturer Ranks

This section is intended to inform faculty at the instructor and lecturer ranks of the procedures and documentation to be submitted in seeking promotion.

It is the applicant's responsibility to submit documentation that substantiates qualification for promotion per the guidelines outlined within the policy. Only those activities and materials that date from the faculty member's last promotion should be included in the documentation. This documentation should provide evidence of the applicant's expertise and accomplishment in each of these areas:

- Teaching ○ and advising, [if advising is assigned]
- Service to the university, discipline/profession, community or public [if assigned]

Note that due to the unusual circumstances of the Spring 20, Fall 21 and Spring 21 semesters, the reliability and validity student opinion surveys administered during those semesters must be called into question and considered only if both the faculty member and the dean view them to be valid.

Minimum Qualifications

The first step is to document that you meet the minimum promotion eligibility criteria.

All references to years in rank herein are to full-time academic year appointments or to their equivalents. Where part-time experience is to be recognized, it will be recognized on a pro-rata basis. Faculty members become eligible to apply for promotion during the year in which their length of service will meet the stated requirements.

Note that the Board may, at its discretion and upon the recommendation of the administration of the institution, reduce the number of years of service required for eligibility for promotion, provided that prior service credit may not be requested in conjunction with an application for promotion. Refer to Appendix A for a description of how to apply for prior service credit.

Instructor to Lecturer

The following are the minimum criteria required prior to promotion from instructor to lecturer:

- Earned doctorate or other graduate degree recognized by the Board as a permitted terminal degree for the faculty members' discipline at DSU;
- Performance of assigned responsibilities commensurate with expectations for lecturers;
- Evidence of ongoing accomplishment and leadership consistent with institutional standards implementing Board Policy No. 4.4.3 for the lecturer ranks.

Lecturer to Senior Lecturer:

The following are the minimum criteria required prior to promotion from lecturer to senior lecturer:

- Earned doctorate or other graduate degree recognized by the Board as a permitted terminal degree for the faculty members' discipline at DSU;
- Six (6) years of successful teaching at the university level; and
- Performance of assigned responsibilities commensurate with expectations for senior lecturers

- Evidence of for ongoing accomplishment and leadership consistent with institutional standards implementing Board Policy No. 4.4.3 for the lecturer ranks.

Exceptions

Upon the recommendation of the institutional President, the Board may grant exceptions to the minimum rank qualifications or the promotion eligibility criteria relating to the minimum number of years in rank in the institution or both. The Board shall consider for promotion under this Section only those faculty members who, in the judgment of the Board, have demonstrated that their level of performance and/or professional qualifications are notably excellent and sufficient to offset the lack of a required degree or years in rank.

PROCESS

Evaluation Process

The **dean** will write an evaluative statement after reviewing the candidate's credentials addressing whether the candidate sufficiently meets the standards for promotion as well as a summary recommendation. This document will be available to the provost and president as part of their deliberations. This document will be placed in the candidate's personnel file following the President's notification to the candidate.

The **provost** will make an independent review of the candidate's credentials taking into account the recommendations from the dean. The provost will make an independent recommendation to the president. This document will be placed in the candidate's personnel file following the president's notification to the candidate.

The **president** will review the relevant material including the previous reviews and makes a recommendation to the Board of Regents regarding the candidate's qualifications for promotion.

The final decision whether to grant a promotion to any applicant shall remain exclusively with the **Board**.

The candidate is not informed of any of the evaluations until the campus process is completed.

TIMELINES

Note that if any deadline falls on a weekend or holiday the adjusted deadline will be the first working day following the deadline date.

Note also that these deadlines are independent of the deadlines for annual review which is distinct from the promotion review process.

Candidate Intent: September 1

The candidate needs to inform the dean and the Office of the Provost in writing of the intent to submit materials for promotion by September 1. The candidate must document that they meet the minimal criteria for promotion in terms of degree, experience, time in rank and time at DSU.

Candidate Application: October 1

Faculty members who wish to be considered for promotion shall submit an application for promotion, together with supporting documents, to their dean by October 1. The required supporting documents

are detailed below. Such notification and application shall allow the dean and provost access to the faculty member's personnel file and individualized professional development plans. It is the responsibility of the faculty member to prepare documentation appropriate for use by the appropriate administrators in judging the faculty member's qualification for promotion.

Provost Office Responsibility: October 15

The Office of the Provost will prepare a compilation of the student opinion surveys by October 15 and have these available for the dean and P&T Committee to be included as part of the review. The Office of the Provost's compilation of the student opinion survey information will include the period of time the candidate has been at DSU with a maximum of the last five years. The summary will include all student comments when available.

The Office of the Provost will also prepare a summary table of the DSU annual evaluation ratings from teaching/scholarship and service over the past five years or from the time the faculty member has been at DSU.

Dean Evaluation: December 15

All documentation must accompany the request to the dean for consideration. The dean, and any other administrators, including the president, who review the file in order to make independent recommendations, may supplement the material assembled by the faculty with information obtained from other sources, and they may base their recommendations upon such additional information, provided that such additional information is included in the file together with the materials assembled by the faculty member.

Provost Review: March 1

The provost will conduct an independent review of the material submitted by the candidate. The provost will prepare a letter for the president summarizing that information and provide a recommendation for action.

President Recommendation: April 1

The President will notify the candidate no later than April 1 of the year in which the faculty member is being considered for promotion, of whether the president will recommend promotion to the Board. The President will make the institutional recommendation to the Board by April 15.

If the president intends to recommend that promotion be denied, the president will, upon receipt prior to April 15 of a written request, within fifteen (15) working days of the request provide reasons in writing for the decision. The reasons given shall be substantive in nature and include the opinions of the president from the information available. The faculty member may file a written request for reconsideration within ten (10) working days of receipt of the president's reasons for denial of promotion. The request should specify the grounds and considerations that the faculty member believes warrant a different result. The president, after reviewing the request, shall notify the faculty member in writing, within ten (10) working days, of the final institutional recommendation to be forwarded to the Board and of its basis. The rights to obtain reasons and to request reconsideration shall not expand the rights and limitations under BOR Policy 4:7(8).

Board Action: Typically the May or June Board Meeting

The President will make the institutional recommendation to the Board by April 15. The final decision whether to grant a promotion to any applicant shall remain exclusively with the Board.

No promotions shall be granted unless funds exist to provide for an increase in salary, and an increase in salary is given.

COMPILING THE PORTFOLIO

When assessing the quality of performance, administrators shall be guided by the principles stated in Board Policy No. 4.4.3 as complemented by institutional policy statements.

Candidates for promotion are responsible for compiling a portfolio for review by the administration.

Minimum Documentation Provided by the Candidate

The following is required documentation to be provided by the candidate:

1. Personal statement of application for promotion including a statement documenting that minimum promotion eligibility criteria (as described in Board of Regents policy) have been met (maximum of three single-spaced pages);
2. Personal statement on philosophy of teaching and relevant comments about their teaching experience at DSU (maximum of four single-spaced pages);
3. If relevant to the particular position, a personal statement of the candidate's contribution to service to DSU, to the discipline, to the state and/or community (maximum of three singlespaced pages).
4. Documentation to demonstrate accomplishments

The candidate should present representative evidence of accomplishments, even if some seem appropriate for promotion to a higher rank than that for which they are applying.

