

NEW MEXICO STATE UNIVERSITY- COLLEGE OF ARTS AND SCIENCES

PROMOTION AND TENURE POLICIES AND PROCEDURES

Spring 2021

The following policies and procedures were approved by the Dean on April 15, 1975. Amended April 17, 1979, October 1979, March 1982, March 2008, November 2015, August 2018. Approved by the Provost and Senior Vice President for Academic Affairs.

APPROVED: _____

DATE: _____

Table of Contents

1	Introduction.....	4
2	Promotion and Tenure Process Guiding Principles	5
2.1	Fairness	6
2.2	Diversity.....	6
2.3	Faculty Participation	7
2.4	Transparency.....	7
2.5	Conflict of Interest	7
2.6	Flexibility.....	8
2.7	Confidentiality	8
2.8	Collegiality.....	9
2.9	Mid-Probationary Review.....	9
3	Annual Evaluations	11
3.1	General Considerations	11
3.2	Allocation of Effort.....	12
3.3	Annual Performance Report	13
3.4	Annual Promotion and Tenure Progress Evaluation.....	15
4	Functions of Professorial Tracks	16
4.1	Tenure-Track Faculty.....	16
4.2	College-Track Faculty	18
4.3	Research-Track Faculty	18
5	Criteria for Promotion and Tenure.....	18
5.1	General Considerations	19
5.1.1	Tenure	19
5.1.2	Promotion.....	19
5.2	Teaching and Advising	20
5.2.1	Definition	20
5.2.2	Evaluation	20
5.3	Scholarship and Creative Activities.....	21
5.3.1	Definition	21
5.3.2	Evaluation	22
5.4	Service.....	22
5.4.1	Definition	22

5.4.2	Evaluation	23
5.5	Extension and Outreach	23
5.5.1	Definition	23
5.5.2	Evaluation	24
5.6	Leadership.....	24
5.6.1	Definition	24
5.6.2	Evaluation	25
6	Criteria and Procedures for Promotion within the College-track Ranks and for Research Faculty.....	26
6.1	Criteria for Promotion.....	26
6.2	Portfolio Organization for College-track and Research Faculty.....	28
7	Evaluation of and Recommendations Related to Promotion and/or Tenure.....	28
8	Procedures.....	28
8.1	Organization of the Documents for College Review	29
8.1.1	Core Document	29
8.1.2	Supplemental File	32
8.2	Procedure for Soliciting External Letters	33
9	Administrative Procedures.....	35
9.1	Consistency	35
9.2	Departmental Functions and Criteria Statement.....	35
9.3	Changes in Policy	36
9.4	Promotion and Tenure Committees	36
9.4.1	Departmental Promotion and Tenure Committees	36
9.4.2	College Promotion and Tenure Committees (Faculty Affairs Committees)	37
9.5	Evaluation Procedures	38
9.5.1	Compilation of and Access to the Promotion and/or Tenure Portfolio	38
9.5.2	Initiation of the Process	38
9.5.3	Evaluation Process	39
9.5.4	Return of the Portfolios.....	39
9.6	Time Table for Promotion and/or Tenure Evaluation.....	39
9.7	Appeals	41
10	Post-tenure Review	41
10.1	Requesting a Post-Tenure Review	41
10.2	Execution of a Post-Tenure Review	42
11	Emeritus Status	44

11.1	Requesting Emeritus Status	44
11.2	Review and Approval	44

1 Introduction

The NMSU College of Arts and Sciences is responsible for overseeing the annual review of faculty performance, progress toward promotion and tenure, and for making promotion and tenure recommendations across all academic departments. This document contains the policy and procedures for the College of Arts and Sciences as the principal unit. These policies and procedures derive from and adhere to those outlined in Section 9 of the NMSU Administrative Rules and Procedures (ARP). All Functions and Criteria statements of departments/programs within the College must adhere to both College and University policies. University policies regarding promotion and tenure supersede Department and College policies, and College policies supersede the Department Functions and Criteria Statement (see Figure 1).

The purpose of this document is to clarify the principles, criteria, and processes that underlie the faculty evaluation (both for promotion and tenure and for annual performance) within the College of Arts and Sciences. The College of Arts and Sciences promotion and tenure policies are informed by and designed to support the strategic mission, vision and goals of the College. The guidelines described in this document adhere to the principles of excellence, fairness, transparency and faculty participation. In particular, as discussed in Section 9.32 of the NMSU ARP, fairness and transparency should ensure that the process is free from any biases or elements that could be viewed as discriminatory, guaranteeing a work environment that is welcoming and inclusive.

This document is not intended to serve as a stand-alone manual. It is designed to supplement the NMSU ARP for faculty members within the College of Arts and Sciences; in turn, the individual department's Functions and Criteria Statement represents a supplement and refinement of the information contained in this document and the NMSU ARP, and it should respect the tenets that are set forth in both documents. While the NMSU ARP details policy and procedures for the promotion and/or tenure process that apply to all principal units of the University, this College of Arts and Sciences Policy document provides additional policy and procedural information that applies specifically to the departments and the faculty members within the College.

Each faculty member is responsible for following the policies and procedures in the University, College and Department documents. Faculty members also are expected to understand the role of the three policy documents and seek appropriate explanations when in doubt.

The responsibility for the updating and revision of this document rests primarily with the Dean of the College of Arts and Sciences, with the support of the Faculty Affairs Committees. This document will be reviewed and updated at least every five years by a committee consisting of the

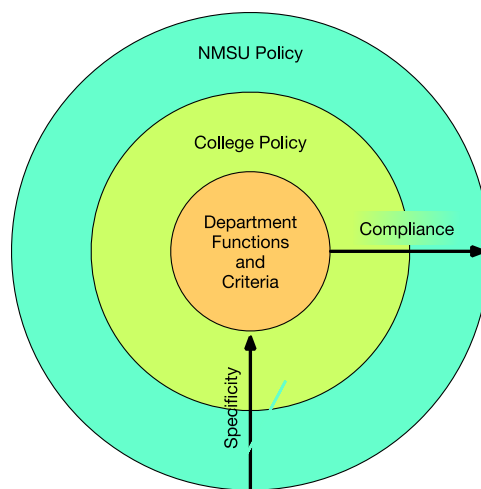


Figure 1: P&T Documents

Dean, the Associate Deans, and the members of the Faculty Affairs Committees. The final review and approval of this document rests with the tenured, tenure-track, college-track, and research faculty of the College of Arts and Sciences.

If substantial changes are made to this College policy document during a faculty member's pre-tenure period, the faculty member may elect to adopt one of the policies (the new one or the preceding one) for evaluation purposes. The specific regulations for the selection of the policy document are discussed in Section 9.2.

2 Promotion and Tenure Process Guiding Principles

The process of promotion and/or tenure in the College of Arts and Sciences is guided by the following mission and vision statements:

1. The land-grant mission of NMSU and the institutional vision, as described by the LEADS 2025 document;
2. The strategic plan of the College of Arts and Sciences, including its mission, vision and goals;
3. The NMSU Promotion and Tenure Rules and Regulations (NMSU ARP Section 9).

The strategic plan of the College of Arts and Sciences is designed to supplement the mission of NMSU and the LEADS 2025 document. More specifically, the mission of the College of Arts and Sciences is:

The College of Arts and Sciences is the intellectual core of New Mexico State University, providing cutting-edge academic programs supported by active research and creative activities.

The College provides the foundational education for every NMSU student and a wide array of degrees preparing students to be life-long learners, knowledgeable and responsible citizens of our world.

The core values of the College of Arts and Sciences (**REAL**) are:

- **Rigor & Excellence:** We believe the best education is rigorous, challenging, and demands perseverance. We believe that the best creative and scholarly work demands the same efforts. Those who excel in these endeavors should be recognized, cultivated, rewarded, and celebrated.
- **Exploring and Discovery:** We value and strive for excellence in research, scholarship and creative activities, positioning the College to be a leader in discovery and innovation, meeting the challenges of modern society and improving lives.
- **Accessibility:** We value being accessible to the diverse people of New Mexico and beyond. We value education and research that is inclusive, available, and affordable. We recognize diversity as a strength and an opportunity for excellence and success. We are the gateway to learning for all students, which provide us both an opportunity and responsibility to

impact their learning experience in a positive way, developing a sense of inclusion, belonging and respect. We value serving the citizens of New Mexico, achieving a sustainable existence in the environment we occupy and integrating ourselves into the community and region of the border Southwest.

- **Learning and Knowledge:** We value learning and knowledge for their own sake and creating broadly educated members of society who can think critically and improve their communities. We strive to model a love of learning and to instill a desire for a lifetime of learning. We value providing advanced education and scholarship through strong graduate and undergraduate programs.

The procedures for promotion and/or tenure within the College of Arts and Sciences are articulated through the following phases:

1. *Allocation of Effort statement*
 - Outlines expectations and goals for the upcoming year – composed of the upcoming Spring, Summer and Fall semesters;
2. *Annual Performance Evaluation*
 - Provides an assessment of the performance during the previous calendar year and measures the progress toward expectations and goals, as set in the Allocation of Effort and the overall departmental expectations;
3. *Progress toward Promotion and/or Tenure Review*
 - Annual cumulative review of progress toward tenure and/or promotion to the following rank;
4. *Mid-probationary Review (optional)*
 - This is typically offered to untenured tenure-track faculty members;
5. *Review of Applications for Promotion and/or Tenure*
6. *Post-tenure and Post-promotion Review*
 - Assists faculty in remaining productive members of the College, addressing areas of possible improvement, and making progress toward the next promotion.

The following sections will articulate these components and processes.

In the rest of this section, we highlight some of the principles that guide the promotion and tenure process in the College of Arts and Sciences.

2.1 Fairness

The College of Arts and Sciences values criteria-driven, procedurally-sound, policy-based recommendations and decisions regarding progress toward and the granting of promotion and tenure. According to NMSU policy, *decisions must be made without regard to race, national origin, gender, gender identity, age, disability, political beliefs, religion, marital status, sexual orientation, special friendships, or animus towards candidates, taking care to avoid conflicts of interest, structural, institutional, or habitual thoughts and patterns that could lead to disparate treatment, including prohibited discrimination and undue preferential treatment* (NMSU ARP, 9.32.6).

2.2 Diversity

The College wants every member of its community, students, faculty, staff, and other stakeholders,

to feel that they belong to Arts & Sciences, regardless of their background, ethnicity, religion, gender, sexual orientation or age. The College expects and promotes an environment which values mutual respect and understanding, where every member of the community is valued and respected, and where community members are provided the tools and opportunities to be engaged and empowered. All the activities of the College are immersed in a commitment to diversity, equity and inclusion, to cultivate intellectual curiosity, free and open inquiry, and rigor among students and faculty members. Our goal is to prepare students to succeed in a society that is globally diverse and complex, and preparing students to be leaders and role models in the pursuit of learning, freedom and truth. The College believes that diversity is a unique driver for creativity and academic excellence; we believe that we can learn the most from people who are different from ourselves. A commitment to diversity, equity, and inclusion should be recognized and celebrated among the contributions of a faculty member to their disciplines and to the activities of the institution.

The College of Arts and Sciences values our significant contribution to our Minority-serving and Hispanic-serving, Land-Grant University. We recognize that diversity of knowledge systems, the importance of having an appreciation for different disciplines, thought processes, histories, and modes of expression, promote excellence in all areas of faculty responsibility and in student learning. *NMSU values the richness that inquiry based upon intellectual and cultural differences brings to the university community* (NMSU ARP, 9.32.6).

2.3 Faculty Participation

The recruitment and retention of excellent faculty members is of utmost importance to the quality of the University, the achievement of the College and University goals, and the future of the institution. The College of Arts and Sciences values and promotes faculty participation in the creation, revision, and application of criteria for promotion and tenure in all principal units. Faculty members at the appropriate ranks and meeting the requirements for participation in the recommendation process provide input and recommendations on progress toward and the granting of promotion and/or tenure for colleagues within the Department and/or College, according to professional and collegial evaluation processes and in accordance with participation policies established at the Departmental, College, and University levels (see also Section 9.3 of this document concerning requirements for serving on Promotion and Tenure Committees).

