

NEW MEXICO STATE UNIVERSITY
COLLEGE OF ARTS AND SCIENCES
Functions and Criteria for Faculty Evaluation, Tenure, and Promotion in the
Department of Mathematical Sciences

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APPROVED:



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1. Introduction

This document contains the policy and procedures for the Department of Mathematical Sciences. These policies and procedures derive from and adhere to those outlined in Chapter 9 of the NMSU Administrative Rules and Procedures (ARP) and the College of Arts and Sciences Promotion and Tenure Policies and Procedures document, referred to herein as the NMSU ARP and A&S P&T Policies, respectively. NMSU ARP Chapter 9 supersedes A&S P&T Policies that, in turn, supersede policies described herein. This document is to be maintained internally on the Department of Mathematical Sciences web site, alongside links to the A&S and NMSU policies.

The purpose of this document is to clarify the university and college criteria and processes as they pertain to faculty evaluation—both for promotion and tenure and for annual performance—based

on specific functions of the Department of Mathematical Sciences within the college, university and broader community, and criteria that are consistent with the strategic missions, vision, and long term goals set by the department, college and university, and consistent with standards among Carnegie Higher Research Activity (R2) as they apply to Mathematical Sciences. The guidelines described in this document adhere to the principles of excellence, fairness, transparency and faculty participation as outlined in Section 9.32 of the NMSU ARP, to ensure that processes are free from potentially discriminatory biases. Each faculty member having a role in the procedures described herein is responsible to follow the pertinent policies and procedures and to seek clarification of the procedures when in doubt.

This document will be reviewed and suitably amended whenever dictated by changes in NMSU ARP or A&S P&T policies, and at least once every five years. The responsibility to update this document rests primarily on the Academic Department Head, with the support of the departmental Promotion and Tenure Committee and the Advisory Committee, described below. Hyperlinks to NMSU ARP and A&S P&T policies on faculty evaluation and promotion and tenure will be updated when any changes to them are communicated to the department. Any substantial modifications of this document require approval of the departmental faculty and the Dean of the College of Arts and Sciences.

If substantial changes are made to the University policy that supersedes this document during a faculty member's pre-tenure period, the faculty member may elect to adopt one of the University 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 of this document.

2. Promotion and Tenure Process Guiding Principles

Guiding principles for promotion and tenure are essentially those laid out in the parallel section of A&S P&T policy. Aspects of the College values articulated in its mission and vision statements that are especially relevant to Mathematical Sciences include clarity and precision in thought and expression, persistence in problem solving, and sharing ideas. Principles of *fairness, diversity, and transparency, flexibility and collegiality* that govern Mathematical Sciences are the same ones articulated in the A&S P&T policy. *Faculty participation* in recommendations on promotion and tenure is particularly important. Every tenured associate professor or professor in the department without a conflict of interest is, de facto, a member of the Promotion and Tenure Committee. Each member is expected to review faculty files prior to deliberations on continuation or tenure and promotion, to participate earnestly in deliberations, and to formulate an *independent* opinion based on information presented. *Confidentiality* in deliberations is equally critical to the integrity of the process. Committee members are not at liberty to provide information related to P&T processes to anyone outside of the committee. It is essential that any *conflict of interest* is disclosed prior to any deliberation on continuation or tenure/promotion. Concerns regarding potential conflicts of interest must be brought to the attention of the Department Head or other relevant academic administrator, who will seek resolution.

A final guiding principal is that a candidate for tenure should be afforded ample opportunity to understand the process and receive objective feedback on progress. The Department Head provides new faculty members with all applicable tenure and promotion documents, and meets with new faculty to formulate goals in the first year. Mathematical Sciences strongly encourages candidates to elect to obtain such feedback through a **mid-probationary review**, normally conducted in the third year. The policies and procedures governing this review are as in A&S P&T Policy and NMSU ARP (Section 9.35.3)

3. Annual Evaluations and Post-Tenure Review

3.1 General Considerations

Each regular faculty member in the Department of Mathematical Sciences is evaluated by the Department Head, with assistance from the Advisory Committee, on an annual basis, in the fall following the academic year under review, for his/her professional performance relative to the faculty member's agreed upon allocation of effort. For tenured faculty members, this serves as a post-tenure review as in ARP 9.36. Each pre-tenured, tenure-track faculty member also receives a separate formative assessment of his or her progress toward promotion and tenure during the spring, with separate recommendations from the Department Head and the Promotion and Tenure Committee. Each evaluation documents accomplishments relative to stated expectations following procedures consistent with NMSU ARP and A&S P&T policies. The diversity of scholarly activities encompassed by faculty in the Department of Mathematical Sciences and advocated by the Boyer model of scholarship prohibits application of one-size-fits-all evaluation criteria. A single research product in one area of endeavor could equate, in terms of effort, to a half dozen products in a different area, and competition for funding from one source might be far more intense than from another. Consequently, faculty should document the impact of their work in the context of the subdiscipline, or a broader context for interdisciplinary work, and be specific about their role in any collaborative effort. Junior faculty are particularly encouraged to document good effort even if it did not yield the desired result, for example positive feedback on an unfunded NSF proposal. Faculty are also encouraged to document steady improvement in their teaching by taking note of things that may not have gone as planned, and steps taken to improve outcomes in the future. While student evaluations provide limited evidence of student learning, items asking whether the instructor was prepared can alleviate potential concerns about organization, and an appropriate level of challenge can be documented in a positive way through peer evaluations or student learning outcomes. The department highly values service that leads to better functioning of programs at the department, college and university levels, and opportunities for students. A significant amount of student advising is done through the departmental Undergraduate Majors and Minors Committee and Graduate Studies Committee. The department also values outreach that raises awareness of the vitality of mathematics in society and the importance of rigor in preparation for university mathematics.