Documentation refers to the specific materials that can be used to substantiate or illustrate a faculty member's achievement of a particular professional behavior. Appropriate (but not exhaustive) documentation is a necessary component in a faculty member's application for promotion. Examples of appropriate documentation are included below.

Documenting Professional Behavior in Teaching

Faculty members are responsible for explaining and documenting the impact their work. The following are some examples of documentation which may be used in determining the impact of a behavior. The list is not meant to be all-inclusive and candidates are not expected to address every item on the list.

- Description of how course, administrator, peer, or self-evaluation results (and other applicable quantitative and qualitative data) were used to improve the course or improve teaching and the outcome;
- Description/documentation of attendance at faculty development sessions, seminars, workshops, courses, conferences, etc., along with an explanation of how the faculty member applied knowledge from these activities to their teaching;

- Examples of exceptional and innovative teaching (lesson plans, activities, assignment criteria sheets, rubrics, etc.);
- Descriptions of changes in course syllabi assignments and projects and the significance of those changes;
- Descriptions of new technologies and software utilized or developed to enhance teaching and learning;
- Evidence of student learning (pre/post tests, projects, comments from teaching evaluation documents, etc.);
- Evidence of broadened student learning (students present material related to your class at conference or workshop; student publications);
- Explanations of mentoring relationships and the importance, outcome, and/or impact;
- Description of individualized instruction or help session, materials and methods used, and problem areas addressed;
- Explanations of the faculty member's role in curriculum and assessment activities.

Documenting Professional Behavior in Advising, if appropriate

Faculty members are responsible for explaining and documenting the impact of their work. The following are some examples of documentation that may be used in determining the impact of a behavior. The list is not meant to be all-inclusive and candidates are not expected to address every item on the list.

- Evaluations by program coordinator and/or dean and students;
- Explanation of when and how advisees and/or other students were assisted, including student orientation and registration sessions;
- Participation in workshops or seminars designed to improve academic advising skills;
- Description of when and where innovative advising techniques were disseminated to colleagues;
- Description of the assessment techniques or materials used and the outcome;

Documenting Professional Behavior in Service, if appropriate

Faculty members are responsible for explaining and documenting the impact of their service behaviors to students, to their college, to the discipline, and to the institution. The following are some examples of documentation which may be used in determining impact. The list is not meant to be all-inclusive.

- Evaluations by an organization to which service was provided;
- Evaluations by professional peers;
- Citations or acknowledgements of contributions;
- News articles, announcements, feature stories, photo stories, web sites;
- Discussion of role in the activities of university, college, or multi-institutional committees and task forces;
- Reports produced for institutional or departmental studies or projects;
- Recruitment seminars and recruitment efforts;
- Discussion of role in student activities;
- Description / documentation of function and/or position in professional organizations;

- Discussion of role in activities of city, county, state, or regional committees;
- Description of efforts to promote the mission and interests of DSU;
- Description of service to schools and other universities;
- Description of editorial and advisory service to professional journals or review boards;
- Description of advisory services to accrediting agencies;
- Description of efforts to share knowledge related to application and promotion of technology;

Recognition of Other Activities

Faculty members and their dean may agree that other specific activities shall be considered in addition to teaching/advising and/or service contributions. Significant performance relative to these other activities will also be recognized, provided that such specified activities are consistent with agreed-upon goals and appropriate professional behaviors.

To warrant recognition, other specific activities must be justified in terms of the mission of the university, the role or mission of the faculty member's department or discipline or the faculty member's specific assignment as agreed to by the faculty member and the dean. This agreement to recognize other activities is intended to permit the modification of performance standards for individual faculty members, as warranted by unique circumstances.

Documentation Available to the Evaluators

Personnel File: The faculty applicant's official personnel file will be available to the dean, provost and president.

Student Opinion Surveys: Student data will be used as part of the evaluation of faculty members with teaching responsibilities, including the student opinion surveys selected by the Board and administered by the institutions to students enrolled in a course. The Office of the Provost will compile the Student Opinion Survey information from the period of time the candidate has been at DSU with a maximum of the last five years. The summary will include all student comments when available.

Workload Documents: The workload calculation documents for each of the previous five years will be provided as part of the candidate portfolio.

Annual Review Ratings: The ratings for instruction and, if relevant, service for each of the previous five years will be provided as part of the candidate's portfolio.

Promotion or Change in Rank Salary Increment

No promotions shall be granted unless funds exist to provide for an increase in salary, and an increase in salary is given. A faculty member who is to be promoted or granted a change in rank will receive an increment based on the faculty member's current academic year base salary. If the faculty member's next academic year contract is for a different percentage of time or number of months than was in effect in the current academic year, the current academic year base salary will be adjusted to reflect such changes prior to the application of the following schedule of increments:

LECTURER RANKS:

Instructor to Lecturer: 4%

Lecturer to Senior Lecturer: 6%

Promotion and Tenure Process: Professor of Practice Ranks

This section is intended to outline the criteria and process of promotion for persons in the Professor of Practice rank. The Professor of Practice Series is intended for distinguished and eminent professionals, either practicing or retired, who contribute to the South Dakota Board of Regents by either teaching, contributing to the research and scholarly mission of the university and/or by providing service through their practical professional experience.

Current employed faculty in the lecturer series and the research associate series who desire to request a transfer to the Professor of Practice series can only request a one-time transfer and will go through the proper DSU protocols for the appointment. Professor of Practice faculty cannot be eligible for tenure.

Faculty applying for a lateral transfer must adhere to the following:

- Instructors may be eligible to the Assistant Professor of Practice Rank,
- Lecturers and Research Associates may be eligible to the Associate Professor of Practice Rank, and
- Senior Lecturers may be eligible to the Professor of Practice Rank.

It is the applicant's responsibility to submit documentation that substantiates qualification for promotion per the guidelines outlined within the policy. Only those activities and materials that date from the faculty member's last promotion should be included in the documentation. Depending on the nature of the individual assignment, this documentation should provide evidence of the applicant's expertise and accomplishment as relevant to the particular assignment:

- Teaching and advising
- Scholarship/research/creative work
- Service to the university, discipline/profession, community or public

Due to the unusual circumstances of the Spring 20, Fall 21 and Spring 21 semesters, the reliability and validity student opinion surveys administered during those semesters must be called into question and considered only if both the faculty member and the dean view them to be valid.

Minimum Qualifications

The first step is to document that you meet the minimum promotion eligibility criteria.

In addition to the minimum rank qualifications for employment and promotion stated in this section, the minimum eligibility criteria for promotion in professorial rank are detailed below. All references to years in rank herein are to full-time academic year appointments or to their equivalents. Faculty members become eligible to apply for promotion during the year in which their length of service will meet the stated requirements.

Note that the Board may, at its discretion and upon the recommendation of the administration of the institution, reduce the number of years of service required for eligibility for promotion; provided that prior service credit may not be requested in conjunction with an application for promotion.