2.4 Transparency

To ensure transparency of all processes and decisions regarding promotion and/or tenure, all principal units, including the College, will maintain full access to up-to-date policy documents via their websites. In addition, each faculty member will receive links to the departmental and College documents upon hire. In addition, the College will provide to Departments the procedures, forms, and dates corresponding to:

- a) Annual allocation of efforts;
- b) Annual performance evaluation;
- c) Annual evaluation of progress toward promotion and/or tenure, and
- d) Application for promotion and/or tenure.

2.5 Conflict of Interest

The Conflict of Interest Policy for the College of Arts and Sciences respects the guidelines and regulations described in the NMSU ARP 3.02 and 9.35.

Service by a faculty member or administrator in an evaluation and/or review process should not take place in the presence of a demonstrated conflict of interest, such as an amorous or spousal relationship with a candidate or any other form of conflict of interest discussed in the NMSU ARP, in which instance the faculty member or administrator involved shall not participate in the candidate's review at any level. Additional cases of conflicts of interest should be discussed in the Department Functions and Criteria statement and should cover those situations where there is clear evidence that the relationship between the candidate and the faculty member or administrator is such to prevent a professional unbiased judgment. In other situations, a faculty member or administrator, in consultation with the Department Head, may petition the Dean to be excused from the Promotion and Tenure Committee for documented conflicts of interest. The Dean will transmit the decision to the Department Head. Analogous process will take place for membership in any of the Arts & Sciences Faculty Affairs Committees. The excusal of a member of a committee should be considered an exceptional circumstance and should not be taken lightly. Faculty members should be able to rise above common professional or personal disagreements and operate professionally and in an unbiased manner within a committee; a personal disagreement should not, by itself, be a reason to excuse a committee member.

If service by a faculty member or administrator would create a conflict of interest and the individual does not recuse herself/himself from the process, any member of the Promotion and Tenure Committee, the Department Head, or any member of any of an Arts & Sciences Faculty Affairs Committees may appeal to the Dean. After consulting with the individual in question, the candidate, available members of the Promotion and Tenure Committee, and the Department Head, the Dean will decide the issue. Recusals will be noted in the committee vote counts.

All appeals to the Dean should be in the form of a written memorandum.

In some cases, the supervisor of the candidate's unit or College (e.g., Department Head, Dean) will participate in the preliminary discussions of the Department Promotion and Tenure Committee or one of the Arts & Sciences Faculty Affairs Committees to provide information on **process** prior to deliberations. However, the Department or College supervisor must not be present for the deliberations. These preliminary meetings will also be used to review and discuss the University Conflict of Interest policies, rules and procedures.

2.6 Flexibility

The College of Arts and Sciences policy on flexibility in tenure-track decisions adheres to the NMSU policy described in the NMSU ARP Section 9.35. This includes regulations for credit for service prior to NMSU, extensions of the probationary period, reduction of the probationary period, part-time status and joint appointments.

2.7 Confidentiality

All materials pertaining to faculty performance evaluation and a candidate's promotion and/or tenure progress should remain confidential. All committees and parties involved in the evaluation of candidates for promotion and/or tenure will guarantee the confidentiality of records, deliberations, and recommendations. The only exception is the need for transparency in the content of the portfolio with respect to the candidate, as discussed in Section 8. The chain of responsibility, with respect to confidentiality, for a candidate's material begins with the Department Head, who is responsible for the materials while those materials are assembled and under review at the department level. Once the portfolios are forwarded to the College, the Dean and the Chair of the applicable Faculty Affairs Committee will ensure confidentiality. Precise policies to ensure confidentiality at the departmental level should be explicitly described in each departmental

Functions and Criteria statement. Accepting an appointment to one of the Arts & Sciences Faculty Affairs Committees or the departmental Promotion and Tenure Committee indicates implicit agreement to maintaining confidentiality.

2.8 Collegiality

Collegiality can be defined as the ability of a faculty member to positively interact and collaborate with all constituents within the academic environment, including colleagues, students, staff, administrators, and members of the community. According to the definition put forward by Arizona State University, collegiality is a critical component of the fundamental principles of professional ethics of the academic world – i.e., civility in the academic environment, respect for students, staff, and colleagues, integrity of intellectual inquiry and research, concern for the needs and rights of students and community members, and awareness of workplace safety and regulations. As such, it is important to underline that collegiality should be distinguished from personal traits (e.g., like friendliness, sociability, likeability) and from conformance with views and opinions of colleagues and administrators; it is instead a professional trait, directly related to how a faculty member performs her/his duties in the academic workplace. Collegiality also covers the willingness to actively participate in collaborative administrative and academic tasks and take an active role in the discussion and development of policies and programs. Contributing to the growth of a respectful, collaborative and constructive working environment within the department is an important trait of collegiality.

Collegiality is an expectation of all faculty members and it is essential in maintaining a **positive** academic environment that promotes learning, discovery and communication. Literature provides ample evidence of how collegiality contributes to positive productivity and effective operation in academic institutions. The College embraces the perspective put forward by the American Association of University Professors,¹ indicating that *“collegiality is not a distinct capacity to be assessed independently of the traditional triumvirate of teaching, scholarship, and service. It is rather a quality whose value is expressed in the successful execution of these three functions. Evaluation in these three areas will encompass the contributions that the virtue of collegiality may pertinently add to a faculty member’s career.”*

The College, thus, values and expects collegiality of faculty members in all activities. Departments are expected to address the value of collegiality in all the evaluation areas in their Functions and Criteria Statements. Department Heads, Promotion and Tenure Committees, and the Arts & Sciences Faculty Affairs Committees are expected to document strengths and weaknesses regarding a candidate’s collegiality, and its impact on any of the primary areas of evaluation – not as a dominating factor but as a contributing factor in progress toward promotion and/or tenure. The College considers persistent lack of collegiality as a valid reason for non-renewal of annual contracts and for denial of tenure and/or promotion.

2.9 Mid-Probationary Review

In accordance with NMSU ARP (Section 9.35.3), the College of Arts and Sciences strongly encourages the optional mid-probationary review. This review is optional and should be explicitly requested by the candidate, unless explicitly required in the departmental Functions and Criteria document. This mid-probationary review is in addition to and complements the rigorous annual review that is required of all probationary faculty members. The annual review provides feedback on the tenure-track faculty member’s progress toward meeting the Departmental, College and

¹ <http://www.aaup.org/report/collegiality-criterion-faculty-evaluation>

University requirements for promotion and/or tenure and is used to identify specific activities recommended to enhance the candidate's progress and resolve potential areas of concern.

The mid-probationary review is an opportunity to provide a more substantive review that includes feedback from external reviewers and from one of the Arts & Sciences Faculty Affairs Committees. As stated by NMSU ARP, this is a formative review process, providing constructive feedback that is based on performance and allocation of effort, and reflects the expectations for promotion and/or tenure of the Department, College and University. This is not a review that will affect merit pay and should not be used for contract continuation decisions. Faculty members that elect to undergo a mid-probationary review should request it in writing to their Department Head, according to the guidelines and deadlines discussed in the departmental Functions and Criteria statement.

Faculty should submit their complete promotion and/or tenure portfolios prepared according to the College and University guidelines. Each unit is expected to provide timeline guidance for the submission of the mid-probationary portfolio. *The College strongly recommends a timeline that is aligned with the timeline for submission of portfolios for promotion and/or tenure:*

- Faculty interested in a mid-probationary review should request it during the Spring semester;
- Portfolios for mid-probationary review are submitted to the Department Head in early Fall;
- Portfolios, including the Department Head and Promotion and Tenure Committee recommendations, are submitted to the College in mid Fall, aligned with the deadlines for submissions of all regular portfolios for promotion and/or tenure.

A formative review of the portfolio will be conducted by the Promotion and Tenure Committee of the principal unit, the Department Head, and the relevant Faculty Affairs Committee. The review will be conducted in accordance with the same processes and procedures as for a regular promotion and tenure case.

3 Annual Evaluations

3.1 General Considerations

Each regular faculty member, including college faculty and research faculty, is evaluated on an annual basis for their professional performance. In addition, all pre-tenure tenure-track faculty members receive annual assessment of progress toward promotion and tenure based on the Functions and Criteria statement of their department, the College Promotion and Tenure policy, and the University ARP. Each evaluation should provide documentation of accomplishments relative to the stated expectations and indication of areas of improvement. The form of evaluation should be consistent with the policies stated at the University, College, and Department levels. All parties, including the candidate, Department Head, members of the departmental Promotion and Tenure Committee, members of the Arts and Sciences Faculty Affairs Committees, and the Dean must follow procedures established by this document, the NMSU ARP, and the departmental Functions and Criteria Statements. They must all recognize the candidate’s agreed-upon allocation of effort.

The diversity of disciplines within the College of Arts and Sciences makes it impossible to provide a uniform college-wide set of criteria, in recognition of the unique scholarly and creative activities, teaching and advising, service, and extension and outreach responsibilities within each academic unit. As such, this College policy delegates the specific evaluation criteria to the individual department’s Function and Criteria Statement and to the agreed upon annual Allocation of Effort. Nevertheless, such definitions should be consistent with the characterization of scholarships as discussed in the relevant section of the NMSU ARP (The college, in particular, focuses on the evaluation criteria stated in ARP 9.31.3). The college expects all faculty members to strive for excellence in their areas of performance. In light of the land-grant mission of NMSU, the College values the role of service and leadership provided by all faculty members.

All parties involved in the evaluation process are expected to strive to provide a fair and impartial assessment that builds on the criteria set by the Department, College and University policies. The College understands that each faculty member is unique in their skills and expertise, and *it is expected that the candidate provides adequate documentation to demonstrate professional stature, performance and impact in all areas being assessed.* The adequacy of the documentation should be assessed according to the metrics and expectations set in the Departmental Functions and Criteria Statement, the College and NMSU policies. The candidate’s level of ability in these areas should be consistent with the rank or tenure status being sought and should be consistent with the academic standards in the candidate’s discipline. Academic excellence is expected in all areas of performance. In addition, the College also values the demonstration of collegiality, collaborative work and teamwork – each faculty member is encouraged to pursue and properly document collaborative efforts.



Figure 2: Timeline for Annual Evaluations and Progress Reports

The college views the participation of each faculty member in the evaluation processes (e.g.,

annual performance evaluation, tenure, promotion) as an essential part of the assigned duties. Failure to participate in the process (e.g., failure to provide annual reports or other documentation requested by supervisors) should be seen as a performance failure and should be reflected as a negative component in the evaluation process.

3.2 Allocation of Effort

Consistent with NMSU ARP (Section 9.31), all regular faculty members are *required* to develop an Allocation of Effort Statement for each calendar year of service at NMSU. It is understood that the amount of effort that faculty members at any rank devote to different components of their duties may vary, depending on goals, appointments, special activities and other circumstances. It is essential for the evaluation process to recognize these variations when properly documented and approved (on an annual basis) as effective contributions to the mission of the Department, College and University. It is acceptable to have variations in each faculty member's efforts from year to year, as long as these are properly agreed upon between the faculty member and the Department Head. Significant variations from the baseline established for the department should be discussed with the Dean before approval. When there is variation in the Allocation of Effort, it is expected that these differences are properly taken into account during the evaluation of performance and during assessment of progress toward promotion and/or tenure.

The Allocation of Effort statements are integrated into the promotion and tenure process to assure that each faculty member is assessed according to their performance in the assigned duties. These statements are required of each faculty member each year, regardless of rank, and become part of the annual performance evaluation process and the Promotion and/or Tenure portfolio, including the documents used for any eventual post-tenure review.

The College requires each faculty member to prepare an Allocation of Effort Statement for each calendar year, using the College approved form. The Allocation of Effort Statement has to be approved by the Department Head; signed copies of the Allocation of Effort should be uploaded in the Workload Information section of Digital Measures. Specific deadlines for submission of each faculty member's Allocation of Effort Statement will be established by the Dean's office and should be communicated through the Department Heads. The College encourages the departments to complete the development of the Allocation of Efforts statements before the start of the evaluation period to which they pertain – and in no case past 3 months from the start of such period.

The Allocation of Effort Statement outlines the percentages of effort to be dedicated to each of the four areas of performance (Scholarship and Creative Activities, Teaching and Advising, Service, Extension & Outreach). Per NMSU policy, the sum of the various percentages should be 100%. While the NMSU ARP recognizes that a percentage of 0% can be present in any category, the College sees scholarship & creative activities and teaching & advising as fundamental components of the activities of a tenured/tenure-track faculty member. The College will consider a 0% allocation in these categories acceptable only in exceptional, Dean-approved, and well-documented circumstances. In addition, the statement requires the development of specific goals to be achieved during the performance period, properly aligned with the LEADS 2025 goals and the strategic plans of the college and the department.