3.2 Allocation of Effort

All regular faculty members are required by NMSU ARP to develop a written statement, agreed upon by the Department Head with concurrence of the Dean, outlining percentages of effort to be allocated to Teaching and Advising, Research and Scholarly Activities, and Service and Outreach for each academic year of service at NMSU, that add to 100%. Variations in percentages allocated and corresponding output among faculty members and for the same faculty member in different years in support of the unit mission are consistent with A&S P&T guidelines, and are acceptable as long as they are in keeping with national norms in the Mathematical Sciences. Recommendations on promotion and tenure must respect these agreed allocations. Allocation of Effort statements are prepared in advance of the performance period with deadlines for initial submissions set by the College of Arts and Sciences, using a form prepared by the College. Annual performance is evaluated relative to these allocations and should take into account teaching assignments, which should already have been made for the Fall semester. The nominal teaching load for a tenure-track faculty member in Mathematical Sciences is four regular courses per academic year. Usually between 10 and 15% effort is allocated for each regular course taught, with variations accounting for class size, new preparation or a new course format, and other factors.

The department considers an even balance of time and energy on teaching and on creative activities ideal for untenured tenure-track faculty. It is normal for the vast majority of effort to be allocated to scholarship and creative activities for faculty on sabbatical. Between 10 and 20% allocation for service and outreach is normal for faculty not in an administrative role. While all faculty members are *encouraged* to participate in meaningful outreach activities, untenured, tenure-track faculty members need to establish a track record of excellence in scholarship, so *outreach is not an expectation for untenured, tenure-track faculty members* in Mathematical Sciences: A 0% allocation of effort in Outreach is acceptable for an untenured faculty member. Funded course buyouts for scholarship and outreach should also be reflected in allocations of effort but do not remove the faculty member's obligation to teach courses that serve the broader mission of the university.

The allocation of effort statement should be accurate and useful. It requires development of specific goals and quantifiable accomplishments to be achieved in each applicable area of Teaching, Scholarship, Service and Outreach reflecting an expectation of excellence, and listing concrete activities to be performed to realize the proposed accomplishments. The statement should make sense to administrators at all levels and to internal and external evaluation bodies. Faculty allocating similar effort to each area should anticipate comparable accomplishments. NMSU ARP requires that significant deviations from standards for allocations outlined above be justified in the context of the mission of the department.

The Dean will serve as arbiter if the faculty member and Department Head cannot agree on the allocation of effort. Appeals follow the process described in NMSU ARP (Section 10.60).

3.3 Annual Performance Report

Each regular faculty member, regardless of rank or status (i.e., pre-tenure, tenured, college-track, research), 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) and provides evidence that the agreed upon responsibilities, as described in the Allocation of Effort Statement, have been met. In Mathematical Sciences the Department Head sets rolling deadlines for submission of APRs to facilitate the appraisal process, which is done in consultation with the departmental Advisory Committee. Usually untenured faculty members have earlier deadlines for submission of the APR to the Department Head. NMSU ARP 9.31 requires that the faculty member meets annually with the Department Head relative to the APR and that occurrence of the meeting is certified. A&S P&T policy sets an expectation that this meeting occurs in Spring. By tradition, annual performance review meetings between individual faculty members and the Department Head in Mathematical Sciences occur instead during the Fall review period. The meeting is certified implicitly by the faculty member's signing off on the Department Head's annual appraisal in the spring. The fall conversation enables the Department Head to address any potential perceived inconsistencies between the AOE and APR.

The College requires the preparation of the APRs using the NMSU Digital Measures portal. The College distributes specific guidelines on the preparation of the APRs each year. The APRs should be self-contained and informative but concise. Only required documentation pertaining to the period being assessed should be included in the APR. The A&S P&T document specifies sections of Digital Measures that should be included, and how to address evaluation of teaching.

Faculty in Mathematical Sciences have the opportunity to document annual accomplishments more thoroughly using electronic file folders as outlined in Section 8.1.2. These files are made available to any member of the Advisory Committee assisting in the appraisal.

In consultation with the Advisory Committee, the Department Head evaluates the annual performance of each faculty member in the Department using a standard form provided by the College. Each faculty member is rated in each applicable category as not meeting, meeting, or exceeding expectations relative to the allocation of effort, and an overall performance rating is given. Specific guidelines to interpret the ratings are found in the A&S P&T policy. The Department Head justifies each rating with a brief but informative narrative. Faculty appraisals are forwarded to the Dean's office in late fall along with the APRs. The Department Head confers with the Dean in early spring regarding performance of each faculty member and the department overall. Appraisals are finalized and provided to faculty shortly thereafter. Each faculty member can request to meet with the Department Head to review the final appraisal.

For tenured faculty, the Annual Performance Evaluation serves as a Post-Tenure Review in accordance with NMSU ARP 9.36. Should serious deficiencies for two or more years trigger a more complete review as in NMSU ARP 9.36, this will be conducted by the departmental Promotion and Tenure Committee as described in NMSU ARP 9.36.