Assistant Professor of Practice to Associate Professor of Practice:

The following are the minimum criteria required prior to promotion from assistant professor of practice to associate professor of practice:

- Earned doctorate or other graduate degree recognized by the Board as a permitted terminal degree for the faculty member's discipline at the institution, or significant professional experience in the discipline that aligns with Higher Learning Commission guidelines for teaching at the undergraduate or graduate level;
- Three (3) years in rank at DSU before submitting materials;
- Performance of assigned responsibilities commensurate with expectations for Associate Professor of Practice. The following is a list that may be used as evidence of success and qualify the candidate for promotion:
 - Contributions to DSU through their cooperation and collaboration,
 - Instructional activities may that include: teaching, workshops, seminars, or training to improve teaching techniques, activities in course development, advising, and providing enhanced educational opportunities,
 - Service to the discipline or other indicators that support and strengthen the university, and
 - Collaborative and/or independent publications, collaborative research, project management, or other creative activities.

Associate Professor of Practice to Professor of Practice:

The following are the minimum criteria required prior to promotion from associate professor of practice to professor of practice:

- Earned doctorate or other graduate degree recognized by the Board as a permitted terminal degree for the faculty member's discipline at the institution, or significant professional experience in the discipline that aligns with Higher Learning Commission guidelines for teaching at the undergraduate or graduate level;
- Significant professional experience and accomplishments relevant to the field, including but not limited to senior positions in industry, government, or professional organizations, and awards and recognition received;
- Five (5) years in rank at DSU;
- Performance of assigned responsibilities commensurate with expectations for Professor Practice. The following is a list that may be used as evidence of success and qualify the candidate for promotion:
 - Contributions to DSU through their cooperation and collaboration,
 - Instructional activities may that include: teaching, workshops, seminars, or training to improve teaching techniques, activities in course development, advising, and providing enhanced educational opportunities,
 - Service to the discipline or other indicators that support and strengthen the university, and

- Collaborative and/or independent publications, collaborative research, project management, or other creative activities.

Exceptions

Upon the recommendation of the institutional President, the Board may grant exceptions to the minimum rank qualifications or the promotion eligibility criteria relating to the minimum number of years in rank in the institution or both. The Board shall consider for promotion under this Section only those faculty members who, in the judgment of the Board, have demonstrated that their level of performance and/or professional qualifications are notably excellent and sufficient to offset the lack of a required degree or years in rank.

PROCESS

Faculty unit members become eligible to apply for promotion during the year in which their length of service will meet the stated requirements.

Evaluation Process

The **dean** will write an evaluative statement after reviewing the candidate's credentials addressing whether or not the candidate sufficiently meets the standards for promotion with respect to duties assigned as well as a summary recommendation. This document will be available to university administrators as part of their deliberations. This document will be placed in the candidate's personnel file following the president's notification to the candidate.

The **provost** will make an independent review of the candidate's credentials taking into account the recommendations from the dean. The provost will make an independent recommendation to the president. This document will be placed in the candidate's personnel file following the president's notification to the candidate.

The **president** reviews the relevant material including the previous reviews and makes a recommendation to the Board of Regents regarding the candidate's qualifications for promotion.

The final decision whether to grant a promotion to any applicant shall remain exclusively with the **Board**.

The candidate is not informed of any of the evaluations until the campus process is completed.

TIMELINES

Note that if any deadline falls on a weekend or holiday the adjusted deadline will be the first working day following the deadline date.

Note also that these deadlines are independent of the deadlines for annual review which is distinct from the Promotion and Tenure review process.

Candidate Intent: September 1

The candidate needs to inform the Dean and the Office of the Provost in writing of the intent to submit materials for promotion by September 1. The candidate needs to document that they meet the minimal criteria for promotion in terms of degree, time in rank and time at DSU at the time of submission.

Candidate Application: October 1

Faculty members who wish to be considered for promotion shall submit an application for promotion, together with supporting documents, to their dean by October 1. The required supporting documents are detailed below. It is the responsibility of the faculty member to prepare documentation appropriate for use by the appropriate administrators in judging the faculty member's qualification for promotion.

Provost Office Responsibility: October 25

If the candidate has teaching responsibilities, the Office of the Provost will prepare a compilation of the student opinion surveys by October 15 and have these available for the dean and P&T Committee to be included as part of the review. The Office of the Provost's compilation of the student opinion survey information will include the period of time the candidate has been at DSU with a maximum of the last five years. The summary will include all student comments when available.

Where applicable, the Office of the Provost will also prepare a summary table of the DSU annual evaluation ratings from teaching/scholarship/service over the past five years or from the time the faculty member has been at DSU.

Dean Evaluation: December 15

All documentation must accompany the request to the dean for consideration. The dean, and any other administrators including the president who review the file in order to make independent recommendations, may supplement the material assembled by the faculty with information obtained from other sources, and they may base their recommendations upon such additional information provided that such additional information is included in the file together with the materials assembled by the faculty member.

Provost Review: March 1

The provost will conduct an independent review of the material submitted by the candidate and the recommendations from the dean. The provost will prepare a letter for the president summarizing that information and provide a recommendation for action.

President Recommendation: April 1

The president will notify the candidate no later than April 1 of the year in which the faculty member is being considered for promotion, of whether the president will recommend promotion to the Board. The president will make the institutional recommendation to the Board by April 15.

If the president intends to recommend that promotion be denied, the president will, upon receipt prior to April 15 of a written request, within fifteen (15) working days of the request provide reasons in writing for the decision. The reasons given shall be substantive in nature by including the opinions of the president from the information available. The faculty member may file a written request for reconsideration within ten (10) working days of receipt of the president's reasons for denial of promotion. The request should specify the grounds and considerations that the faculty member believes warrant a different result. The president, after reviewing the request, shall notify the faculty member in writing, within ten (10) working days, of the final institutional recommendation to be forwarded to the

Board and of its basis. The rights to obtain reasons and to request reconsideration shall not expand the rights and limitations under BOR Policy 4:7(8).

Board Action: Typically the May or June Board Meeting

The President will make the institutional recommendation to the Board by April 15. The final decision whether to grant a promotion to any applicant shall remain exclusively with the Board.

No promotions shall be granted unless funds exist to provide for an increase in salary, and an increase in salary is given.

COMPILING THE PORTFOLIO

When assessing the quality of performance, administrators shall be guided by the principles stated in Board Policy No. 4.4.3 as complemented by institutional policy statements. The nature of the portfolio to be submitted by the candidate is dependent upon the responsibilities assigned to the position. In some case, this will involve teaching, advising, research/scholarship/creative activities and service and in other cases, only a portion of those duties. The candidate should submit material for each of these categories of responsibilities only if the duties encompass that category. Refer to Appendix B for more detail on college expectations for scholarship, if applicable to the assignment.