The Allocation of Effort Statement should be accurate and useful, and prepared in a manner that is unambiguously understandable by administrators at all levels and by internal and external evaluation bodies. The percentages used in the allocation of effort *should be consistent within the Department* and should be properly justified by the proposed goals. In particular, comparable activities by faculty members in the same department should be reported with comparable percentages of effort.

If an agreement between the faculty member and the Department Head on the allocation of effort cannot be reached, the Dean will mediate and facilitate the final assignment of an allocation of effort. Appeals to the agreement will be handled following the process described in the NMSU ARP (Section 10.60). The faculty member will maintain records of the goals, objectives, and allocation of effort and accomplishments for each year's activity. Failure to complete an Allocation of Effort will be seen as a performance failure and should be reflected as a negative component in the evaluation process and considered as possible ground for disciplinary action.

3.3 Annual Performance Report

Each regular faculty member, regardless of rank or status (i.e., pre-tenure, tenured, college-track, research-track), is required to submit an Annual Performance Report (APR). The APR documents all activities and accomplishments relevant to the four areas of evaluation (Creative and Scholarly Activities, Teaching and Advising, Service, and Extension and Outreach). The general submission deadline of APRs is in late December or early January for the activities performed in the preceding calendar year. The faculty member will provide evidence in their APR that the agreed-upon responsibilities, as described in the Allocation of Effort Statement, are being met. The College requires the preparation of the APRs using the NMSU Digital Measures portal. The Department will assist each faculty member in the preparation of the APRs each year; the following are some common considerations:

- The APRs should be self-contained; all materials needed for evaluation purposes should be uploaded in the appropriate sections of Digital Measures; particular care is needed to ensure that the annual report includes only the activities relevant to the performance period (e.g., activities should have a proper end date in Digital Measures to prevent them from appearing in future years);
- The APRs should be informative but concise; only required documentation should be included;
- The APRs should include only information relative to the period being assessed (i.e., from the first day of January to the last day of December);
- The College requires the following sections of the Digital Measures report be addressed (as applicable):
 - General information:
 - Administrative assignments
 - Awards and honors
 - External connections and partnerships
 - Professional development
 - Media contributions
 - Professional memberships
 - Scholarship and Creative Activities
 - Artistic and professional performance and exhibits
 - Books, journals, and other text-based contributions
 - Contracts, grants and sponsored research [ARGIS import]
 - Contracts, grants and sponsored research [non-ARGIS]
 - Intellectual property (e.g., copyrights, patents)
 - Presentations

- Scholarly and creative activities in progress
- Teaching and related activities
 - Academic advising (e.g., career and course counseling)
 - Directed student learning (e.g., theses, dissertations)
 - Non-credit instruction
 - Scheduled teaching
 - Evaluation of teaching – Students: the College requires student course evaluations for all regular courses (exclusive of dissertation, theses, individual studies) every semester; each department should determine the format to be used consistently within the department; suggested options include the inclusion of entire copies of student evaluations and the development of representative samples of qualitative comments from the students.
 - [For college-track and pre-tenure, tenure-track faculty] at least two additional forms of evidence of teaching effectiveness are required, such as self-reflections, peer-evaluations, and evidence of student learning (beyond course grades);
 - [For tenured faculty] at least one additional form of evidence of teaching effectiveness is required, including self-reflections, peer-evaluations, and evidence of student learning (beyond course grades).
- Service activities
 - Department, College and University service
 - Professional service (e.g., peer reviews, review panels)
 - Community service
 - Other administrative assignments
- Extension and outreach activities
- Leadership
- [For regular faculty] Note that while leadership is a separate category in digital measures, evidence of leadership is to be provided and evaluated relevant to the four areas of faculty effort.

The faculty member will be given the opportunity to provide a written response to the annual performance evaluation. These responses become integral part of the annual evaluations and should be maintained together and provided together when requested (e.g., as part of portfolios for promotion and/or tenure). Likewise, those evaluating should base their judgment solely upon the departmental Functions and Criteria Statement, the faculty member's Allocation of Effort Statement, the faculty member's annual performance report, and College and University policies and procedures.

The Department Head is responsible for developing the annual performance evaluation of each faculty member in the Department. The evaluation will use a standard form, provided by the College. Each faculty member will receive a rating for each of the four evaluation categories (as determined by the allocation of effort) as well as an overall performance rating. The possible ratings are:

- *Not Meet Expectations or Needs Improvement (NME/NI)*: this rating should be used when

the performance does not meet the effort and goals proposed for the reporting period, the accomplishments are well below the typical expectations for faculty with comparable allocations of effort, and the gap is not covered by other comparable activities; the college also expects this rating to be used for persistent failure to meet expectations in collegiality and performance of duties (e.g., failure to provide an annual report in Digital Measures);

- *Meets Expectations (ME)*: this is considered as a positive rating, used when the performance is comparable to the effort and goals proposed for the reporting period and the accomplishments are comparable to the basic expectations for faculty with comparable allocations of effort;
- *Exceeds Expectations (EE)*: this rating should be used when the faculty member achieved accomplishments that are well beyond what was proposed in the Allocation of Effort Statement and well beyond the typical expectations for faculty with comparable allocations of effort;
- *Exemplary (EX)*: this rating should be used sporadically to recognize individuals who have truly distinguished themselves across the institution (e.g., by receiving an institutional award, e.g., Westhafer) or nationally (e.g., a CAREER award).

The Department Head is expected to justify each rating with a brief narrative that highlights strengths and weaknesses of the achievements in each category. The narrative should be concise and informative, and should focus on assessing performance (e.g., not just listing activities). The Department Head will provide a written copy of the evaluation to each faculty member once finalized and approved by the Dean. Each faculty member is expected to meet with the Department Head during the Spring semester to discuss their evaluation.

3.4 Annual Promotion and Tenure Progress Evaluation

The College requires each untenured, tenure-track faculty member to be reviewed during the Spring semester to assess progress toward promotion and/or tenure. The Spring review is applicable to tenured faculty and regular college-track and research-track faculty members if they either request it or the Departmental Function and Criteria Statement prescribes it. Tenured faculty members or their department heads may request an annual meeting regarding progress toward promotion and tenure. The regular review of tenured faculty members, college-track, and research-track faculty members who have not achieved the highest rank is encouraged by the College.

The Spring Promotion and Tenure review typically takes place in the early part of the Spring semester; the goal is to provide faculty members with an assessment of the progress toward reaching the goal of applying for promotion and/or tenure. The assessment is cumulative and should take into consideration *all* activities performed during the entire period at NMSU (for tenure) or since the previous change of rank (for promotion), and account for any credit toward promotion and/or tenure that the faculty may have been granted upon hire. For example, a typical regular untenured Assistant Professor will be assessed during the Spring Promotion and Tenure review on all the activities that have been performed since the time of their hire; faculty members seeking promotion to the next rank will be assessed on all the activities since the previous promotion. Thus, the Spring review should provide a comprehensive view of progress and should not focus exclusively on the activities and accomplishments of the previous year. As such, the Spring review has a different purpose and scope than the annual performance evaluation.

Each faculty member is expected to maintain a portfolio for promotion and/or tenure, which includes the main components of the core document for promotion and/or tenure. The minimum required components of the portfolio are:

- Up to date curriculum vitae, organized according to the guidelines provided in this document;
- Copies of all previous Spring Promotion and Tenure reviews from the department Promotion and Tenure committee and the Department Head;
- Copies of all previous APRs;
- Copies of all previous Department Head annual performance appraisals;
- [Optional] Updated narrative describing philosophy, activities and accomplishments in the four areas of Scholarship & Creative Activities, Teaching and Advising, Service, and Extension and Outreach, according to the guidelines specified in this document.

The College encourages maintaining these components in electronic form, considering that the submission of the portfolios for promotion and/or tenure is fully electronic.

The College requires faculty members to arrange and organize the portfolio according to the guidelines in Section 8 of this document, in order to create consistency within the Department and the College, to facilitate transition to the complete core document (as discussed in Section 8) at the time of application for promotion and/or tenure.

The Spring review is composed of two steps. Step one is a thorough review performed by the Department Promotion and Tenure Committee, leading to a written assessment. The assessment should identify strengths and weaknesses with respect to meeting the expectations for promotion and/or tenure, as specified in the Departmental Functions and Criteria Statement, the College Promotion and Tenure Policy and the NMSU ARP. The evaluation should be comprehensive and substantive, and it should provide a clear set of specific recommendations.

Step two is an independent review by the Department Head; the review should cover the same period and provide an independent assessment of the progress toward promotion and/or tenure.

The College encourages Promotion and Tenure Committees and Department Heads to articulate their reports in terms of strengths, areas of suggested improvement, and recommendations along each evaluation area (Scholarship and Creative Activities, Teaching and Advising, Service, Extension and Outreach) as well as an overall assessment.

Both reviews will be shared with the faculty members, placed in their departmental files, and copy will be forwarded to the Dean's Office. These reviews will become part of the faculty member's portfolio for promotion and/or tenure.

4 Functions of Professorial Tracks

In conformance with the NMSU ARP, Section 9.33, the College of Arts and Sciences recognizes the professorial tracks discussed in the following subsections. The professorial ranks within each track are those discussed in the NMSU ARP.

4.1 Tenure-Track Faculty

Faculty members in tenure-track and tenured positions are expected to strive for excellence in Teaching and Advising, Scholarly and Creative Activities, Extension and Outreach, and Service.

Faculty and administrators are referred to Section 9.33 of the NMSU ARP for more detail on the expected qualifications for promotion and/or tenure within the faculty ranks.

Teaching and Advising: All faculty members are expected to excel in teaching and support the retention and timely graduation of students through academic advising. An excellent teacher must document her/his effectiveness in the development of problem solving and critical thinking skills and in the transfer of knowledge. An excellent advisor must remain knowledgeable about University, College and Departmental degree requirements, general education and University policies, and guide students toward academic and career goals. Faculty members are also expected to remain current in teaching and educational practices within their discipline. Excellent teachers should be able to demonstrate growth as teachers throughout their careers and productivity in meeting the teaching mission of their Department, College, and New Mexico State University.

Scholarly and Creative Activities: Faculty members are expected to excel in the creation of new knowledge in any of the recognized forms of scholarly and creative activities, as specified in the NMSU Policy. Each department is expected to clarify, in its Functions and Criteria Statement, the expectations in terms of what constitutes acceptable scholarly and creative activities for the specific discipline. Irrespective of the differences between disciplines, there is an expectation that scholarly and creative activities contribute to the creation of new knowledge recognized, accepted, and applauded (e.g., through peer-reviews) by a community of peers, researchers, and educators. The faculty member will be evaluated on the success of the scholarly and creative activity, the efforts extended to disseminate the knowledge gained and the extent to which graduate and undergraduate students participate in the scholarly and creative activities. As indicated by the NMSU ARP (9.31.3), NMSU grounds its view of scholarly and creative activities in the Boyer's concept of scholarship.

Extension and Outreach: Faculty members are expected to contribute to the mission of the University in disseminating knowledge to the public and serving the broader needs of the people of New Mexico, promoting economic development, enhancing quality of life, and creating opportunities for educational development.

Service: Faculty members are expected to contribute time and effort to the development and organization of the University and its units, and to local, state, national and international agencies, institutions, and organizations.

4.2 College-Track Faculty

College-track faculty members are defined as faculty members in the College of Arts and Sciences on a regular (0.5FTE or higher) appointment, who are eligible for promotion and not eligible for tenure. College-track faculty members are expected to strive for excellence in teaching and teaching related service. College-track faculty will be evaluated for promotion based on the allocation of their effort in the areas of teaching and advising, teaching related and other service according to University, College and Department criteria, policies and procedures – with expectations in these areas analogous to those discussed in the previous section. Inclusion of activities not connected to teaching and advising (e.g., Scholarly and Creative Activities, Extension and Outreach) in a college-track faculty member's Allocation of Effort is permissible only under special circumstances, with written permission from the Dean. Such exceptions should also be articulated in the Departmental Functions and Criteria Statement.