3.4 Annual Promotion and Tenure Progress Evaluation

The College requires that each untenured, tenure-track faculty member be reviewed during the Spring semester to assess progress toward promotion and/or tenure. The P&T Committee and then the Department Head make separate, independent assessments. The summative assessments take into consideration all activities performed since the member joined the NMSU faculty, and account for any credit toward promotion or tenure that have been granted upon hire. The spring reviews articulate strengths and any areas for potential improvement relative to expectations for tenure and promotion in Scholarship and Creative Activities, Teaching and Advising, Service, and Extension and Outreach (if applicable), as well as an overall assessment, providing specific steps toward improvement when appropriate. The review is accompanied by a recommendation whether to continue the faculty member in probationary status. Both reviews are shared with the faculty member by the Department Head, placed in her/his departmental file, and copies are forwarded to the Dean's Office. These reviews become part of the faculty member's portfolio for promotion and/or tenure. Procedures for these reviews are outlined below. Tenured Associate Professors in Mathematical Sciences may request a parallel (one time) spring review if considering a request to be considered for promotion to the rank of Professor. College-track faculty members are encouraged to request a parallel (one time) review when anticipating a formal request to be considered for a promotion in rank the following year. The full timeline for the Annual Promotion and Tenure Progress evaluation is specified in A&S P&T policy.

Because this assessment is based on cumulative performance, the candidate should maintain a portfolio that includes components of the core document for promotion and/or tenure (described in Section 8.1). The candidate may wish to maintain a draft executive summary of professional accomplishments for the Spring reviews and should include other documentation described below in 8.1 in a binder or electronic folder readily accessible to the P&T Committee. Procedures for the Spring reviews are outlined in Section 9.4.

4. Functions of Professorial Tracks

The professorial ranks within each track are those discussed in the NMSU ARP, Section 9.33. All faculty members are expected to excel in *teaching* and are also expected to support the retention and timely graduation of students through academic *advising*. In this role faculty should keep current with University, College and Departmental degree requirements and quantitative

requirements of the majors served by the courses that they teach, and general education and University policies. Mathematics faculty are also expected to keep current with national and international practices in Math instruction and curriculum design at the University level, to document effectiveness in their own teaching, and to demonstrate growth as instructors and as contributors to the department's mission in teaching and advising, both in a service role and in preparing advanced students for the workforce.

NMSU ARP identifies a nominal workload of the equivalent of teaching 12 credits per semester. A&S P&T policy states that college-track faculty members normally allocate all of their time to teaching and advising, and teaching-related service and outreach. Tenure-track faculty in Mathematical Sciences who are active in scholarship and creative activities, *and* advising of graduate students carry a regular course load of 12 credits per academic year. Tenured faculty members usually carry higher service loads than untenured faculty, as their service extends to strengthening programs and policies, and professional service. Exceptions, for example course buyouts to work on funded research projects, must be agreed to by the Dean of Arts and Sciences

Teaching assignments are made by the Department Head in consultation with the Associate Department Head and Director of First-Year Math to meet student needs in general education and undergraduate and graduate programs. They are intended to balance the interests and expertise of the faculty and the instructional mission of the department. Variations in class sizes and levels and instructor's prior experience are considered in the evaluation process.

Departmental committee assignments are made by the Department Head, taking into account documented college, university and professional service obligations of each faculty member and the ongoing needs of the department. Participation in regularly scheduled meetings, seminars, and colloquia is necessary for a collegial environment.

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.

Scholarly and Creative Activities: Tenure-track faculty members 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: Tenured faculty members in Mathematical Sciences are expected to contribute to the mission of the University in disseminating knowledge, and to use their expertise to serve the broader public needs of New Mexico, for example, by creating opportunities for educational development.

Service: Tenure-track faculty members in Mathematical Sciences are expected to contribute to ongoing maintenance and improvement of departmental programs and College and University programs and policies. They are encouraged to contribute to professional organizations that support the academic enterprise and to contribute to the endeavors of local, state and national institutions that may rely on faculty expertise.

4.2 College-Track Faculty

College-track faculty members are expected to strive for excellence in teaching, advising, and teaching-related service. Full-time regular college-track faculty members in Mathematical Sciences normally teach a full workload of four MATH/STAT courses per semester at the 100- and 200-levels. College-track faculty may be called on to teach more advanced courses contingent on qualification and need. College-track faculty are evaluated for promotion based on the allocation of their effort in the areas of in-load teaching and advising, and service relevant to the educational mission. Allocations of effort should be confined to teaching and service/outreach.

5. Criteria for Promotion and Tenure

This section elaborates on criteria for Promotion and Tenure in the Department of Mathematical Sciences consistent with general criteria stated in NMSU ARP 9.34 and the guidelines and regulations contained in the NMSU ARP, Section 9.31. This includes criteria for promotion to various ranks for both tenure-track and college-track faculty.

5.1 General Considerations

Criteria for tenure and promotion in Mathematical Sciences at New Mexico State University are consistent with those of math departments at Carnegie High Research Activity Universities. Common elements of criteria statements for such units include giving more weight to quality than to quantity of scholarly output but recognizing the importance of steady productivity; emphasizing an expectation of seeking external funding for research and creative activities while weighing any expectation of success against the level of competition for funding; and acknowledging that the specialized, technical, and diverse nature of mathematics research implies that those most capable of judging whether consistent criteria for excellence in research in the candidate's area have been met are leading experts in the candidate's area of expertise. Functions and criteria also suggest a fairly even balance among duties focused on teaching and advising versus scholarship and creative activities, with significant, but somewhat less emphasis on service and outreach at the aggregate departmental level, allowing for variation in individual allocations to serve the greater good.