Minimum Documentation Provided by the Candidate

The following is required documentation to be provided by the candidate:

1. Personal statements, to include:

Personal statement of application for promotion, including a statement documenting that minimum promotion eligibility criteria (as described in Board of Regents policy) have been met (maximum of three single-spaced pages);

Personal statement on philosophy of teaching and relevant comments about their teaching experience at DSU (maximum of four single-spaced pages) – if applicable to assignment;

Personal statement of the nature and direction of the candidate's scholarship/research/creative endeavors (maximum of three single-spaced pages) – if applicable to assignment;

Personal statement of the candidate's contribution to service to DSU, to the discipline, to the state and/or community (maximum of three single-spaced pages) – if applicable to assignment;

2. Updated curriculum vita;
3. Copies of up to three samples of published works: articles, papers, manuscripts, books, evaluation instruments or software, photos, slides or recordings of any creative works of the candidate's choosing, as appropriate to the duties of the position – if applicable to assignment.
4. Documentation to demonstrate accomplishments

The candidate should present representative evidence of accomplishments, even if some seem appropriate for promotion to a higher rank than that for which they are applying.

Documentation refers to the specific materials that can be used to substantiate or illustrate a faculty member's achievement of a particular professional behavior. Appropriate (but not exhaustive) documentation is a necessary component in a faculty member's application for promotion. Examples of appropriate documentation are included below.

Documenting Professional Behavior in Teaching, if applicable

Faculty members are responsible for explaining and documenting the impact of their work. The following are some examples of documentation which may be used in determining the impact of a behavior. The list is not meant to be all-inclusive and candidates are not expected to address every item on the list.

- Description of how course, administrator, peer, or self-evaluation results (and other applicable quantitative and qualitative data) were used to improve the course or improve teaching and the outcome;
- Description/documentation of attendance at faculty development sessions, seminars, workshops, courses, conferences, etc., along with an explanation of how the faculty member applied knowledge from these activities to their teaching;
- Examples of exceptional and innovative teaching (lesson plans, activities, assignment criteria sheets, rubrics, etc.);
- Descriptions of changes in course syllabi assignments and projects and the significance of those changes;
- Descriptions of new technologies and software utilized or developed to enhance teaching and learning;
- Evidence of student learning (pre/post tests, projects, comments from teaching evaluation documents, etc.);
- Evidence of broadened student learning (students present material related to your class at conference or workshop; student publications);
- Explanations of mentoring relationships and the importance, outcome, and/or impact;
- Description of individualized instruction or help session, materials and methods used, and problem areas addressed;
- Explanations of the faculty member's role in curriculum and assessment activities.

Documenting Professional Behavior in Advising, if applicable

Faculty members are responsible for explaining and documenting the impact of their work. The following are some examples of documentation that may be used in determining the impact of a behavior. The list is not meant to be all-inclusive and candidates are not expected to address every item on the list.

- Evaluations by program coordinator and/or dean and students;
- Explanation of when and how advisees and/or other students were assisted, including student orientation and registration sessions;
- Participation in workshops or seminars designed to improve academic advising skills;
- Description of when and where innovative advising techniques were disseminated to colleagues;
- Description of the assessment techniques or materials used and the outcome;

- Description of the faculty member's role in project/dissertation or portfolio review, when appropriate.

Documenting Professional Behavior in Scholarship, Research and Creative Activity, if applicable

As indicated above, copies of up to three published works (articles, papers, manuscripts, books, evaluation instruments or software, grant applications and awards, photos, slides or recordings of any creative works) can be included as part of the faculty member's research portfolio. Faculty members are responsible for explaining and documenting the impact of their work to the college, to the discipline, and to the institution. The following are some examples of documentation which may be used in determining the impact of a behavior. The list is not meant to be all-inclusive and candidates are not expected to address every item on the list.

- Evaluation by professional peers;
- Awards, prizes, commendations, honors, invited presentations;
- Development of software, media, patents, inventions;
- Citation counts;
- Acceptance rates of various journals or conferences;
- Advanced degrees, certifications, etc.

Documenting Professional Behavior in Service, if applicable

Faculty members are responsible for explaining and documenting the impact of their work behaviors to students, to their college, to the discipline, and to the institution. The following are some examples of documentation which may be used in determining impact. The list is not meant to be all-inclusive.

- Evaluations by an organization to which service was provided;
- Evaluations by professional peers;
- Citations or acknowledgements of contributions;
- News articles, announcements, feature stories, photo stories, web sites;
- Discussion of role in the activities of university, college, or multi-institutional committees and task forces;
- Reports produced for institutional or departmental studies or projects;
- Recruitment seminars and recruitment efforts;
- Discussion of role in student activities;
- Description / documentation of function and/or position in professional organizations;
- Discussion of role in activities of city, county, state, or regional committees;
- Description of efforts to promote the mission and interests of DSU;
- Description of service to schools and other universities;
- Description of editorial and advisory service to professional journal/ review boards;
- Description of advisory services to accrediting agencies;
- Description of efforts to share knowledge related to application of technology.

Recognition of Other Activities

Faculty members and their dean may agree that other specific activities shall be considered teaching/advising; research, scholarship and creative activity; or service contributions.

Significant performance relative to these other activities will also be recognized, provided that such specified activities are consistent with agreed-upon goals and appropriate professional behaviors.

To warrant recognition, other specific activities must be justified in terms of the mission of the university, the role or mission of the faculty member's department or discipline or the faculty member's specific assignment as agreed to by the faculty member and the dean. This agreement to recognize other activities is intended to permit the modification of performance standards for individual faculty members, as warranted by unique circumstances.

Documentation Available to the Evaluators

Personnel File: The faculty's official personnel file will be available to the administration.

Student Opinion Surveys: Student data will be used as part of the evaluation of faculty members with teaching responsibilities, including the student opinion surveys selected by the Board and administered by the institutions to students enrolled in a course. The Office of the Provost will compile the Student Opinion Survey information from the period of time the candidate has been at DSU with a maximum of the last five years. The summary will include all student comments when available.

Workload Documents: The workload calculation documents for each of the previous five years will be provided as part of the candidate portfolio.

Annual Review Ratings: The ratings for instruction/scholarship/service for each of the previous five years will be provided as part of the candidate's portfolio.

Promotion or Change in Rank Increment

No promotions shall be granted unless funds exist to provide for an increase in salary, and an increase in salary is given. A faculty member who is to be promoted or granted a change in rank will receive an increment based on the faculty member's current academic year base salary. If the faculty member's next academic year contract is for a different percentage of time or number of months than was in effect in the current academic year, the current academic year base salary will be adjusted to reflect such changes prior to the application of the following schedule of increments:

PROFESSOR of PRACTICE RANKS:

Assistant Professor to Associate Professor: 4%

Associate Professor to Professor: 6%

Promotion and Tenure Process: Research Professor

The Research Professor ranks at DSU and within the SD Board of Regents system are non-tenurable positions which are given to persons who are assigned to externally-funded research centers including the MadLabs and Applied Research Laboratory (ARL).

This document is intended to inform research faculty of the procedures and documentation to be submitted in seeking promotion. More detailed standards specific to each College are outlined in Appendix B. Much of this document is derived from BOR Policy 4.4.4.