4.3 Research-Track Faculty

The role of Research faculty members is defined in the NMSU ARP 6.35, as faculty members with qualifications comparable to those of tenure-track faculty members but holding a primarily research appointment typically funded through external funding sources. Research faculty members are not eligible for tenure but are eligible for promotion and they may hold the ranks of Research Assistant Professor, Research Associate Professor and Research Professor. Research faculty are expected to strive for excellence in research and creative activities, with particular emphasis on extramural funded research and creative activities. Where applicable, Research faculty will also be allowed to serve on graduate committees and advise graduate students. Research faculty will be evaluated for promotion based on the allocation of their effort in the areas of research and creative activities, research advising, and research-related service according to University, College and Department criteria, policies and procedures – with expectations in these areas analogous to those discussed in the previous sections. Inclusion of activities not connected to research and creative activities and advising (e.g., Teaching, Extension and Outreach) in a research faculty member's Allocation of Effort is permissible only under special circumstances, with written permission from the Dean. Such exceptions should also be articulated in the Departmental Functions and Criteria Statement.

5 Criteria for Promotion and Tenure

Each department in the College of Arts and Sciences is to maintain a detailed, up-to-date statement referencing and elaborating on the Department criteria for promotion and tenure outlined in NMSU ARP 9.34. This includes criteria for promotion to various ranks for tenure-track, college-track, and research-track faculty. These criteria can be the same or different for each group of faculty based on the roles defined for each group in the Department. The Department Head and the Dean of the College will share the responsibility in ensuring that the criteria set forth by each Department are fair and balanced, and the overall workload is equitable. Each department shall post on its website its written promotion and tenure policy document, which must be in alignment with the NMSU Rules on Faculty Evaluation, Promotion and Tenure. In addition, they must post the link to the Office of the Provost's website.

In the rest of this section, we provide some clarifications concerning the different areas of evaluation; as indicated in previous parts of this document, it should be understood that the content of these sections is a further clarification to the guidelines and regulations contained in the NMSU ARP, Section 9.

5.1 General Considerations

5.1.1 Tenure

The granting of tenure is a cornerstone of academic freedom, ensuring faculty members with the flexibility and time that is essential to an atmosphere conducive to the search for knowledge, discovery, and the achievement of academic excellence. The granting of tenure is a recognition of achieved academic excellence and recognition from the relevant communities of peers. Furthermore, the granting of tenure also recognizes a faculty member's potential for long-term value to the institution, as evidenced by professional performance and growth. Faculty members are integral to the educational and research programs of New Mexico State University; tenured faculty are the community of educators and researchers who create institutional stability and promote ongoing commitment to excellence. Thus, tenure will be granted to faculty members whose contributions, ethical standards, collegiality, dedication to serving the University's missions, and potential for effective long-term performance warrant the institution's reciprocal long-term commitment.

The granting of tenure is not the result of serving in a certain position for a number of years; it is the result of achievements and excellence. Nevertheless, under normal circumstances, a faculty member will be considered for tenure in their sixth year of service in the professorial rank. The faculty member applies for tenure by submitting to the department head in the spring of the candidate's fifth year, or other time as previously negotiated, their Portfolio. If a faculty member/candidate does not apply for tenure in the fifth year, or extended year as appropriate, and does not submit a resignation letter as contemplated by this rule, the faculty member's employment will terminate with the expiration of the current annual "Temporary Contract". By the end of the sixth year on tenure track, the faculty member must either be granted tenure or be given a year's timely notice that the appointment will not be continued. Exceptions to this timeline (e.g., credit toward tenure, extended tenure track period, early tenure review) are possible and these are articulated in the NMSU ARP. If a faculty member receives approval for a modified tenure clock, then it is important that all reviewers evaluate the dossier without prejudice, as if the individual had been on probationary status for the standard five years.

The tenure decision is based primarily on the candidate's performance in Teaching and Advising, Scholarly and Creative Activities, Service, and Extension and Outreach. In judging the suitability of the candidate for tenure, however, it is also appropriate to consider traits associated with collegiality (e.g., evidence of willingness to accept and cooperate with departmental/college/university assignments that foster the mission of the institution), and professional integrity (e.g., maintaining disciplinary ethical standards for academic honesty, respect, responsibility, trust and fairness as well as maintaining university and legal ethical standards in student/staff/community interactions).

5.1.2 Promotion

The NMSU ARP (Section 9.33) defines the various faculty ranks and provides an indication of the expectations associated with each rank. Departments in their Functions and Criteria Statements can further refine these criteria.

In general,

- Promotion from Assistant to Associate Professor: this is typically the result of having demonstrated effectiveness in teaching, advising and other assigned duties, having demonstrated achievements in scholarship and creative activities that establish the faculty

member as a significant member in the field, with potential for distinction, and having provided a balanced and effective contribution to institutional and professional service. It must be underlined that promotion to Associate Professor is a separate assessment and process than granting tenure; the tenure decision often occurs at the same time as the promotion decision, but the two decisions are made independently.

- Promotion to the rank of Professor: this is typically based upon the faculty demonstration of distinction in teaching, advising and service, with continued development and effectiveness in all areas, with innovation in teaching, curricular development, and other educational initiatives; the faculty should demonstrate excellence in scholarship and creative activities, with wide recognitions and significant contributions to the field; the faculty should be a model in providing exemplary service to the institution and the profession.

5.2 Teaching and Advising

5.2.1 Definition

The College of Arts and Sciences requires faculty to strive toward excellence in their teaching and advising, continually refining and improving their teaching effectiveness and updating the content of their courses.

Each department is expected to provide, in their Functions and Criteria Statement, definitions of what constitutes teaching and advising and what constitutes meeting and exceeding expectations in teaching and advising, complemented by measurable objectives and definitions. These definitions, objectives, and metrics should adhere to University policies and capture the particular aspects of teaching in the discipline.

The College places particular value on one-on-one faculty member advising and mentoring of students, at the undergraduate and graduate levels. This is a vital role of faculty members and an essential component of the teaching activities. Each department is expected to develop appropriate plans to balance the advising efforts among faculty members and determine what constitutes effective advising for the discipline. An excellent advisor must remain knowledgeable about University, College and Department degree requirements and guide students toward timely graduation and academic and career goals.

5.2.2 Evaluation

The College expects faculty members to provide compelling evidence that they have actively pursued excellence in teaching and advising. Each faculty member is expected to provide an adequate number of forms of evidence to support assessment of teaching and advising. While the University recognizes a wide variety of forms of evidence of teaching and advising effectiveness, the College gives particular preference to forms of evidence that reflect the integration of student evaluations, peer evaluations, and self-reflection. In particular:

- Faculty are expected to report numerical data concerning number of courses taught (including special topics, directed readings, independent studies, and similar courses), number of SCHs taught, number of students mentored and/or advised, number of undergraduate theses, master theses and/or doctoral dissertation supervised, participation in graduate committees;

- Student Evaluations are a required component of all evaluations of teaching effectiveness – with the exception of courses with such a small number (i.e., less than 4) of students (e.g., independent studies, studio courses) where student evaluations would potentially compromise the anonymity of the student evaluation;
- Peer and outside evaluations are highly regarded by the College; these should ideally be longitudinal (e.g., not just focused on a single lecture or event) and substantive;
- Self-reflections on activities performed to improve teaching effectiveness;
- Evidence of techniques used to improve student learning are important, including participation in training programs;
- Evidence of contributions to the evolution of the educational mission of the Department is also an important component, e.g., by demonstrating participation in the development of new courses or curricula;
- Evidence of advising effectiveness should also be included as an essential component; this could include evidence from students, peers or administrators. Student evaluations might include annual and/or exit interviews to assess impact of advising.

Under no circumstances may the simple listing of activities performed be used in lieu of an actual evaluation and assessment. All forms of evaluation should be accompanied by an adequate reflection by the faculty member.

5.3 Scholarship and Creative Activities

5.3.1 Definition

Scholarship and Creative Activities represent the active pursuit of new ideas and knowledge. Scholarship and creative activities may add to our fundamental understanding of an area or may focus on the improved application of existing knowledge or methods. Scholarship related research results are demonstrated by characteristics such as peer review or judged affirmations. However, there are other outcomes of scholarship and creative activities that should be accommodated accurately in our system.

All tenure track and tenured faculty members are expected to be involved actively in scholarship and creative activities. The exact definition of scholarship and creative activities for the purposes of promotion and tenure decisions is, however, discipline specific. Scholarship may also include interpretation and application of new ideas or new methods that may have outcomes that are not peer reviewed, but are consistent with the goals of the research project and maintain a degree of community evaluation and feedback. Expectations and outcomes should be understood clearly by each faculty member within her/his specific discipline and delineated in the Department Functions and Criteria Statement; such document should also address what is the expected level of contribution in activities that have scholarship as outcomes.

Since 2008, NMSU has embraced the definition of scholarship originally proposed by Boyer – this model recognizes four forms of scholarship and creative activities: scholarship of discovery, scholarship of teaching, scholarship of engagement and scholarship of integration. NMSU ARP (Section 9.31) articulates the definition of these forms of scholarship. Even though a faculty member may elect to provide scholarship contributions in any of these four areas, it is important to consider that the activities and products should maintain the spirit of being public, subject to judging, peer review, or other forms of scholarly-recognized and accepted community assessment, and remain available for use and adoption by the broadest community. Dissemination through

established and community-accepted channels (e.g., renowned journals and other publication forums, judged exhibitions, etc.) is a required component of any scholarship and creative activity and contributes to the evaluation process.

5.3.2 Evaluation

Section 9.31 of NMSU ARP articulates requirements that should be met by any evaluation process applied to scholarship and creative activities. The department Functions and Criteria Statement should provide the appropriate instantiation of these general principles in the context of the specific discipline. Core issues of the evaluation process that the College would like to emphasize are:

- The activities and outcomes should have a significant and demonstrable impact, adding consequentially to the field;
- The activities and outcomes should have been presented appropriately to the relevant audiences, using communication channels that are accepted by the target audience and target scholarly community as standard channels for dissemination and measure of impact;
- The activities and outcomes should be presented appropriately and effectively to the relevant target audience, and judged meritorious by the faculty member's peers;
- The activities should rely on the high-level discipline-related expertise of the faculty member; all activities should have been critically evaluated for impact on the faculty member's own work, the community of scholars to which the faculty member belongs, and the greater community.

Since scholarship and creative activities are often collaborative efforts involving many investigators, it is important that each unit articulates in its Functions and Criteria Statement clear methods to determine the individual contributions, especially for publications and grant awards.

5.4 Service

5.4.1 Definition

Service relates to contributions that a faculty member makes to the institution or professional organizations requiring the specific professional knowledge and expertise of the faculty member, to address a particular task or problem that is dependent on such specific knowledge. Although there are differences in expectations among departments, and within each department among faculty ranks, each faculty member is expected to provide service as specified by the Departmental Functions and Criteria Statement. Activities that do not benefit the profession or the University or are not related to a faculty member's professional role and expertise will not be considered as evidence of professional service.

Faculty members perform a broad range of services that are critical to support and sustain the quality and effectiveness of the University and its programs (Institutional Service) and to their specific discipline (Professional Service).

Evidence of service includes, but is not limited to, the following: participation in the governance of the University at the Departmental, College, or University levels; contributing to departmental projects and programs; mentoring faculty colleagues; serving in leadership roles in professional organizations; serving as journal editor or referee of scholarly papers or proposals; and applying professional expertise in public service activities. Other examples of service include, but are not limited to, establishing cooperative University/industry programs, development of discipline-

specific seminars, colloquia and short courses, organization of professional conferences and workshops, participation in professional panels, and conducting professional editorial work.

Service to professional organizations contributes to the national and international reputation and to the intellectual communities of which the academic institution is part. The components of faculty members' service duties that build upon their professional expertise and/or are relevant to their assignments may be considered part of a faculty member's scholarship or creative activity, if the work meets the standard criteria of peer validation and dissemination. It is the responsibility of the faculty member to provide adequate evidence of such situations; each faculty member is expected to discuss each potential substantial service duty with her/his direct supervisor before taking on the duty.