5.1.1 Tenure

The decision whether to grant tenure is based primarily on the candidate's performance in Teaching and Advising, Scholarly and Creative Activities, Service, and Extension and Outreach, if applicable. In judging the suitability of the candidate for tenure, however, it is also appropriate to consider the traits associated with collegiality and professional integrity.

Under normal circumstances, a faculty member will be considered for tenure in the sixth year of service in professorial rank. The candidate applies for tenure by submitting their Portfolio to the Department Head in the spring of the candidate's fifth year, or other time as previously negotiated. If a faculty member/candidate does not apply for tenure in the spring prior to the agreed tenure review year (usually spring of the fifth year), and does not submit a resignation letter as specified by this rule, the faculty member's employment will terminate with the expiration of the current annual "Temporary Contract," see NMSU ARP 9.35 Part 7. 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 all reviewers must evaluate

the dossier without prejudice, as if the individual had been on probationary status for the standard five years.

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.

Promotion from Assistant to Associate Professor: This is a recognition of having demonstrated effectiveness in teaching and advising and 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. Promotion to Associate Professor is a separate assessment and process from granting tenure. The two decisions are made independently, even when made concurrently.

Promotion to the rank of Professor: This is based upon demonstrated distinction and evidence of leadership in teaching, advising and service, with sustained development and effectiveness in all areas; the faculty member should have demonstrated excellence in several forms of scholarship under Boyer's model, 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. While no specific timetable qualifies or prohibits an Associate Professor as potential candidate for the rank of Professor, candidates for promotion to Professor will have demonstrated substantial accomplishments since being promoted to Associate Professor.

5.2 Teaching and Advising

5.2.1 Definition

All faculty members are expected to strive toward excellence in their teaching and advising through preparation and reflection, continually refining and improving their teaching effectiveness and updating the content of their courses. The Department of Mathematical Sciences teaches courses ranging from *Intermediate Algebra* to advanced doctoral level courses with instruction delivered by tenure-track and college-track instructors as well as graduate assistants and some temporary instructors. Content and pedagogy should follow guidelines established in the internal "Information for the Instructor" webpage or on the graduate program webpage as applicable. Teaching assignments in Mathematical Sciences are made to meet needs to maintain strong academic programs in the department and to serve the broad needs for quantitative training that different academic programs have. Courses supporting the graduate program are taught by members of NMSU's graduate faculty who are usually tenure-track. Tenure-track faculty are also expected to advise students by serving on graduate committees. Instructors of upper division courses normally hold a doctorate in mathematics or a closely related subject, and are active in scholarship. College-track faculty members ordinarily teach courses below Calculus but may include Calculus. Tenure-track teaching assignments normally are balanced evenly between lower-division courses and upper division and graduate courses. *Coordination* of service courses provides an opportunity to mentor and create a collegial environment for newer instructors, to advise graduate assistants on their teaching, and to reflect on how desired outcomes inform pedagogical revision, and should be considered as a component of teaching and advising in the annual allocation of effort.

Department standing committees oversee the policies and overall progress of students in its respective graduate and undergraduate programs. Activities related to these committees are addressed under *service*, as opposed to teaching and advising, in allocation of effort statements.

5.2.2 Evaluation

Faculty members are expected to provide compelling evidence that they have actively pursued excellence in teaching and advising in the form of strong learning outcomes. Faculty ordinarily allocate about 10% of their annual effort to each regular course taught in Mathematical Sciences, with slightly more for new course preparation or coordination of a multi-section course.

- Faculty should document all courses taught, including special topics, directed readings, independent studies, and similar courses), numbers of SCHs taught, numbers of students mentored and/or advised, and numbers of graduate student committees served on and chaired, on an annual basis. They should also document any courses they have (co)-coordinated and any new or substantially revised course preparations;
- Student evaluations are required in documenting teaching effectiveness, with the exception of courses having too few students to insure anonymity. The College requires that faculty provide one-page summaries of student evaluations for each regular course taught during the annual evaluation period, including representative student comments. Complete copies of student evaluations should be maintained in documentation files;
- Faculty seeking promotion or tenure should have several peer or outside evaluations of teaching. Ideally such evaluations, taken together, provide a picture of growth of the faculty member as a math instructor;
- Evidence of techniques used to improve student learning are helpful. If the technique is learned from a workshop or other type of instructor training, the instructor should document its implementation.
- 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;
- Course materials developed by the instructor, including syllabi, handouts, and assessments also provide evidence of a thoughtful approach to teaching and a path to intended student learning outcomes. If included in documentation files, these materials should be organized chronologically by semester.
- If student-learning outcomes are measured according to student performance on a particular assessment, the methodology should be established well before the assessment is given, and measured relative to a prior established baseline.
- Evidence of advising effectiveness should also be included.
- Teaching awards or other recognitions will be considered, particularly when selection criteria and context (if competitive) can be articulated.

Each of these forms of evaluation should be factored into critical self-reflection by the instructor, both when submitting annual performance reviews, and when summarizing professional growth in a promotion and tenure portfolio. When providing self-reflection on teaching, the instructor is encouraged to document perceived outcomes relative to expectations. If teaching a course for the first time, what expectations did the instructor have? Were those expectations informed by other colleagues' experiences with the course? If the instructor taught the course before, were different approaches used in teaching, and how did perceived outcomes change? What would the instructor change to improve the course in the future?