It is the applicant's responsibility to submit documentation that substantiates qualifications for promotion per the guidelines outlined within the policy. Only those activities and materials that date from the faculty member's last promotion should be included in the documentation. This documentation should provide evidence of the applicant's expertise and accomplishment in each of these areas:

- Scholarship/research/creative work
- Service to the university, discipline/profession, community or public, as appropriate

Minimum Qualifications

The first step is to document that you meet the minimum promotion eligibility criteria.

In addition to the minimum rank qualifications for employment and promotion stated in this section, the minimum eligibility criteria for promotion in the research professorial rank are detailed below. All references to years in rank herein are to full-time academic year appointments or to their equivalents. Faculty members become eligible to apply for promotion during the year in which their length of service will meet the stated requirements.

Note that the Board may, at its discretion and upon the recommendation of the administration of the institution, reduce the number of years of service required for eligibility for promotion; provided that prior service credit may not be requested in conjunction with an application for promotion. Refer to Appendix A for a description of how to apply for prior service credit.

Assistant Research Professor to Associate Research Professor:

The minimum qualifications for appointment at the Associate Research Professor rank include:

- Earned terminal degree
- Six (6) years of successful research experience in appropriate fields (or appropriate equivalent experience);
- Four (4) years in rank at DSU prior to application for promotion;
- Evidence of external recognition for ongoing scholarly accomplishment and leadership consistent with DSU standards implementing Board Policy No. 4.4.3;
- High level of performance in the areas of responsibilities commensurate with promotion to the rank of Associate Research Professor

Associate Research Professor to Research Professor:

Appointment as Research Professor requires:

- Earned terminal degree and ten (10) years of successful research experience in appropriate fields (or appropriate equivalent experience);
- Five (5) years in rank at the DSU;
- Evidence of external recognition for ongoing scholarly accomplishment and leadership consistent with DSU standards implementing Board Policy No. 4.4.3;
- High level of performance in the areas of responsibilities commensurate with promotion to the rank of Research Professor.

Exceptions

All reference to years in rank herein shall mean full-time academic year appointments, or their equivalents, for the regular faculty ranks and full calendar years, or their equivalents, for research ranks.

Where part-time experience is to be recognized, it shall be recognized on a pro-rata basis. In addition to the minimum promotion eligibility criteria set forth in this section, to be awarded promotion in rank, faculty members must meet DSU performance standards for persons holding the instructional rank sought. Applicants for promotion in research ranks must document research achievement and productivity comparable to the highest research standards observed nationwide.

Upon the recommendation of the institutional President, the Board may grant exceptions to the minimum rank qualifications or the promotion eligibility criteria relating to the minimum number of years in rank in the institution or both. The Board shall consider for promotion under this Section only those faculty members who, in the judgment of the Board, have demonstrated that their level of performance and/or professional qualifications are notably excellent and sufficient to offset the lack of a required degree or years in rank.

Procedure for Awarding Promotion and Continuing Appointment in Research Ranks

DSU's chief research officer shall establish a promotion and continuing appointment review committee. *Until such time as twelve or more research faculty members have been appointed to continuing appointments, the promotion review committee membership shall comprise the chief research officers of other system institutions that host research centers, together with two additional representatives from DSU, designated by the president.*

PROCESS

The promotion review committee will use the guidelines put forward in this document for consideration in their promotion recommendations. Deliberations of the committee are confidential. The working papers and files of the promotion review committee will remain confidential. Subsequent to the Board's final determination, the president will have the written recommendations of the supervisor and of the VP for Research placed in the faculty member's personnel file, together with any additional materials that they may have secured to assist in formulating their opinions.

Evaluation Process

The **immediate supervisor** will write an evaluative statement after reviewing the candidate's credentials addressing whether or not the candidate sufficiently meets the standards for promotion and/or continuing appointment with respect to research productivity and service (if applicable), as well as a summary recommendation. This document will be available to the Promotion Review (PRC) committee and university administrators as part of their deliberations. This document will be placed in the candidate's personnel file following the president's notification to the candidate.

The **Promotion Review Committee** shall make a recommendation to the vice president for research and economic development (VP RED), the provost and president in a letter indicating the vote of the committee and summarizing the candidate's strengths and weakness as well as an overall summary recommendation.

The **VP RED** and the **provost** will forward the recommendation of the PRC Committee, together with such additional comments as they may deem appropriate, to the president. This document will be placed in the candidate's personnel file following the President's notification to the candidate.

The **President** will review the relevant material including the previous reviews and make a recommendation to the Board of Regents regarding the candidate's qualifications for promotion.

The final decision whether to grant a promotion to any applicant shall remain exclusively with the **Board**.

TIMELINES

Note that if any deadline falls on a weekend or holiday the adjusted deadline will be the first working day following the deadline date.

Note also that these deadlines are independent of the deadlines for annual review which is distinct from the PR review process.

Candidate Intent: September 1

The candidate must inform their immediate supervisor, the Vice President for Research and Economic Development and the Office of the Provost in writing with their intent to submit materials for promotion by September 1. The candidate must document that they meet the minimal criteria for promotion in terms of degree, time in rank and time at DSU.

Candidate Application: October 1

Research faculty members who wish to be considered for promotion shall submit an application for promotion, together with supporting documents, to their immediate supervisor by October 1. The required supporting documents are detailed below. Such notification and application shall allow the Promotion Review Committee's access to the faculty member's personnel file and professional development plans. It is the responsibility of the faculty member to prepare documentation appropriate for use by the PRC and appropriate administrators in judging the faculty member's qualification for promotion.

The Vice President for Research and Economic Development will also prepare a summary table of the DSU annual evaluation over the past five years or from the time the faculty member has been at DSU.

Immediate Supervisor Evaluation: November 21

All documentation must accompany the request to the immediate supervisor for consideration. The immediate supervisor, and any other administrators, including the president, who review the file in order to make independent recommendations, may supplement the material assembled by the faculty with information obtained from other sources, and they may base their recommendations upon such additional information, provided that such additional information is included in the file together with the materials assembled by the faculty member.

Promotion Review Committee: January 15

The PRC will review all materials and may consult with the faculty member or other individuals as it deems appropriate. After such consultation, the PRC will add its recommendation and forward all information to the vice president of research and economic development and the provost by January 15.

Vice President for Research and Economic Development and Provost Review: February 1

The Vice President for Research and Economic Development and the Provost will forward the recommendation of the PRC, together with such additional comments s they may deem appropriate, to the president by February 1.

President Notification to Candidate: March 1

The president will notify the candidate no later than March 1 of the year in which the faculty member is being considered for promotion, of whether the president will recommend promotion to the Board.

President Recommendation: April 15

The president will make the institutional recommendation to the Board by April 15.

At the request of the faculty member, the recommendation of the PRC will accompany the institutional recommendation to the Board. If the president intends to recommend that promotion be denied, the president will, upon receipt prior to April 15 of a written request, within fifteen (15) working days of the request provide reasons in writing for the decision. The reasons given shall be substantive in nature and shall transcend the mere fact of the recommendations by the committees by including the opinions of the president from the information available to him/her. The faculty member may file a written request for reconsideration within ten (10) working days of receipt of the president's reasons for denial of promotion. The request should specify the grounds and considerations that the faculty member believes warrant a different result. The president, after reviewing the request, shall notify the faculty member in writing, within ten (10) working days, of the final institutional recommendation to be forwarded to the Board and of its basis. The rights to obtain reasons and to request reconsideration shall not expand the rights and limitations under BOR Policy 4:7.(8).