5.4.2 Evaluation

Service is critical to the mission of the College and is expected of all faculty members. The weight assigned to service activities during evaluation may vary based on the candidate and significance of the activities, and it should be articulated in the Departmental Functions and Criteria Statement and related to the agreements contained in the Annual Allocation of Effort Statements. The evaluation will focus on the relevance of the activities to the faculty member's professional expertise, the quality of the work, the expectations indicated at the time of hire and the allocation of efforts agreed upon each year of service.

5.5 Extension and Outreach

5.5.1 Definition

In general, extension and outreach is the informal education (non-credit) and community-oriented activities that faculty members conduct in response to specific needs of community groups or client groups in a particular geographic area or a group with common interests. It builds on a set of organized activities that are collaborative in nature, bringing benefit to both the faculty member and the members of the targeted community. It incorporates a learning process that is specifically designed for the audience and promotes learning by, from, and with the target groups.

Extension involves the process of defining and building relationships between communities and the university to extend university resources and intellectual expertise through coalition building, non-formal educational programs, and applied research designed to address locally identified needs. Outreach involves an organized and planned program of activities which are offered to representative groups of citizens of New Mexico and the nation or internationally; these activities bring the resources of the university to bear in a coherent and strategic fashion for the benefit of the receiving entity.

Outreach also aims at integrating education with creative activities and frequently engages community members who extend the effectiveness of outreach programs. The deployment of outreach efforts often includes non-credit seminars, workshops, continuing-education, distance-learning programs, camps, and field days.

Examples of outreach activities are:

- Collaborating with a group of community citizens to plan, fund, and restore a building of cultural, social, and historical significance to the region;
- Giving a speech/presentation to an outside audience at their request regarding an issue of concern to the larger community based on your professional skill, knowledge, or experience;

- Participating in a summit bringing scholars and community stakeholders together to examine food production and dissemination in the region and to identify strategies to improve both;
- Helping to design/provide instruction in a literacy or art summer camp for community youth;
- Providing a workshop to high school students as part of a public school initiative to introduce them to an aspect of your discipline(s).

5.5.2 Evaluation

Evaluation of extension and outreach activities tends to be discipline specific, and as such evaluation guidelines should be clearly articulated in each Department's Functions and Criteria Statement. Typically, evaluation of outreach is based on a combination of systematic and ongoing peer evaluations, along with insightful self-reflection. Peer evaluations should be based both on observations from classes taught and community activities as well as post-review of materials and products developed as part of the outreach effort. Where possible, evaluation is enhanced by evidence of student learning and community impact. When outreach is part of the faculty assignment, effectiveness in outreach is an essential criterion for appointment or advancement. Faculty with responsibilities in outreach can be promoted and tenured only when there is clear documentation of effective performance and impact in this aspect of the faculty role.

5.6 Leadership

5.6.1 Definition

NMSU ARP acknowledges the role of leadership in the assessment of progress toward promotion and/or tenure. The College recognizes that the definition of leadership is a complex one that reflects the diversity of leadership roles that a faculty member may assume and that often assume discipline-specific aspects.

The College recognizes an *integrative* definition of leadership. A leader is viewed as an individual who actively provides support, selection, training to one or more members of the academic community, building on their diverse set of skills and abilities, and enabling them to focus their skills and energy in concerted and coordinated efforts that advance the mission and objectives of the institution. Following the definition proposed by the Kellogg Foundation [Leadership Reconsidered: Engaging Higher Education in Social Change, 2000], a leader is an individual who can recognize talent and enable others to foster change, not for its own sake but directed to achieving future desired conditions.

Members of the faculty may have the opportunity to lead within their academic units, the College, the University, the community, or in a professional organization. This opportunity *may* result from an administrative assignment. Administrative assignments and leadership activities are valuable and should always be reflected in the annual goals, allocation of effort, and annual review of an individual faculty member.

While administrative service is important and should be recognized and rewarded, occupying an administrative post is not sufficient to qualify as leadership for purposes of promotion. In *Leadership Reconsidered* (2000), the Kellogg Foundation distinguishes between management and leadership in this way: "*Management involves preservation or maintenance. Leadership, as a purposive process that is based on shared values, is ultimately concerned with movement toward intentional change directed at a mutually valued end (not just for change-sake).*"

Examples of leadership include:

- Provide effective mentoring for junior faculty members and staff members, especially helping them overcome weaknesses and low confidence
- Lead the development of new programs and curricula
- Keep abreast of national and international developments in learning and teaching and promote the adoption of new practices
- Demonstrate effective integrity, accountability, decision making and innovation in the chairing of departmental, College or University committees
- Guide the development of a vision and strategic plan for a committee or for a group of researchers
- Serve as the catalyst to establish a new research program or a new collaborative effort.

5.6.2 Evaluation

Leadership is characterized by:

1. Collaboration:
 - a. Working with others to envision and move toward directions for change that are inclusive and shared;
 - b. Modeling and promoting teamwork.
2. Consistency and Integrity:
 - a. Applying principles of fairness and equity;
 - b. Modeling words through behavior;
 - c. Encouraging collegiality.
3. Empowering Others:
 - a. Encouraging and enabling others to work toward shared goals;
 - b. Committing to action that removes institutional barriers to this work.
4. Service Orientation:
 - a. Using position to benefit others rather than one's self-interest.
5. Applying Disciplinary Knowledge and Skill:
 - a. Using knowledge and skill based in one's academic work to bridge theory and practice;
 - b. Understanding individual events in a larger context.
6. Critical Thought:
 - a. Creating working environments that promote analysis of existing practice and the exploration of new ideas.

Faculty members who wish to demonstrate leadership should provide evidence that distinguishes their work from management in these ways.

6 Criteria and Procedures for Promotion within the College-track Ranks and for Research Faculty

College-track faculty members are essential to the mission of the College of Arts and Sciences at New Mexico State University. They are defined as non-tenure-track faculty members hired primarily to teach courses for the university, although they may at times serve in an administrative or supervisory capacity or be assigned to research. They are highly skilled educators and scholars who are not eligible for tenure but are eligible for promotion. They must have a master's degree or equivalent experience in the field but do not always hold terminal degrees. The rigor and excellence of teaching or service for college-track faculty members are aligned with that of the University and the College of Arts and Sciences promotion expectations for all faculty members. Engagement of college-track faculty members in non-teaching related activities (e.g., scholarship and creative activities) is to be considered an exception, which should be requested in writing to the Dean and approved by the Dean.

A Research Faculty is a faculty member on a regular (0.75 FTE or greater) appointment, who is not eligible for tenure, but is eligible for promotion among the faculty ranks. The titles of research assistant professor, research associate professor, and research professor are used for persons who are hired to engage in research activities and have qualifications similar to those held by tenure-track faculty of comparable ranks.

College-track and Research faculty members will be expected to fulfill their respective positions according to the duties and roles assigned at hiring. These expectations may be adjusted according to the needs of the Department and College based upon allocation of effort determined each year by the Department Head and the faculty member. It is typical that college-track faculty members allocate the majority of their time to teaching. It is typical that research faculty members allocate the majority of their time to research and creative activities.

College-track and Research faculty members will be evaluated on their annual performance according to their allocation of efforts by their respective Department Heads. Principal Unit (Departmental) Committees considering the promotion of College-track and Research faculty members must include college faculty representation of at least one college faculty member.

The College of Arts and Sciences College-track Faculty Promotion Committee will review each College-track promotion portfolio and make recommendations to the Dean for promotion. Similarly, the College of Arts and Science Tenure-track Faculty Promotion Committee will review the portfolios for promotion of Research-track faculty. The composition of these committees is specified by the College Bylaws.

A College-track or Research faculty member who is seeking promotion will assume responsibility for providing all evidence of qualifications for promotion. External letters are not required for college-track faculty promotion and are considered optional (but strongly encouraged) for promotion of Research faculty members.

6.1 Criteria for Promotion

Four years of completed service prior to application is a typical criterion – unless warranted by exceptional situations that must be explained in the Department Head's recommendation letter. Candidates may apply in the Fall of their 5th year of service. They should notify their department head in the preceding Spring of their intent to apply for promotion. Promotion within the college-track and research-track ranks is not earned simply by years of service in rank. The criteria listed

below for promotion to each rank must be met and supported in the candidate's promotion portfolio.

Promotion to College Assistant Professor

- Teaching: A College Assistant Professor must demonstrate innovative teaching and a thorough command of the subject matter. Evidence of this may include proof of student learning outcomes, student evaluations, development of new course materials, and/or incorporation of new pedagogies gained by research, reflection and/or professional development.
- Service: A College Assistant Professor will contribute to the organization and development of the Department, College, and University, as well as provide service to any local, state, national, or international agency, organization, or institution. It is expected that most of the service provided by a college-track faculty member is related to her/his teaching mission.
- If allocated effort includes scholarship and creative activities, proof of a high level of relevant knowledge, skills, artistry, and reflective understanding of the discipline is required.
- If allocated effort includes extension and outreach, the faculty member must demonstrate an impact on stakeholders and the region.

Promotion to College Associate Professor or Research Associate Professor

Promotion to the senior ranks of College Associate Professor implies that the Department, College, and University predict "the individual so appointed will make sound contributions to teaching and learning during the remainder of the individual's career." Similarly, promotion to the rank of Research Associate Professor implies a prediction of continuing sound contributions to the research mission of the institution for the remainder of the faculty's career. This prediction is based on an examination of the "caliber of the candidate's professional stature, . . . [and] services rendered to communities and agencies or organizations in the person's professional capacity shall be considered in assessing qualifications for advancement to senior ranks." (NMSU ARP 6.51).

The criteria used to assess promotion to College or Research Associate Professor should be comparable to those used to assess promotion to Associate Professor within the tenure-track ranks, weighted with reference to the primary duties of the candidate, as described in the annual allocations of effort. For example, a candidate for promotion to College Associate Professor should demonstrate a high level of accomplishment in the teaching mission, as illustrated by new pedagogies, curricula development, student support, and similar components of excellence in teaching.

Promotion to College Full Professor or Research Professor

"A professor through teaching, creative activity, and service should have demonstrated substantial command of the whole field, sound scholarship, and a mature view of the discipline... In addition, a professor should exhibit special stature in the discipline, leadership and substantial strength in all areas-teaching, creative activity, and professional service." (6.51.B)

- A College Professor demonstrates through consistent and continuous accomplishments that she/he has a mature intellectual comprehension of the discipline as it relates to teaching the discipline, an established record of leadership inside and outside the institution, and a sustained commitment to the mentorship of both college track faculty at lower ranks and

students at either the graduate or undergraduate levels, empowering and enabling them as they work to achieve their professional goals.

- A Research Professor demonstrates through consistent and continuous accomplishments that she/he has a mature intellectual comprehension of the discipline as it relates to research and creative activities, an established record of leadership inside and outside the institution, and a sustained commitment to the mentorship of both research faculty at lower ranks and students at either the graduate or undergraduate levels, empowering and enabling them as they work to achieve their professional goals.
- Candidates for promotion to the rank of College Professor and Research Professor must provide strong evidence supporting the quality of their performance in the applicable areas of teaching and advising, research and creative activities, service, extension and outreach, and leadership. Each area is vital to achieving the mission of the College. The relative importance of each area varies across candidates according to the cumulative allocation of effort.

6.2 Portfolio Organization for College-track and Research Faculty

The portfolio for promotion should be developed in accordance with University regulations (ARP 9.35) and in accordance with College procedures. In particular, candidates are expected to follow the procedures in Section 8 of this document with the following differences:

- Annual P&T progress reviews are to be omitted, unless the Department Functions and Criteria Statement explicitly requires annual progress toward promotion evaluation of college-track or research-track faculty members.
- External review letters are omitted for college-track promotion applications and are optional (but strongly encouraged) for promotions of research-track faculty members.

7 Evaluation of and Recommendations Related to Promotion and/or Tenure

Evaluations should follow the general criteria established in Section 9.35 of the NMSU ARP and in accordance with criteria in the College of Arts and Sciences Promotion and Tenure Policy and the Functions and Criteria Statement of the candidate's department.

8 Procedures

This section summarizes the operating procedures to be used by the Departments, the Faculty Affairs Committee and the College-track Promotion Committee in their evaluations and recommendations. These procedures will also be used to guide, where applicable, the activities of each Department Head and Department Promotion and Tenure Committee.