5.3 Scholarship and Creative Activities

5.3.1 Definition

All tenure track and tenured faculty members are expected to be involved actively in scholarship and creative activities. Since 2008, NMSU has embraced the definition of scholarship originally proposed by Boyer that recognizes scholarship of discovery, scholarship of teaching, scholarship of engagement and scholarship of integration each as valid ways to contribute. NMSU ARP (Section 9.31) articulates the definitions of these forms of scholarship. Whichever of these forms a faculty member's contributions take, the products should be peer reviewed.

Publication in highly regarded journals is the most widely accepted way to establish merit of peer-reviewed work in mathematics. Textbooks and reference books are also important. Application for external funding for creative work is expected, and is particularly valued when it enhances the reputation of the institution as a whole, or furthers development of students. Activities intended to lead to other outcomes should be agreed upon in annual allocations of effort. In the case of funded activities whose primary aim is other than publication, it is important to document the objectives so that the value of such activity can be taken into account in annual reviews and reviews for promotion. Media produced for the broader mathematics community or general public might be recognized as *scholarship of integration*. Interaction with K-12 schools is classified as outreach, but when leading to peer reviewed publications or curricular materials, may be regarded as *scholarship of engagement*. Dissemination through other established channels such as invited and contributed conference presentations or posters, or abstracts is also encouraged, but usually is not itself considered as creation of new knowledge. Required reports to funding agencies may be appropriate if cleared for dissemination. Other recognitions of significant standing in one's academic community include invitations for short and long term visits to conduct research at other institutions or participate in focused research programs, and some activities that overlap professional service such as service on editorial boards or proposal review panels, particularly when such service enhances the reputation of the institution as a whole. Collaboration with faculty members and students of other departments in their research and teaching is encouraged when mutually beneficial.

5.3.2 Evaluation

Scholarly activities and outcomes should have a significant and demonstrable impact, adding consequentially to the field. The faculty member should provide evidence or recognition of significance of accomplishments. Reputation and scope of the journal, publisher or other source in which the work appears will be considered in evaluating quality. Reviews that articulate the technical nature and significance of contributions such as those published in *Mathematical Reviews* may be considered. Authors of collaborative mathematical works are almost always listed alphabetically without assumption that one author contributed more or less to the product than others. Faculty members are encouraged to self-report deviations from this standard. The individual role in success of any funded proposals should be documented. Conversely, positive reviews of proposals that did not succeed will be viewed favorably when a context of intense competition is provided. Other recognitions such as paper awards or invitations to speak at prestigious conferences will be considered, particularly when selection criteria can be provided.

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, expertise or perspective of the faculty member, to address a particular task or problem that is dependent on such expertise. A&S P&T policy documents different forms of institutional service that satisfy these criteria and are evaluated accordingly. Professional service duties 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. Activities that do not benefit the profession or the University, or are not related to a faculty member's professional role and expertise, or involve substantial remuneration, will not be considered as evidence of professional service.

5.4.2 Evaluation

Service is critical to the mission of the Department and 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 should be agreed upon in the annual allocation of effort, which should also document expected outcomes. The APR should then document the individual faculty member's role in realizing desired outcomes. Service on an appeals board or a grant panel review are examples that may entail a level of confidentiality. Proper care should be taken to communicate the nature and level of effort of such an activity to evaluating bodies while respecting its confidential nature. Professional service duties are not to be considered a complete substitute for institutional service contributions required to maintain and evolve strong programs and a collegial environment. A typical allocation of effort for service ranges between 10% and 20% of annual allocation. A tenure-track faculty member should allocate at least 5% for institutional service.

5.5 Extension and Outreach

5.5.1 Definition

Extension and outreach are characterized by interface with the general population, as opposed to being confined within the academic community, even if multi-institutional or interdisciplinary. Forms of outreach that are particularly relevant to Mathematics include work with schools or the public that promotes further math learning for college preparation, or illustrates the role of mathematics in society. Examples include organizing a Sonya Kovalevsky Day or a high school math contest, or judging a science fair. Less traditional types of outreach in mathematics should be agreed upon in the annual allocation of effort statement. Outreach is important for integration of Mathematical Sciences in the community. Tenured faculty members are strongly encouraged to allocate some effort to such activities on an annual basis. However, untenured, tenure-track faculty members in Mathematical Sciences are encouraged to place their development as educators and individual needs to build recognition for their work within the scientific community before outreach, unless the latter is symbiotic with their scientific work.

5.5.2 Evaluation

Outcomes of any outreach and extension activity to which effort is allocated should be described in the faculty member's annual performance review and accompanied by self-reflection. Any activity that entails an allocation of effort of 10% or more must also include some form of critical evaluation that allows participants to assess how they benefited from the activity and that allows for feedback on how to improve outcomes, if the activity will be repeated in the future.

5.6 Leadership

5.6.1 Definition

When considering the role of leadership in evaluation of performance for promotion and tenure, Mathematical Sciences applies the same definitions and evaluation criteria as stipulated in A&S P&T policy. Leadership is not considered as a separate area to be evaluated, but rather as a factor affecting performance in Teaching and Advising, Scholarship and Creative Activities, Service, and Outreach. It should be given relatively less consideration in recommendations regarding tenure in the Mathematical Sciences than ones regarding promotion. Examples of leadership activities particularly relevant to Mathematical Sciences include but are not limited to:

- Effective mentoring of junior faculty members and staff members;
- Effective course coordination leading to improvements in student learning; development or substantial revision of programs and curricula;
- Catalyzing a major new research program or collaborative effort.

Leadership can be realized at the department, college, university, or national or international level. Mere membership on a national or international committee, advisory board, etc., does not itself constitute leadership.