Board Action: Typically the May or June Board Meeting

The President will make the institutional recommendation to the Board by April 15. The final decision whether to grant a promotion to any applicant shall remain exclusively with the Board.

No promotions shall be granted unless funds exist to provide for an increase in salary, and an increase in salary is given.

COMPILING THE PORTFOLIO

When reviewing applications for promotion, administrators and the PRC shall consider the progress towards meeting the objectives of professional development plans and they shall heed evidence that the faculty unit member is effectively pursuing approved objectives, but they shall exercise independent judgment as to the quality of results achieved by the faculty unit member.

When assessing the quality of performance, administrators and committee members shall be guided by the principles stated in Board Policy No. 4.4.3 as complemented by institutional policy statements.

Candidates for promotion and/or tenure are responsible for compiling a portfolio which is placed in a D2L site for review by the immediate supervisor and the promotion review committee.

The evaluation of research faculty will include an assessment of the research faculty member's original contributions to research, contribution to the effective work of any research teams to which the research faculty member has been assigned, grant awards, contracts received, intellectual properties issued or other measures of research accomplishment.

Minimum Documentation Provided by the Candidate

The following is required documentation to be provided by the candidate:

Personal statement of application for promotion, including a statement documenting that minimum promotion review eligibility criteria (as described in Board of Regents policy) have been met (maximum of four single-spaced pages);

1. Personal statements, to include:

Personal statement of the nature and direction of the candidate's scholarship/research/creative endeavors (maximum of four single-spaced pages);

Personal statement of the nature and contribution of the candidate's work of any research team (maximum of four single-spaced pages);

Statement of contributions to grant awards, contracts, and/or intellectual property (maximum four single-spaced pages)

If appropriate a personal statement of the candidate's contribution to service to DSU, to the discipline, to the state and/or community (maximum of four single-spaced pages);

2. Updated curriculum vita;
3. Documentation to Demonstrate Accomplishments

The candidate should present representative evidence of accomplishments, even if some seem appropriate for promotion to a higher rank than that for which they are applying.

Documentation refers to the specific materials that can be used to substantiate or illustrate a faculty member's achievement of a particular professional behavior. Appropriate (but not exhaustive) documentation is a necessary component in a faculty member's application for promotion. Examples of appropriate documentation are included below.

Documenting Professional Behavior in Scholarship, Research and Creative Activity

Copies of three published works (articles, papers, manuscripts, books, evaluation instruments or software, grant applications and awards, photos, slides or recordings of any creative works) may be included as part of the faculty member's research portfolio. Faculty members are responsible for explaining and documenting the impact of their work to the college, to the discipline, and to the institution. The following are some examples of documentation which may be used in determining the impact of a behavior. The list is not meant to be all-inclusive and candidates are not expected to address every item on the list.

- Evaluation by professional peers;
- Grants and/or contracts awarded (please note if they are competitive grants);
- Awards, prizes, commendations, honors, invited presentations;

- Development of software, media, patents, inventions;
- Citation counts;
- Acceptance rates of various journals or conferences;

Documenting Professional Behavior in Service, if appropriate

Faculty members are responsible for explaining and documenting the impact of their work behaviors to students, to their college, to the discipline, and to the institution. The following are some examples of documentation which may be used in determining impact. The list is not meant to be all-inclusive.

- Evaluations by an organization to which service was provided;
- Evaluations by professional peers;
- Citations or acknowledgements of contributions;
- News articles, announcements, feature stories, photo stories, web sites;
- Discussion of role in the activities of university, college, or multi-institutional committees and task forces;
- Reports produced for institutional or departmental studies or projects;
- Description / documentation of function and/or position in professional organizations;
- Discussion of role in activities of city, county, state, or regional committees;
- Description of efforts to promote the mission and interests of DSU;
- Description of service to schools and other universities;
- Description of editorial and advisory service to professional journals or review boards;

Recognition of Other Activities

Faculty members and their immediate supervisor may agree that other specific activities shall be considered research, scholarship and creative activity; or service contributions. Significant performance relative to these other activities will also be recognized, provided that such specified activities are consistent with agreed-upon goals and appropriate professional behaviors.

To warrant recognition, other specific activities must be justified in terms of the mission of the university, the role or mission of the faculty member's unit or discipline or the faculty member's specific assignment as agreed to by the faculty member and his/her immediate supervisor. This agreement to recognize other activities is intended to permit the modification of performance standards for individual faculty members, as warranted by unique circumstances.

Documentation Available to the Evaluators

Personnel File: The faculty's official personnel file will be available to the promotion review committee.

Workload Documents: The workload calculation documents for each of the previous five years will be provided as part of the candidate portfolio.

Annual Review Ratings: The ratings for instruction/scholarship and service for each of the previous five years will be provided as part of the candidate's portfolio.

Promotion or Change in Rank Salary Increment

No promotions shall be granted unless funds exist to provide for an increase in salary, and an increase in salary is given. A faculty member who is to be promoted or granted a change in rank will receive an increment based on the faculty unit member's current academic year base salary. If the faculty member's next academic year contract is for a different percentage of time or number of months than was in effect in the current academic year, the current academic year base salary will be adjusted to reflect such changes prior to the application of the following schedule of increments:

RESEARCH FACULTY RANKS:

Assistant Professor to Associate Professor: 8%

Associate Professor to Professor: 10%

Promotion and Tenure Process: Librarian Ranks

This section is intended to inform faculty at the librarian rank of the procedures and documentation to be submitted in seeking promotion.

It is the applicant's responsibility to submit documentation that substantiates qualification for promotion per the guidelines outlined within the policy. Only those activities and materials that date from the faculty member's last promotion should be included in the documentation. This documentation should provide evidence of the applicant's expertise and accomplishment in each of these areas:

- Librarianship
- Service to the University, Discipline/Profession, Community or Public
- Research, if applicable

Minimum Qualifications

The first step is to document that you meet the minimum promotion eligibility criteria. All references to years in rank herein are to full-time academic year appointments or to their equivalents. Where parttime experience is to be recognized, it will be recognized on a pro-rata basis. Faculty members become eligible to apply for promotion during the year in which their length of service will meet the stated requirements.

Note that the Board may, at its discretion and upon the recommendation of the administration of the institution, reduce the number of years of service required for eligibility for promotion, provided that prior service credit may not be requested in conjunction with an application for promotion. Refer to Appendix A for a description of how to apply for prior service credit.

Assistant Librarian to Associate Librarian

The minimum qualifications for promotion include:

- Master's degree in library or information science from a program accredited by the American Library Association; or other degrees or qualifications recognized under academic program or discipline accreditation standards.
- Master's, specialist, or doctoral degree in addition to the master's degree in library or information science;
- Ten (10) years of experience as a professional librarian or three (3) years in rank as an Assistant Librarian at DSU before submitting materials;
- Performance of assigned responsibilities commensurate with expectations for Associate Librarians;
- Evidence of external recognition for ongoing accomplishment and leadership consistent with institutional standards implementing Board Policy No. 4.4.3 for the librarian ranks.