Faculty planning to apply for promotion and/or tenure are responsible for preparing material for annual review of progress toward tenure and promotion within their departments. This should be done according to their department's Functions and Criteria Statement. In addition, candidates for promotion and/or tenure are responsible for compiling and submitting material to support their application in their application year.

University policy distinguishes between the core document and supplemental material in an application for promotion and/or tenure. Department policy, in accordance with College and University Policy (9.35.6) will provide the details to guide the candidate in the compilation and submission of the core document and supplemental material at the Department and College stage of review for promotion and/or tenure.

A candidate may review all items included in the core document and supplemental material assembled for the review of appropriate committees and administrators. Once the core document and supplemental materials are submitted, nothing will be changed, added, or deleted without the candidate's knowledge. The concrete timeline and process to allow the candidate to have access to the materials should be clearly articulated in the department's Functions and Criteria Statement.

8.1 Organization of the Documents for College Review

In order to ensure uniformity in the evaluation process, the material prepared for each promotion and/or tenure application, should be organized according to a standard format. The format should be consistent with regulations put forward by the relevant NMSU Policy (9.35.6). The college expects the organization to be followed precisely, to ensure consistency. The material is composed of two parts:

- a. A **core** document, which contains the mandatory information submitted for the approval process.
- b. A **supplemental** documentation file, to be retained in the Department Office under the control of the Department Head. (Both sets of material may be included in review at the department level according to department policy.)

8.1.1 Core Document

The core document submitted for approval should be prepared in electronic format and submitted through the Workflow system. Observe that NMSU Policy requires that the executive summary and the curriculum vitae together do not exceed 50 pages. The Workflow system provides a form to upload the various components of the core portfolio, described next:

- A. **College Promotion and/or Tenure Cover Sheet** (indicating candidate's name, banner id, current rank, Department and College, number of years at rank, number of years at NMSU, number of years of tenure track service and number of years of credit towards tenure)
- B. **Additional Documentation concerning changes to tenure clock**
- C. **Results from mid-probationary review** (if available)
- D. **Candidate's executive summary** (maximum of 3,000 words)
 - The document should provide separate sections dedicated to teaching and advising, scholarly and creative activities, service, and extension and outreach.
 - The document should demonstrate the candidate's philosophy in the various areas of effort, along with a reflection of the work performed in each area.
 - Achievements and contributions in the different areas should be discussed and placed in the context of the overall philosophy and goals of the candidate. It is recommended that the summary provides a framework for interpreting and contextualizing the content of the candidate's curriculum vitae.
 - If appropriate, the summary should provide evidence of leadership achieved in the

various areas of effort.

- Discussion of scholarship and creative activities should be formulated with reference to the model articulated in the NMSU policy.
- Discussion of teaching and advising should include a reflection of teaching effectiveness, professional development and impact on students' learning.
- Discussion of service should formulate the vision of impact within the unit, the College, the institution and the broader community.
- Discussion of extension and outreach should formulate the vision of impact within the unit, the College, the institution and the broader community.

E. Candidate's comprehensive **Curriculum Vitae** with complete information about the status of and dates for all work, indicating relevance and contribution, organized in two parts:

- The first part should articulate all the activities and accomplishments since the date of the previous promotion (i.e., for the period for which the candidate is being evaluated) or since hire (i.e., for tenure applications). If credit for prior work has been granted to the candidate, then the CV should also include in the first part the contributions achieved during the period for which credit was granted.
- The second part should summarize the activities and accomplishments relative to the periods preceding the last promotion. This part should be concise and highlight only contributions that are relevant to place the content of the first part of the Curriculum Vitae in context.

It is recommended that the curriculum vitae be described along the same areas of target evaluation (i.e., teaching and advising, scholarly and creative activities, professional service, extension and outreach). For each area, sufficient information should be provided to measure relevance and contributions.

F. **Annual Evaluations and Reports.**

1. **Faculty Annual Performance Reports** for the entire period under review, generated through Digital Measures.
2. **Faculty Allocations of Effort** for the entire period under review, properly signed.
3. **Department Head's Appraisals** of candidate's annual performance for all years in the period under review. *Numerical rankings, ratings or vote counts should not be included.* This should include written statements submitted by the candidate as part of, or in response to, annual performance evaluations, supervisor's comments, and any response made by the candidate.
4. **Promotion and Tenure Progress Reports** for the entire period under review:
 - a. Departmental Promotion and Tenure Committee's Reports for the period under review. *Numerical rankings, ratings and vote counts should not be included.* It is the responsibility of the Department Head to ensure that rankings and ratings are properly removed. This should include written statements submitted by the candidate as part of, or in response to, annual progress review performed by the P&T committee.
 - b. Department Head's Recommendation on progress toward promotion and/or tenure for all previous years in the period under review. This should include

written statements submitted by the candidate as part of, or in response to, annual progress review performed by the Department Head.

G. **Promotion and Tenure Policies.**

1. A signed copy of the departmental **Functions and Criteria statement** the candidate selected for the promotion and/or tenure process.
2. The **College Promotion and Tenure Policy** document the candidate selected for the promotion and/or tenure process.

Since the portfolio is typically prepared during the summer, the candidate will not have an annual evaluation covering the current year. Nevertheless, the activities and accomplishments up to the submission of the portfolio should be documented in the portfolio (inclusive of a preliminary annual report obtained from Digital Measures) and considered in the evaluation process.

The following additional sections will be added to the portfolio during the execution of the P&T Workflow:

H. **External Reviews:** the external reviews should be added to the workflow by the Department Head and should be organized as follows (see also Section 8.2):

1. A copy of the letter that the department head and/or the chair of the Department Promotion and Tenure Committee used to request the external review.
2. A document describing the background and qualifications of the external reviewers and the relationship (if any) of external reviewers to the candidate.
3. The external letters. Review letters should be signed and on letterhead – printouts of scanned letters are also acceptable; the use of printouts of emails is discouraged. Deviations from this format should receive previous approval from the Dean's office.

I. **Promotion and/or Tenure Process Documentation**

1. *Departmental Promotion and/or Tenure Recommendation.* This component is added to the workflow by the Chair of the Departmental Promotion and Tenure Committee. The recommendation should include the numerical vote counts (separate for promotion and/or tenure) and signatures of all members of the Promotion and Tenure Committee. The recommendation should provide a comprehensive review of the discussion and address all perspectives that emerge during the development of the recommendation, including dissenting opinions.
2. *[Optional] Minority Report:* members of the Promotion and Tenure Committee expressing dissenting opinions may include a minority report; minority reports are warranted in situations where their dissenting opinions have not been adequately reflected by the overall recommendation document and there are concerns about violations of due process. It is, in general, inappropriate for a minority report to simply reaffirm a dissenting vote, as dissenting opinions should be properly captured in the general report from the Promotion and Tenure committee.
3. *Department Head Recommendation.* This will be added to the workflow by the Department Head.
4. *[Optional] Rebuttal by the Candidate to the Departmental Recommendations:* The

workflow will allow the candidate to add a rebuttal to the departmental recommendations. The candidate has 7 days since the initial notification to provide a rebuttal.

5. *Faculty Affairs Committee Promotion and/or Tenure Recommendation or College-Track Faculty Affairs Promotion Committee Promotion Recommendation.* These recommendations will be added to the workflow by the Chair of the relevant committee. The recommendation should include the numerical vote counts (separate for promotion and/or tenure, as applicable) and signatures of all members of the committee. The recommendation should provide a comprehensive review of the discussion and address all perspectives that emerge during the development of the recommendation, including dissenting opinions.
6. *[Optional] Minority Report:* members of the relevant Faculty Affairs Committee may provide a minority report to capture procedural concerns. It is, in general, inappropriate for a minority report to simply reaffirm a dissenting opinion, as dissenting opinions should be properly captured in the general Faculty Affairs report.
7. *Dean's Recommendation.* This document will be added by the Dean's office.
8. *[Optional] Candidate's Rebuttal:* following NMSU procedures, candidates can provide a document providing clarifications and/or offering a rebuttal to the recommendations from the Dean or the Faculty Affairs. The candidate has 7 days since the initial notification to provide a rebuttal.

The core document should be self-contained and not rely in an essential manner on external links and URLs.

If the candidate is applying for tenure, then the portfolio should include evidence of contributions since starting at NMSU, plus evidence of efforts at previous institutions if credit for prior service has been granted. If the candidate is applying for promotion, then evidence of contributions since the last promotion or tenure review should be included.

The faculty member has the primary responsibility to maintain records of activities and accomplishments and for providing all relevant evidence of qualification for the promotion and/or tenure being sought. Both the faculty member and the department head are required to maintain records of the annual goals and allocation of effort statements, annual reports and appraisals, and annual evaluation of progress toward promotion and tenure.

The Department Head will be responsible for establishing and monitoring a process for mentoring faculty members in the development of successful cases for promotion and/or tenure, in conformance with University Policy (Section 9.35.5 of NMSU ARP). The Department Head will provide guidance and assistance to faculty members who are applying for promotion and/or tenure, and will review the portfolios and core document for completeness and quality. Other members of the Promotion and Tenure Committee may assist the Department Head in this process.

8.1.2 Supplemental File

As indicated in NMSU ARP (9.35.6), the candidate should prepare a supplemental file to provide additional evidence in all areas of faculty activities. This material should be maintained in the

Department Head's Office and should be made available to the Faculty Affairs Committees, the Dean, and the Provost upon request. This material should not be routed to the Dean's Office.

The content of the supplemental document should be expressed according to the four areas of allocation of effort (Teaching and Advising, Scholarly and Creative Activities, Service, Extension and Outreach). The College does not prescribe the specific content of the supplemental file, but recommends that each department articulate the content and structure of the supplemental file in their Functions and Criteria statement. Examples of material that could be included in the supplemental file are:

- Detailed course-level student evaluations;
- Detailed peer-reviews of courses and other external forms of evidence of teaching effectiveness;
- Copies of peer reviews or juried/judged reports of grant proposals, journal articles, and of other forms of scholarly and creative activities;
- External letters acknowledging service activities;
- Letters and other forms of evidence documenting recognitions and awards;
- Other unsolicited review letters if permitted by the departmental Functions and Criteria Statement.

8.2 Procedure for Soliciting External Letters

According to University ARP (9.34.3), all applications for promotion and/or tenure from tenure-track faculty should be reviewed by qualified parties external to NMSU. Each Department Functions and Criteria Statement shall specify, according to disciplinary or professional standards, the required qualifications of external reviewers. College-track faculty members seeking promotion are exempt from external review. The use of external reviewers is optional (but encouraged) for Research-track faculty.

Responsibility for choosing external reviewers rests with the Department Head, but should involve consultation with others, including the faculty candidate.

The Department Functions and Criteria Statement should explicitly describe the individual or body in charge of soliciting external letters, the material to be sent to the external reviewers, the necessary qualifications of external reviewers, and the precise instructions and contextual information to be provided to the external reviewers. The College of Arts and Sciences requires the external reviewers to meet reasonable expectations of lack of conflict of interest or biases with the candidate. Such potentials for bias or conflicts of interest arise if the reviewer:

- Is a current or former close collaborator (co-author or research partner), or former thesis/dissertation student/advisor/post-doctoral advisor;
- Is a current or former close informal mentor;
- Is a member of the candidate's immediate family, or is a business partner of the candidate;
- Is currently employed by the same institution, or has an arrangement for future employment or is negotiating employment at the same institution;
- Has a financial interest in the outcome of the tenure or promotion case, or where the reviewer's employer or the organization where the reviewer is an officer, director, trustee, or partner has such an interest.

The Functions and Criteria Statement is expected to clearly discuss the boundaries of conflict of interest – for example, by clarifying the discipline-specific standards to define close collaborations.

External reviewers should be experts in the faculty candidate's sub-field. Reviewers should ideally hold a rank equivalent or superior to the one the candidate is seeking. Reviewers that are not affiliated with an academic institution (for example, a researcher at a national laboratory) should have rank and experience commensurate with or higher than that of the rank the candidate is seeking.

Each department should develop written guidelines for soliciting suggestions for reviewers and work to ensure the integrity of the process. That process should include:

- Consideration of names suggested by the faculty candidate;
- Consideration of names that the faculty candidate does not wish to be reviewers;
- Consideration of names proposed by senior faculty in the same general area as the faculty candidate, members of the Promotion and Tenure Committee and the Department Head;
- Elimination of names due to a real or perceived conflict of interest;
- Construction of a final list of reviewers that includes some names suggested by the faculty candidate as well as some that are not suggested by the candidate.
- If the department head contacts somebody on the candidate's list of people they wish not to be a reviewer, the head needs to justify the importance of selecting such a reviewer.