5.6.2 Evaluation

As stipulated in A&S P&T Policy, leadership is characterized and differentiated from strict management by collaboration, fairness and integrity, putting collective interests before personal ones, using acquired technical skills and knowledge to serve broader interests, and getting others to work together. Candidates who wish to have leadership factored into promotion and tenure considerations should provide evidence that distinguishes their work from strict management.

6. Criteria and Procedures for Promotion in the College-track Ranks

College-track faculty members are defined as faculty members who hold a regular (.5 or greater) appointment and 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. Allocation of effort by college-track faculty members for non-teaching related activities requires written approval by the Dean.

College-track faculty members will be expected to fulfill their respective positions according to the duties and roles assigned at hiring, which should specify courses that the college faculty member will be expected to teach. These expectations may be adjusted in the allocation of effort according to the needs of the Department. College-track faculty members are evaluated on their annual performance according to this allocation of effort by the Department Head. These annual reviews become the primary basis in consideration of promotions.

6.1 Mathematical Sciences Criteria for Promotion in the College-track ranks

Departmental criteria for promotion within the College-track ranks are effectively the same as those specified by A&S P&T policy, taking into account any further qualifications including degree qualifications specified by NMSU ARP. While A&S criteria specify an expectation of innovative teaching, any such innovative methods must be well informed by literature and accepted practices. Evidence of leadership demonstrating sound methodology in the teaching itself

as well as in the documentation of teaching effectiveness is particularly important for promotion to the rank of College Professor. Course coordination can also be considered as part of the mentoring role expected of higher College ranks and effectiveness in the mentoring role should be demonstrated. A sustained record of high overall student evaluations is not itself sufficient to merit promotion.

The candidate will assume responsibility for providing all evidence of qualifications for promotion. Candidates are eligible to apply for promotion during the fifth year of service in current rank. However, promotion within the college-track ranks is not earned simply by years of service in rank. Early consideration is allowed by A&S P&T policy under exceptional circumstances that must be documented in the Department Head recommendation.

6.2 Portfolio Organization for College-track and Research Faculty

The portfolio for promotion should be developed in accordance with University regulations (9.35.6) and in strict accordance with Sections 6.2 and 8 of A&S P&T Policy.

7. Evaluation/Recommendations Related to Promotion and Tenure

Evaluations 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 of Mathematical Sciences outlined in this document.

8. Procedures

8.1 Organization of the Documents for College Review

The material prepared for each promotion and/or tenure application should be organized according to a standard format consistent with regulations established by NMSU Policy (9.35.6) and described in Section 8 of A&S College Policy. The material is composed of two parts:

- a. A **core** document, which contains the information submitted to the Dean's Office.
- 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.)

The college requires the organization of the core document to be followed precisely as stipulated in College Policy, to ensure consistency. A&S P&T policy also stipulates that a candidate may review all items included in the core document and any supplemental material assembled for the review of appropriate committees and administrators. Once the material is submitted, nothing will be changed, added, or deleted without the candidate's knowledge. The timeline for initial submission of the core document by the department to the Dean's office is established annually by the College, and usually occurs in mid-October.

Faculty members planning to apply for promotion or tenure are responsible for preparing material for annual review of progress toward tenure and promotion as outlined below. The candidate is also responsible for compiling and submitting material to support the application. Anonymous sample portfolios are provided by the department and kept in SH237a.

8.1.1 Core Document

The core document submitted to the Dean's Office for review beyond the department level should be organized in a one-inch three-ring binder, with a spine label identifying the candidate's name. Two binders are required in the Dean's Office: an *Original* and one *Copy*. The original and the copy should be clearly distinguished. Precise organization of the material is described in A&S P&T policy and must be strictly adhered to.

The following core documentation is supplied by the candidate:

A. *Candidate's executive summary*. This document is limited to 3000 words. It should separately address accomplishments in teaching and advising, scholarly and creative activities, and service and outreach (if applicable), but also reflect an overall professional philosophy to contextualize the candidate's CV, and point out evidence of leadership where appropriate.

B. *Candidate's comprehensive curriculum vitae*. The CV should provide complete information about the status of and dates for all work, structured so that the first part articulates activities and accomplishments since the date of any previous promotion (i.e., for the period for which the candidate is being evaluated), and the second part summarizes activities and accomplishments relative to any period prior to the one under review. This second part should be concise and highlight only contributions that place the content of the first part of the CV in context. It is recommended that the CV be organized 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.

C. Candidate's *annual performance reports*, properly signed, for all years during review period.

D. Candidate's *allocation of effort statements* for the entire review period, properly signed.

E. Department Head's *annual appraisal* of candidate for all years in the period under review. *Ratings should not be included*. This section should include written statements submitted by the candidate as part of, or in response to, annual performance evaluations.

F. Promotion and tenure *progress reports* for entire review period (for tenure or Promotion to Associate Professor cases only). This includes the separate reports from the P&T committee and from the Department Head. *Committee vote counts should not be included*. It is the responsibility of the Department Head to ensure that ratings and vote counts are properly removed.

G. [Optional] Candidate rebuttal to department recommendations or progress reports.

The following core documentation is supplied by the candidate's department.

H. Department Promotion and/or tenure recommendation, including numerical vote counts (separately for promotion/tenure) and signatures of all members of the Promotion and Tenure Committee. In accordance with NMSU Policy, the recommendation must reflect the majority view but also address all perspectives that emerge during the development of the recommendation. It should contain specific commendations, concerns, and recommendations addressing the criteria described in this document in each of the areas required for promotion and tenure, and allow for dissenting opinions concerning these commendations, concerns, and recommendations in the context of the criteria established herein.