Associate Librarian to Librarian:

The minimum qualifications for promotion include:

- Master's degree in library or information science from a program accredited by the American Library Association; or other degrees or qualifications recognized under academic program or discipline accreditation standards.
- Master's, specialist, or doctoral degree in addition to the master's degree in library or information science;
- Fifteen (15) years of experience as a professional librarian or five (5) years in rank as an Associate Librarian at DSU before submitting materials;
- Performance of assigned responsibilities commensurate with expectations for Librarians;
- Evidence of external recognition for ongoing accomplishment and leadership consistent with institutional standards implementing Board Policy No. 4.4.3 for the librarian ranks.

Exceptions

Upon the recommendation of the president, the Board may grant exceptions to the minimum rank qualifications or the promotion eligibility criteria relating to the minimum number of years in rank in the institution or both. The Board shall consider for promotion under this section only for those faculty members who, in the judgment of the Board, have demonstrated that their level of performance and/or professional qualifications are notably excellent and sufficient to offset the lack of a required degree or years in rank.

PROCESS

Evaluation Process

Faculty librarians report to the library director. The library director reports directly to the provost.

For faculty librarians, the **library director** will write an evaluative statement after reviewing the candidate's credentials addressing whether or not the candidate sufficiently meets the standards for promotion as well as a summary recommendation. This document will be available to university administrators as part of their deliberations. This document will be placed in the candidate's personnel file following the President's notification to the candidate.

The library director will be evaluated directly by the provost.

The **provost** will make an independent review of the candidate's credentials, taking into account the recommendations from the library director. The provost will make an independent recommendation to the president. This document will be placed in the candidate's personnel file following the president's notification to the candidate.

The **president** will review the relevant material including the previous reviews and make a recommendation to the Board of Regents regarding the candidate's qualifications for promotion.

The final decision whether to grant a promotion to any applicant shall remain exclusively with the **Board**.

The candidate is not informed of any of the evaluations until the campus process is completed.

TIMELINES

Note that if any deadline falls on a weekend or holiday the adjusted deadline will be the first working day following the deadline date.

Note also that these deadlines are independent of the deadlines for annual review which is distinct from the promotion review process.

Candidate Intent: September 1

The candidate needs to inform the library director and Office of the Provost in writing of the intent to submit materials for promotion by September 1. The candidate needs to document that they meet the minimal criteria for promotion in terms of degree, experience, time in rank, and time at DSU.

Candidate Application: October 1

Faculty librarians who wish to be considered for promotion shall submit an application for promotion, together with supporting documents, to the library director by October 1. The required supporting documents are detailed below. Such notification and application shall allow the library director and provost access to the faculty librarian's personnel file. It is the responsibility of the faculty librarian to prepare documentation appropriate for use by the appropriate administrators in judging the faculty librarian's qualification for promotion.

Provost Office Responsibility: October 1

The Office of the Provost will prepare a summary table of the DSU annual evaluation ratings from teaching, service, and research if applicable over the past five years or from the time the faculty librarian has been at DSU.

Library Director Evaluation: November 7

All documentation must accompany the request to the director for consideration. The director, and any other administrators, including the president, who review the file in order to make independent recommendations, may supplement the material assembled by the faculty with information obtained from other sources, and they may base their recommendations upon such additional information, provided that such additional information is included in the file together with the materials assembled by the faculty member.

Provost Review: March 1

The provost will conduct an independent review of the material submitted by the candidate. The provost will prepare a letter for the president summarizing that information and provide a recommendation for action.

President Recommendation: April 1

The president will notify the candidate no later than April 1 of the year in which the faculty member is being considered for promotion, of whether the president will recommend promotion to the Board. The President will make the institutional recommendation to the Board by April 15.

If the president intends to recommend that promotion be denied, the president will, upon receipt prior to April 15 of a written request, within fifteen (15) working days of the request provide reasons in writing for the decision. The reasons given shall be substantive in nature and include the opinions of the president from the information available. The faculty member may file a written request for reconsideration within ten (10) working days of receipt of the president's reasons for denial of

promotion. The request should specify the grounds and considerations that the faculty member believes warrant a different result. The president, after reviewing the request, shall notify the faculty member in writing, within ten (10) working days, of the final institutional recommendation to be forwarded to the Board and of its basis. The rights to obtain reasons and to request reconsideration shall not expand the rights and limitations under BOR Policy 4:7(8).

Board Action: Typically the May or June Board Meeting

The President will make the institutional recommendation to the Board by April 15. The final decision whether to grant a promotion to any applicant shall remain exclusively with the Board.

No promotions shall be granted unless funds exist to provide for an increase in salary, and an increase in salary is given.

COMPILING THE PORTFOLIO

When assessing the quality of performance, administrators shall be guided by the principles stated in Board Policy No. 4.4.3 as complemented by institutional policy statements. Candidates for promotion are responsible for compiling a portfolio for review by the administration.

Minimum Documentation Provided by the Candidate

The following is required documentation to be provided by the candidate:

1. Personal statements, to include:

Personal statement of application for promotion including a statement documenting that minimum promotion eligibility criteria (as described in Board of Regents policy) have been met (maximum of three single-spaced pages);

Personal statement on philosophy of librarianship and relevant comments about their library experience at DSU (maximum of four single-spaced pages);

Personal statement of the candidate's contribution to service to DSU, to the discipline, to the state and/or community (maximum of three single-spaced pages).

If relevant to the particular position, a personal statement of the candidate's contribution to research (maximum of three single-spaced pages).

2. Documentation to Demonstrate Accomplishments

The candidate should present representative evidence of accomplishments, even if some seem appropriate for promotion to a higher rank than that for which they are applying.

Documentation refers to the specific materials that can be used to substantiate or illustrate a faculty member's achievement of a particular professional behavior. Appropriate (but not exhaustive) documentation is a necessary component in a faculty member's application for promotion. Examples of appropriate documentation are included below.

Documenting Professional Behavior in Librarianship

Faculty members are responsible for explaining and documenting the impact their work. The following are some examples of documentation which may be used in determining the impact of

a behavior. The list is not meant to be all-inclusive and candidates are not expected to address every item on the list.

- Description of how statistics, administrator, peer, or self-evaluation results (and other applicable quantitative and qualitative data) were used to improve the work in librarianship;
- Description/documentation of attendance at faculty development sessions, seminars, workshops, courses, conferences, etc., along with an explanation of how the faculty member applied knowledge from these activities to their librarianship;
- Examples of exceptional and innovative approaches to librarianship (instruction materials, finding aids, library website development, integration of new technology, etc.);
- Descriptions of new technologies and software utilized or developed to enhance librarianship;
- Evidence of how work has enhanced the research atmosphere of DSU;
- Explanations of mentoring relationships and the importance, outcome, and/or impact;
- Description of how work has impacted student success;
- Explanations of the faculty member's role in university assessment activities.