The external reviewers should be provided with precise evidence of the scholarly work and creative activities performed by the faculty member. The external reviewers should be provided copies of the relevant Department Functions and Criteria Statement, College Promotion and Tenure Policy, and University Promotion and Tenure Policy. Evidence of creative work of ephemeral nature (e.g., performances, exhibits) should be documented in a permanent form (e.g., CDs, online videos, slides) and provided to the external reviewers.

The external reviewers are expected to provide candid assessment of the activities of the candidate, developed in accordance with the guidelines and criteria described in the Department, College and University policies. Each external reviewer should also provide:

- A brief statement that describes her/his qualifications to serve as a reviewer
- A brief statement indicating any relationship that the reviewer may have with the candidate

An outside reviewer should be made aware that the candidate will have an opportunity to read the letter of assessment. Furthermore, this letter will be included in the material reviewed in the event of an EEOC or other investigation into a tenure or promotion decision.

Under no circumstance shall candidates have contact or communication with external reviewers in preparation for or during the tenure and/or promotion process to discuss aspects of the promotion and/or tenure application.

A minimum of three external letters shall be included in the portfolios for tenure and/or promotion. If more than three external letters are solicited and received by the given deadline, all received letters must be placed in the portfolios for tenure and/or promotion, as long as they satisfy the requirements indicated in the Department Functions and Criteria Statement (e.g., letters should be received before a deadline established by the Department Head). The College of Arts and Sciences recommends the number of external letters to be no more than six.

The role of unsolicited letters in the portfolio, if any, must be specified by each Department

Functions and Criteria Statement. If a department decides to accept unsolicited letters, such letters must be included in the Portfolio prior to review by the Department Promotion and Tenure Committee and should be clearly identified as unsolicited letters. If the department does not have an explicit statement regarding unsolicited letters, such letters will not be accepted nor included in the Portfolio. The College discourages the use of unsolicited letters in the portfolio.

9 Administrative Procedures

9.1 Consistency

There is an expectation that the Department policies are developed to be consistent with the College policy and the NMSU ARP.

9.2 Departmental Functions and Criteria Statement

The Dean and the Department shall agree upon the criteria for promotion and tenure represented in the Department's current Functions and Criteria Statement. The statement shall be discussed and voted upon by the tenured, tenure-track, research and college-track faculty members in the Department, and approved by the Dean of the College of Arts and Sciences.

The Department Functions and Criteria Statement should be consistent with the College and University policies for promotion and tenure.

Copies of the Department Functions and Criteria Statement document (or links to electronic versions) should be distributed to all faculty members in the Department and posted in a publicly and easily accessible section of the Department web site. In addition, the link must be posted to the Office of the Provost's website. Department Heads must ensure that all new faculty members receive a copy of all the relevant promotion and tenure policy documents (Departmental, College and University). Department Heads will provide, electronically, a similar packet of materials to faculty members eligible to be considered for promotion and/or tenure during the spring semester prior the academic year in which the application for promotion and/or tenure will be made.

Each department is the best-qualified entity to assert standards of quality and excellence within its discipline. Each department will develop criteria and policies for evaluating the performance of faculty members in the applicable areas of teaching and advising, scholarship and creative activities, extension and outreach, and service, as well as leadership in such areas, in accordance to established University regulations. Evaluation criteria, policies, and expectations, as they pertain to the department's functions, will be clearly described in the Department Function and Criteria Statement.

The evaluation criteria and policies stated in the Department Functions and Criteria Statement should be consistent with current University policies (Section 9 of NMSU ARP).

These criteria should be consistent with national norms for the discipline; the Department Functions and Criteria Statement is expected to refer to appropriate standards and norms for the discipline whenever deemed relevant.

These criteria should be sufficiently detailed to clearly define policies and expectations. The Department Functions and Criteria Statement should clearly express criteria for the department and, where deemed relevant by the department, for different areas and/or subfields of the department's discipline. The criteria should be sufficiently clear and explicit to provide direction and guidance to the faculty members and to the internal and external evaluation entities in understanding any expectations for quality and quantity in all applicable areas of teaching and

advising, scholarship and creative activities, extension and outreach, and service, as well as formulate criteria for assessing leadership in any of the four areas of performance.

9.3 Changes in Policy

In the case of a change in policy (e.g., a revision of the Department Functions and Criteria Statement) that occurs during the pre-promotion and/or pre-tenure period of a faculty member, the faculty member will be given the choice of selecting which policy document should be applicable for all future evaluations. This applies to all:

- Untenured faculty members during their tenure-track period,
- Faculty members who are College-track Instructors (and seeking promotion to Assistant Professors);
- Faculty members who are Assistant Professors (and seeking promotion to Associate Professors);
- Faculty members who are Associate Professors (and seeking promotion to Professors);
- Faculty members who are Professors (and undergoing a post-tenure review process).

By default, the *most recent policy* will be used to perform evaluation of faculty members for promotion and/or tenure. Faculty members have the option to continue being evaluated according to an older policy if such policy meets the following requirements:

1. It has been in effect at any time during the period the faculty member has been in service at NMSU;
2. The faculty member has not elected at any time to use a more recent policy;
3. The newer policy has entered into effect after the last comprehensive review process of the faculty members (i.e., after a tenure or promotion decision).

If the faculty member wishes to be evaluated according to an older policy, this request should be made in writing after the new policy is enacted and before their next annual evaluation. The memo specifying the choice of policy should be submitted to the Department Head (for changes in Departmental policies) or to the Department Head and the Dean (for changes in College or University policies). In case of lack of communication about a policy choice by the proposed deadline, the most recent policy will be applied by default in all future evaluations. Requests to revert to an older policy after this period will be considered when extenuating circumstances exist, and will require a written request to and approval by the Dean.

9.4 Promotion and Tenure Committees

9.4.1 Departmental Promotion and Tenure Committees

The departmental Promotion and Tenure Committee is intended to be an independent voice within the department, and whose membership is determined by a transparent process. The departmental Promotion and Tenure Committee should be formed and operate according to the provision in Section 9.35 of the NMSU ARP. In particular, the Department Promotion and Tenure Committee must adhere by the guidelines and recommendations of NMSU ARP Section 9.35.5 in the conduct of its duties. Recognizing the diversity in the departments that compose the College of Arts and Sciences, each department is expected to formalize specific guidelines in its Functions and Criteria Statement. In particular, the document should specify mechanisms for appointment of members to the committee (e.g., election), appointment of a committee chair, and length of the term on the

committee. The composition and size of the committee should provide fair and diverse faculty representation within the Department. The composition of the committee should also provide representation to effectively evaluate all of the areas of assignments identified for the candidate. Each Department Promotion and Tenure Committee will have a minimum of three members.

The members of the departmental promotion and tenure committee must:

- Be tenured faculty members (in cases where there are college-track candidates for promotion, then at least one college-track faculty member should serve in those cases only);
- In cases of promotion, they must hold a rank equal to or higher than that which the candidate is seeking.

The Department Head is not eligible to be part of the committee and may not participate in committee deliberations or voting.

All departmental Promotion and Tenure Committees are required to have one regular member of the committee from another department in the College of Arts and Sciences. This member will be appointed by the Dean and will have full voting rights and privileges. It is the policy of the College that the such member conducts her/his evaluation activities according to the standards and regulations described by the Department Functions and Criteria Statement, the College Promotion and Tenure Policy and the NMSU Administrative Rules and Procedures. In particular, the external member should refrain from applying her/his own discipline and department standards, in case these differ from the criteria indicated in the Functions and Criteria Statement of the department they are invited to assist.

When the minimum number of tenured professors or associate/full professors is not available within the department, the committee will be augmented by additional faculty members of adequate rank from other departments within the College of Arts and Sciences appointed by the Dean. Similarly, for college-track faculty promotions, college-track professors or college-track associate professors from other departments will augment the committee if needed. In these circumstances, the Dean will appoint the outside members, in consultation with the Department Head or equivalent departmental representative.

The committee is expected to operate according to NMSU Administrative Rules and Procedures concerning the role of members that are not physically present for discussion and vote.

9.4.2 College Promotion and Tenure Committees (Faculty Affairs Committees)

The College of Arts and Sciences Faculty Affairs Committees will serve as the College Promotion and Tenure Committees, as well as an advisory body to the Dean of the College on tenure and promotion recommendations, policies, and processes. The Faculty Affairs Committees are constituted and operated in accordance with the College of Arts and Sciences Bylaws.

In case there are an insufficient number of eligible faculty members to serve on the committee, the Dean of the College will build a committee consistent with the procedures specified in Section 9.34 of the NMSU ARP.

At the start of each academic year, the committees will select a committee chair, who will serve in this position for the academic year.

The duties of the chairs include:

- a. representing the Committees and reporting during College meetings as appropriate;

- b. scheduling and calling the meetings of the Committees;
- c. collecting ballots for each candidate;
- d. assembling the reports containing the voting results and the overall committee evaluations and recommendations for each of the promotion and tenure candidates;
- e. coordinating interaction between the Committees and the Dean of the College of Arts and Sciences or her/his designee.

The Faculty Affairs Committees will evaluate promotion and/or tenure portfolios on the basis of Department Function and Criteria Statements, College Promotion and Tenure Policy, NMSU Policy, the candidate's Department assignment and role based on his/her Allocation of Effort, and the completeness of the portfolio and conformance to College and University policies and procedures.

In accordance to University regulations, the Faculty Affairs Committees will participate in the optional mid-probationary review process when initiated by the individual faculty member.

9.5 Evaluation Procedures

9.5.1 Compilation of and Access to the Promotion and/or Tenure Portfolio

Promotion and/or tenure decisions are based primarily on an evaluation of the faculty member's achievements, as described in her/his Promotion and/or Tenure portfolio. The portfolio must document and contain evaluation of the candidate's performance in teaching and advising, scholarship and creative activities, service, and extension and outreach, consistent with the candidate's position and annual allocations of effort.

Although the faculty candidate prepares the majority of the material for the portfolio, the Department Head will assure that the candidate receives assistance as needed and will be responsible for seeing that the final portfolio is complete and conforms to Departmental, College and University Policies.

Recommendations for the promotion and/or tenure of a unit supervisor (e.g., Department Head) will be reviewed in the same manner as for other faculty, except that the Dean will appoint a senior faculty member of adequate rank to assume the supervisor's usual responsibilities for review purposes.

Faculty members will be allowed full access to their own portfolio, personnel files, and records kept by the University, College, or Department, with exceptions as stated in the NMSU Policy Manual.

9.5.2 Initiation of the Process

The Provost and Senior Vice President for Academic Affairs makes the final decision on promotion and/or tenure, but the primary responsibility for evaluating the candidate's performance and recommending promotion and/or tenure actions rests in the home Department and the College. The candidate has the right and responsibility to initiate the review. This is achieved through a formal written request to the Department Head, issued early in the Spring semester that precedes the academic year in which the evaluation will be performed. In the case of tenure, the Department Head has the responsibility of informing the candidate when the tenure clock is about to expire, thus prompting the candidate to initiate the request for review. While the candidate has the primary responsibility of requesting the initiation of the review process, it is expected that the Department Head and the Departmental P&T Committee assist the candidate in the process, maintaining a

continuous conversation about deadlines and expectations, and ensuring that the process develops smoothly and in a collegial manner. In either case, the candidate will compile a complete portfolio with assistance from the Department Head to guarantee proper format and inclusion of all necessary information. The Departments are responsible for maintaining copies of sample portfolios, provided with written permission by faculty members within the Department.

9.5.3 Evaluation Process

The members of the Faculty Affairs Committees of the College will evaluate each core document independently and according to the previously discussed guidelines and criteria. A separate ballot will be used for each core document and for each vote – i.e., one ballot for promotion and one ballot for tenure. In the cases where a candidate is seeking promotion and tenure, the same portfolio will be used as the basis for both recommendations.

Each committee member will submit a written ballot, and all members will contribute to the development of a written evaluation statement for each candidate and for each recommendation.