I. Department Head recommendation

J. [Required if applicable] Documentation for any credit toward prior service

K. [Required if applicable] Documentation of additional portfolio reviews, such as midtenure review

L. Applicable promotion and tenure policies and documentation of election of policies

M. External reviews

N. Qualifications of external reviewers (supplied by Department Head)

The core document should not rely in an essential manner on external links or references.

If the candidate is applying for tenure, then the period under review refers to the period since the candidate started on tenure track at NMSU in addition to contributions made while working at previous institutions, if credit for prior service has been granted. If the candidate is applying for promotion not concurrent with tenure, then the period under review is the period since the last promotion or tenure review.

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 administration 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.

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. The Chair of the Promotion and Tenure Committee may assist the Department Head in this.

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.

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. The supplemental file will be used during the annual spring continuation reviews. The supplemental file will also comprise comprehensive documentation kept in the department during the tenure review process. It must be organized in a format that enables the department to make complete contents available to the departmental review committee, the Arts and Sciences Faculty Affairs Committee (or College-track Promotion Committee), the Dean, and the Provost readily upon request. This material should not be routed to the Dean's Office otherwise.

Any non-confidential documentation should be maintained in shareable electronic format whenever possible. It is strongly suggested that the documentation file be maintained in electronic format either as a shared folder or one that can be transmitted readily to the Committee and Department Head. The suggested file structure is a root supplemental review materials folder with subfolders entitled Teaching, Research/Creative Activities and Service and Extension.

- A. Teaching. It is recommended that the teaching folder be subdivided along the following lines:
1. Syllabi for all courses taught at NMSU (from the most recent semester taught)
 2. Detailed course evaluations, including scans of evaluations for each regular course
 3. Detailed peer-reviews of courses and other external evidence of teaching effectiveness;

The following are optional:

4. Documented student learning outcomes
5. Documentation of major pedagogical innovations
6. Supplemental course materials (organized by course, including notes, tests)
7. Miscellany, such as documentation of any awards or other recognitions related to teaching or of other teaching related activities

B. Research. The research folder should contain subfolders organized along the following lines:

1. Complete publications in electronic format
2. Work ready for or under review, or in press, including completed preprints and documenting status of contents, such as emails verifying submission/acceptance

The following are optional

3. Presentations (files might contain lecture slides of professional presentations)
4. Copies of funding proposals and documentation of any awards
5. Copies of peer reviews or juried/judged reports of grant proposals, journal articles, and of other forms of scholarly and creative activities;
6. Other products (e.g., software files with documentation)
7. Miscellany, including any other awards or recognitions for scholarly activities

C. Service and Extension. The Service and Extension folder should be organized as follows.

1. A core document listing all university and professional service and outreach (if applicable). This can be produced using Digital Measures.

The following is optional.

2. Miscellany (including documentation of accomplishments or results of service, such as published article or book reviews, thanks you notes, commendations, etc.)

College track portfolios

Portfolios for College-track promotion cases should be organized as specified in the section “[Organization of the Documents for College Review](#)” of the A&S P&T document with the following exceptions: (1) as there is no expectation of scholarship, the candidate’s executive summary should address only teaching and teaching related service, and may be substantially shorter than 3000 words, (2) there will not be annual committee documentation of progress unless requested by the candidate and (3) the department will not solicit external evaluations of the candidate’s work. Any external testimony of the candidate’s accomplishments will remain with supplemental documentation and will not become part of the core documentation file. The college-track promotion committee is under no obligation to deliberate upon any such testimony that did not factor into annual reviews, but must acknowledge if such testimony plays a role in the committee recommendation.

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. College-track faculty members seeking promotion are exempt from external review.

A. The Department Head directs the collection of appropriate materials to be sent to the persons doing outside evaluations, which includes the candidate’s body of work and the applicable policy and criteria statements (normally in electronic format), makes the requests for these letters with instructions regarding format, and renews the inquiry until a response is obtained.

B. It is typical to make initial requests for five outside letters in the case of a tenure decision and

as many as six in the case of a concurrent decision on promotion and tenure, or promotion to Professor. NMSU policy requires a minimum of three external letters in tenure and promotion cases. A&S P&T policy recommends a maximum of six external letters. If more than three external letters are solicited and received, all received letters must be placed in the core documentation for tenure and/or promotion, as long as they satisfy the requirements indicated in this document. The candidate should submit to the Department Head a rank ordered list of five or six suggested external reviewers. The candidate is also invited to submit a reasonable list of persons who should not be asked to review. The P&T Committee will supply a complementary ranked list from which the remaining external reviews will be drawn. The P&T Committee may consult with senior faculty members in the candidate's subfield to assist in developing this list. The Department Head will maintain the complete list. It will not become part of the documentation file. In soliciting letters, the Department Head should seek a balance between external reviews from the candidate's list and from the committee list. A referee will be a highly regarded expert in one or more aspects of the candidate's work and must be able to offer an objective assessment of the candidate's work. When a reviewer holds a tenured position, it should be at or above the rank sought by the candidate. Sources of potential conflicts of interest are listed in A&S Policy. Keeping in mind the specialized nature of mathematics research and that collaborations within the discipline are highly encouraged, the following guidelines established by NMSU policy should be applied: an external reviewer should not have been a direct supervisor at a previous employing institution, and should not have collaborated on work submitted for publication during the review period, or be a current collaborator. The Department Head and Committee Chair should verify that no evident conflict is present. Should further nominees be required to insure an adequate number and balance of external references, the Department Head will consult the Committee Chair or candidate as appropriate.