Documenting Professional Behavior in Service

Faculty members are responsible for explaining and documenting the impact of their work behaviors to students, to the library, to the discipline, and to the institution. The following are some examples of documentation which may be used in determining impact. The list is not meant to be all-inclusive.

- Evaluations by an organization to which service was provided;
- Evaluations by professional peers;
- Citations or acknowledgements of contributions;
- News articles, announcements, feature stories, photo stories, web sites;
- Discussion of role in the activities of university, college, or multi-institutional committees and task forces;
- Reports produced for institutional or departmental studies or projects;
- Recruitment seminars and recruitment efforts;
- Discussion of role in student activities;
- Description / documentation of function and/or position in professional organizations;
- Discussion of role in activities of city, county, state, or regional committees;
- Description of efforts to promote the mission and interests of DSU;
- Description of service to schools and other universities;
- Description of editorial and advisory service to professional journals or review boards;
- Description of advisory services to accrediting agencies;

Documenting Professional Behavior in Research, as appropriate

Faculty members are responsible for explaining and documenting the impact of their work to the college, to the discipline, and to the institution.

The following are some examples of documentation which may be used in determining the impact of a behavior. The list is not meant to be all-inclusive and candidates are not expected to address every item on the list.

- Copies of up to two published works (articles, papers, manuscripts, books, evaluation instruments or software, grant applications and awards, photos, slides or recordings of any creative works).
- Evaluation by professional peers;
- Awards, prizes, commendations, honors, invited presentations;
- Development of software, media, patents, inventions;
- Citation counts;
- Acceptance rates of various journals or conferences;
- Advanced degrees, certifications, etc.

Recognition of Other Activities

Faculty members and their dean may agree that other specific activities shall be considered librarianship, research, and/or service contributions. Significant performance relative to these other activities will also be recognized, provided that such specified activities are consistent with agreed-upon goals and appropriate professional behaviors.

To warrant recognition, other specific activities must be justified in terms of the mission of the university, the role or mission of the faculty member's department or discipline or the faculty member's specific assignment as agreed to by the faculty member and the dean. This agreement to recognize other activities is intended to permit the modification of performance standards for individual faculty members, as warranted by unique circumstances.

Documentation Available to the Evaluators

Personnel File: The faculty's official personnel file will be available to the dean, provost and president.

Workload Documents: The workload calculation documents for each of the previous five years will be provided as part of the candidate portfolio.

Annual Review Ratings: The ratings for each of the previous five years will be provided as part of the candidate's portfolio.

Promotion or Change in Rank Salary Increment

No promotions shall be granted unless funds exist to provide for an increase in salary, and an increase in salary is given. A faculty member who is to be promoted or granted a change in rank will receive an increment based on the faculty unit member's current academic year base salary. If the faculty member's next academic year contract is for a different percentage of time or number of months than was in effect in the current academic year, the current academic year base salary will be adjusted to reflect such changes prior to the application of the following schedule of increments:

LIBRARIAN RANKS:

Assistant Librarian to Associate Librarian: 8%

Associate Librarian to Librarian: 10%

APPENDIX A -- DSU Procedures for Prior Credit and Early Tenure

Board Policy on tenure on appointment: **BOR Policy 4:4.7: Section 1.3.**

The Board may grant a tenure appointment to a newly hired faculty member who had such tenure status previously. Candidates recommended for appointment with tenure appointment shall have a record at least equal to that expected for tenure or continuing appointment at the institution or research center. The administration shall engage the institutional promotional and tenure committee to review the new appointment's academic and scholarly record and advance a recommendation from the committee as a portion of the formal recommendation. The system Chief Academic Officer, in consultation with the Executive Director, may approve the campus recommendation for granting tenure and provide a report to the Board of Regents during their next scheduled meeting.

Board Policy on Prior Credit: **BOR Policy 4.4.7 Section 1.4.**

The Board may, at its discretion and upon the recommendation of the administration of the institution, reduce the number of years of tenure track or probationary service required. Although prior service credit toward tenure or continuing appointments may be awarded at any time, the Board strongly suggests that faculty members submit requests for prior service credit toward tenure only after the faculty member has assembled a complete portfolio for tenure review. Requests for prior service credit should be submitted on a form designated by the Board.

DSU Procedure and Criteria

Faculty members can request consideration for prior credit served at another institution in their first three years of DSU appointment. The Board of Regents grants prior credit and applications must be submitted to the dean prior to January 20th of the third year of their appointment. Petitions for prior credit must have the approval of the dean, vice-president and president. Note that the BoR statement that applications occur “*only after the faculty member has assembled a complete portfolio for tenure review*” is misleading and does not apply in these situations.

The request shall identify the work at the previous institution (or the work at DSU prior to appointment in a tenure-track position) that faculty member intends to use as justification for prior credit. The candidate should submit an extended curriculum vita and relevant supplemental materials as requested for consideration. Only those candidates approved by the president will be forwarded to the Board of Regents for consideration.

Once approved, prior credit cannot be rescinded and the probationary period for tenure consideration will be reduced accordingly. Note that once the process begins in October, candidates can not withdraw their candidacy and failure to achieve tenure will result in a one-year non-renewable contract.

APPENDIX B – Portfolio Self-Evaluation Checklist

To ensure your portfolio contains all required components, complete the following self-evaluation checklist prior to submission of your portfolio.

- Statement of application documenting minimum promotion and tenure eligibility criteria have been met
- Personal statement on philosophy of teaching (max 4 single-spaced pages)
- Personal statement on advising (max 4 single-spaces pages)
- Personal statement on scholarship (max 4 single-spaced pages)
- Personal statement on service (max 4 single-spaces pages)
- Letter of recommendation from a colleague within your academic unit (written since your last promotion)
- Letter of recommendation from an off-campus colleague (written since your last promotion)
- At least one additional letter of recommendation (written since your last promotion)
- Current curriculum vita
- Copies or links to up to three scholarly / creative works
- Documentation demonstrating accomplishments in teaching
 - *Documentation must explain and document the impact of your work
 - **Documentation and activities must date from your last promotion
- Documentation demonstrating accomplishments in advising
 - *Documentation must explain and document the impact of your work
 - **Documentation and activities must date from your last promotion
- Documentation demonstrating accomplishments in scholarship, research, or creative activity
 - *Documentation must explain and document the impact of your work
 - **Documentation and activities must date from your last promotion
- Documentation demonstrating accomplishments in service
 - *Documentation must explain and document the impact of your work
 - **Documentation and activities must date from your last promotion

** Examples and lists need to be accompanied with explanations, descriptions and/or evidence explaining impact. Examples and lists alone, without reflection/explanation/evidence, are insufficient in documenting expected behaviors.*

*** If you are an Assistant Professor applying for tenure and promotion to Associate Professor then only those activities and materials that date from your time as an Assistant Professor can be included in the documentation.*

If you are an Associate Professor applying for tenure or are an Associate Professor applying for promotion to Professor then only those activities and materials that date from your promotion to Associate Professor can be included in the documentation.