In cases where a candidate is from the same department as a committee member, the member will recuse themselves from the discussion and the vote. Recusal should also occur when a committee member has a conflict of interest, as indicated in NMSU Policy.

The committee's recommendation to the Dean for each candidate for promotion and/or tenure will consist of:

1. A detailed record of the vote indicating how many votes in favor, how many votes against, how many members abstained, and how many members recused themselves.
2. A letter summarizing the committee deliberation, approved and signed by all committee members involved in the deliberation and vote. The letter should summarize the strengths and weaknesses of the candidate's documented performance in all areas of responsibility based on University, College, and Department criteria. The letter may include recommendations to the candidate for ways to enhance performance for future reviews.

9.5.4 Return of the Portfolios

After the institutional review is finished, the complete portfolio will be downloaded by the Dean and maintained for future records.

9.6 Time Table for Promotion and/or Tenure Evaluation

NMSU Policy provides the milestones for preparing, submitting, and processing each application for promotion and/or tenure. Departments, Dean's Office, and the relevant Faculty Affairs Committee, will follow the general University schedule in its activities. In order to meet the timeframes specified in NMSU policy, the Department Head and the Department Promotion and Tenure Committee will complete their evaluations and recommendations according to the mid-fall deadlines specified each year by the Dean's Office. The complete core documents, inclusive of the votes and recommendations by the Department Head and the Department Promotion and Tenure Committee, shall be submitted in a timely manner to the Dean's Office.

The P&T Workflow system will notify the candidate of the departmental recommendations (from the Promotion and Tenure Committee and the Department Head) prior to submission of the core document to the Dean's Office. At that time, the candidate will have the option to withdraw from the promotion and/or tenure application process. If the candidate decides to proceed to College level review, the candidate will be allowed to submit, prior to Faculty Affairs Committee review,

a brief amendment to the narrative statement to explain and/or refute any aspect of the Department Head or Department Promotion and Tenure Committee recommendations. Similar process will take place after the Faculty Affairs Committee and the Dean have completed their recommendations, providing the candidate with a second point in time to withdraw their applications or provide rebuttal statements.

A typical timetable is:

1. **February** – Candidates notify Department Heads of intention to apply for tenure and/or promotion during the following fall semester; if a candidate intends to apply for early tenure, the proper process should be followed, which includes
 - Submission of a formal request to the Department Head,
 - The Department Head, Departmental P&T Committee and Dean should provide positive recommendation to the request, and
 - The request should be submitted for approval to the Provost.
2. **March-April** – the departmental P&T committee and the Department Head provide a final progress review to the candidate, focusing on the recommendations for preparation of the complete portfolio. Requests for early tenure are processed following NMSU policies. The Department Head notifies the Dean's office of all faculty members who are expected to be reviewed for tenure and/or promotion during the following academic year;
3. **May-June** – External referees are identified and secured, candidates and departments prepare material for external review of candidates in the tenure track;
4. **July-August** - External reviews are conducted and letters due to departments for candidates in the tenure track;
5. **August** - Candidates complete and submit all material using the Workflow system;
6. **August/September** – the Department Head reviews the portfolio for correctness and completeness and proceeds to upload the material concerning external reviews;
7. **September/October** - Departmental Promotion and Tenure Committees and Department Heads complete department level reviews and recommendations; recommendations are uploaded in the Workflow system; the candidate is given a time window of 7 days to review the departmental recommendations and provide a rebuttal; the core document is submitted to Dean's Office.
8. **November-December** - The relevant Faculty Affairs Committees receive and review core documents, uploading the recommendations in the Workflow system;
9. **December-January** – The Dean develops her/his own recommendations, uploading them in the Workflow system; the system will provide a time window of 7 days to the candidate to review all the College recommendations and provide a rebuttal;
10. **February** – Core documents inclusive of all recommendations are submitted to the Provost;
11. **April-May** – The Provost makes the final decision and informs the candidates.

9.7 Appeals

Appeals will be handled in compliance with NMSU ARP (3.25, 10.60). All faculty members, especially the candidates for promotion and/or tenure, should familiarize themselves with all relevant University procedures.

In general, when a faculty member alleges a violation of policy or due process with regard to promotion and/or tenure, the appeal process described in the NMSU ARP (10.60) will be followed.

Peer review is an inherent part of the promotion and/or tenure process. The advisory judgments of the Department Promotion and Tenure Committee and the Faculty Affairs Committee, College-Track Promotion Committee, Department Head, Dean and Provost and Senior Vice President for Academic Affairs are not, in themselves, appealable. Under the terms of the Civil Rights Act of 1964, such judgments are reviewable insofar as they may be discriminatory; otherwise, appeals of promotion and/or tenure decisions may be based only on violations of procedure or due process that are provided in the NMSU ARP. In all instances, the appropriate appeals boards will attempt to resolve all complaints.

10 Post-tenure Review

10.1 Requesting a Post-Tenure Review

In accordance with NMSU ARP 9.36.3, the determination for the need of a complete post-tenure review should be the outcome of recurring deficiencies identified during the annual performance review. The College encourages the consideration of Post-tenure reviews not only to address recurring deficiencies, but also to enable progress towards promotion to the next rank, through a comprehensive review and the development of progression plans. As such, the College views post-tenure reviews not only as a mechanism to address challenges, but also as a positive mechanism to encourage and aid progression. Post-tenure review is meant to serve as a comprehensive review process, possibly inclusive of external reviews, and going beyond the annual performance review.

In case of post-tenure review to address deficiencies, the deficiencies should have been documented and communicated to the faculty member as part of the annual review process. The faculty member should have also been provided with guidance on the steps needed to address and resolve the deficiencies. A complete post-tenure review will be considered if the faculty member has received unsatisfactory evaluations for at least two consecutive years, the identified deficiencies are consistent and deemed severe by the Department Head, and there is insufficient evidence that the faculty member has taken the necessary steps to address the issues. It is the responsibility of the Department Head to determine that these conditions hold.

The initiation of a complete post-tenure review process, independently of whether it is determined by documented deficiencies or to develop a progression plan towards promotion, should start with a formal request, realized in one of the following two steps:

- The review is requested by the faculty member;
- The Department Head requests the review.

The request for review should be made to the team of all tenured faculty members in the department who have a rank equal or higher than the rank of the faculty member being reviewed. If the request of post-tenure review is performed with the desire of developing a progression plan towards promotion, then the review request should be made to all tenured faculty members of rank

higher than the faculty member being reviewed. If there are less than three members in the resulting team, then the Dean will appoint additional faculty members from other units.

If the request is for a post-tenure review to address recurring deficiencies, then the request should include documentation provided by the supervisor, which provides adequate evidence of

- The recurring nature and severity of the deficiencies
- The guidelines provided over time to address the deficiencies
- Evidence indicating a failure to address the deficiencies

Common forms of evidence could be in the form of annual performance evaluation documents and memos summarizing deficiencies and required remedial steps.

The complete post-tenure review can occur only with the support of the majority of the members of the team of tenured faculty members, as described above – as demonstrated by a formal anonymous vote; if more than 50% of the members casting a vote are in support, then the complete post-tenure review can take place. The decision of pursuing a complete post-tenure review should be communicated to the Dean and Provost, in the form of a memo.

10.2 Execution of a Post-Tenure Review

The complete post-tenure review should be performed by the departmental Promotion & Tenure (P&T) committee – restricted to

- those members of the committee who have rank equal or higher than the faculty being reviewed (for reviews related to deficiencies),
- those members of the committee who have rank higher than the faculty being reviewed (for reviews related to progress towards promotion).

and inclusive of the external member(s) of the committee. If fewer than 3 members qualify, then additional members should be added to the committee to meet the minimum number of three members. The additional members should be recommended by the P&T committee and the Department Head and approved by the Dean.

The complete post-tenure review should be conducted according to the following process:

- The P&T committee should establish a timeline for the review process, inclusive of deadlines for the submission of the required materials and for the completion of the review.
- The faculty member being reviewed should provide the P&T committee with a portfolio.
- The portfolio should include in the least
 - Copies of the annual reports (from Digital Measures) that were reviewed by the supervisor for the periods in which deficiencies have been identified, with a minimum of the last two years; the reports should be inclusive all required components, such as information from student evaluations and other forms of evidence of teaching effectiveness. In the case of a review for progress to promotion, the annual reports should be those since the previous change of rank.
 - Copies of the annual evaluations from the supervisor for the same period
 - Copies of the allocation of effort documents for the same period
 - A complete up-to-date CV
 - An executive summary which describes achievements in the four areas of performance and which responds to the deficiencies identified by the supervisor

- The P&T committee can seek the assistance of external reviewers if the deficiencies are primarily identified in the area of scholarship and creative activities or if the committee feels the need of external expertise in recommending a progression plan towards promotion. External reviewers will be selected in cooperation between the P&T committee and the faculty member, following principles consistent with selection of reviewers for promotion and tenure. It is recommended that the contact with external reviewers is not prejudicial and simply indicates that a post-tenure review is being conducted consistently with institutional policies. The materials to be shared with the external reviewers should be consistent with the materials typically provided to external reviewers in the case of applications for promotion in rank. The use of external reviewers is allowed but not required.
- Consistent with ARP 9.36, evaluation of teaching performance should take student evaluations into account. Student evaluations produced before Fall 2019 can include numerical ratings or scores, while student evaluations produced from Fall 2019 onward will not be allowed to include any numerical rating, letter grades or other types of “scores”.

The outcome of the post-tenure review should be in the form of a memo, addressed to the faculty member and the supervisor; the memo should satisfy the following criteria:

1. It should summarize the key point of the evaluation, including the different perspectives that might have appeared during the evaluation process;
2. In the case of a post-tenure review to address deficiencies, it should include:
 - a. An explicit statement of whether serious deficiencies have been identified
 - b. If serious deficiencies are present, it should describe:
 - i. a set of expectations that the faculty member will need to satisfy
 - ii. recommended steps to meet such expectations
 - iii. a timeline to achieve such goals.

In the case of a post-tenure review for progression to promotion, the memo should include:

- i. a set of expectations that the faculty member will need to achieve to move towards progression
- ii. recommended steps to meet such expectations
- iii. a timeline to achieve such goals.

In case of serious deficiencies and in case of progression to promotion, the post-tenure review memo should be followed by a meeting between the faculty being reviewed, the supervisor, and the chair of the P&T committee to develop a remedial/progression program, composed of

1. Proposed goals and milestones
2. Proposed activities
3. Recurring reviews timeline – with a suggested timeline of a review each Spring semester

As per ARP 9.36, the remedial program in case of identified deficiencies should be no shorter than two years. A copy of the plan should be shared with the Dean.

In case of post-tenure review for recurring deficiencies, failure to remedy the deficiencies, implement the proposed plan and achieve the proposed goals will be reported to the Dean; the Dean may recommend an alternative remedial plan or recommend to the Provost consideration for loss of tenure.

11 Emeritus Status

According to NMSU ARP 8.65, faculty members might be eligible to receive Emeritus status upon separation, whether by retirement or resignation, from New Mexico State University. The minimal conditions of eligibility to request Emeritus status are:

- That the faculty member is eligible for retirement under the New Mexico Educational Retirement Act or the Federal Civil Service; and
- That the faculty member is tenured by the university; or is a college faculty who has been promoted (as per College Faculty promotion policies) to the rank of college professor.

The College of Arts & Sciences views Emeritus status as a recognition of meritorious and continuous excellence during the service at New Mexico State University and a privilege granted in recognition of such service. Emeritus status should be requested, according to the procedure described below, and approved.

11.1 Requesting Emeritus Status

It is the responsibility of the faculty member to request consideration for Emeritus status. The request should be made in writing to the academic department head (or the Dean in case of request from a department head). The request should include a narrative describing the motivation for the request and expected future contributions to the institution.

11.2 Review and Approval

The departmental recommendation for Emeritus status should be developed as follows:

- The request should be reviewed by the P&T committee in the department; in the case of a request from a College-track faculty, the committee should also include at least one College-track faculty at the rank of Professor (appointed by the Dean if no suitable candidates are available within the Department).
- The committee should review the request and provide a recommendation to the Department Head, inclusive of a vote count.
- The Department Head develops their own recommendation and the two recommendations are sent to the Dean for review along with the complete request portfolio.
- The final recommendation is communicated by the Dean to the Provost and to the Benefits Services office.