C. In the initial solicitation of letters, referees will be asked to comment on their relationship with the candidate, if any, should be encouraged to comment on any qualifications to evaluate the candidate that may not be evident, and will be notified who normally reads the letters and when they are due. Review letters must be signed (scanned copies are acceptable). The Department Head is responsible to inform the outside evaluators that the candidate has the right to review the letters, and that the letters may also be reviewed by third parties in the event of an OIE or other investigation of the tenure/promotion decision.

D. The candidate can choose to include among materials made available to external reviewers any evidence of scholarship, published or unpublished. Reviewers will be asked to use their discretion whether to comment on work that has not been peer reviewed. Candidates are encouraged to include along with their vita a statement of professional accomplishments, outlining the contents and status of the included manuscripts. Should an evaluator require additional information, it should be requested in writing to the Department Head no later than July 1, and the request passed along to the candidate.

E. In Mathematical Sciences it is traditional that external reviews comment primarily on the candidate's scholarly work. However, in cases in which the candidate has a relatively large allocation of effort in the areas of service or outreach and extension, agreed upon with the Department Head and with concurrence from the Dean, it may be appropriate that one or more external references address the scope of the candidate's accomplishments in those areas, particularly when those accomplishments were subject to other documented review. In such a case, in addition to any potential conflict of interest, the reviewer should be asked to explain the context of their knowledge of the candidate's work.

F. Any testimonial recommendations submitted by the candidate or other parties that were not solicited through this procedure will not be included in the core documentation file. The Departmental P&T Committee is under no obligation to weigh such information in its recommendation, but must state so if it does. Records will be kept with supplemental

documentation if any such information is considered.

G. Under no circumstance shall candidates, during the tenure and/or promotion process, communicate with an external reviewer so as to influence the candidate's application.

H. External letters will be kept under the supervision of the Department Head. Copies of the letters will be made available to the Subcommittee and Committee members who have agreed to treat them confidentially, to provide an opportunity for review prior to Committee deliberations.

I. Copies of external letters will be placed in the candidate's core documentation by the Department Head prior to submission of the core documentation to the College.

J. Any deviation from these procedures will be documented in the Department Head's memo addressing qualifications of the external reviewers.

9. Administrative Procedures

9.1 Consistency

The policies herein are to be consistent with the A&S P&T policy and the NMSU ARP, which supersede the policies herein.

9.2 Departmental Functions and Criteria Statement

Any substantial changes to this document are to be discussed and voted upon by the tenure-track faculty of Mathematical Sciences. Final approval requires the Dean's signature.

Copies of this document (or links to electronic versions) are to be distributed to all faculty members in the department and posted in a publicly accessible section of the Department web site, and linked to the Office of the Provost's website. The Department Head will insure that new faculty members receive a copy of all the relevant promotion and tenure policy documents (Departmental, College and University) and will provide, electronically, a similar packet of materials to candidates 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 reviewed.

Changes in Policy

In the case a policy change occurs at the University, College or Department level during the pre-promotion or pre-tenure period of a faculty member, the candidate will be given the opportunity to elect which policy document should pertain to all future evaluations. This applies to all:

- Untenured faculty members during their tenure-track period,
- Faculty members who are Instructors, Assistant Professors, or Associate Professors.

By default, the *most recent policy* will be used to evaluate faculty members for promotion or tenure. A faculty member has the option to continue to be evaluated according to an older policy that was in effect since the faculty member began serving NMSU, provided the faculty member has not elected at any time a more recent policy. According to A&S P&T policy, once the new policy is enacted, request to be evaluated according to an older policy must be made in writing to the Department Head (for changes in Departmental policies) or to the Department Head and the Dean (for changes in College or University policies) before the next annual evaluation.

9.3 Mathematical Sciences Evaluating Bodies Committees

9.3.1 The Department Head and Advisory Committee

The Advisory Committee advises the Department Head on departmental matters. Its make-up is described in departmental by-laws. The tenured members of the Advisory Committee advise the

Department Head in annual appraisals of tenured and tenure-track faculty. A College-track member of the Advisory Committee may advise the Department Head in annual appraisals of College-track faculty.

9.3.2 Departmental Promotion and Tenure Committees

The Departmental Committee on Promotion and Tenure (P&T Committee) consists of all tenured faculty at the rank of Associate Professor or Professor and an external member appointed by the Dean's office, excluding the Department Head. The Departmental Committee on Promotion to Professor (P2P Committee) consists of all tenured Professors in the Department, excluding the Department Head, plus the external member of the P&T committee. The P&T (resp. P2P) *Subcommittees* consist of three departmental members elected by the departmental members of the Committee of the Whole. The P&T (resp. P2P) Chair is selected from the Subcommittee by mutual consent. The P&T (resp. P2P) Committee makes departmental recommendations on continuation and on tenure and Promotion to Associate Professor (resp. on Promotion to Professor). The subcommittee's role is to provide the Department Head with a list of nominees to provide external reviews, summarize accomplishments of each candidate prior to deliberations, organize and lead deliberations, finalize the committee recommendation, and report the recommendation to the Department Head.

9.3.3 Departmental College (Non-Tenure) Track Promotion Committee

The Associate Department Head chairs the Departmental Committee on College-track promotion (CTP Committee) which has at least three members. Other members include at least one departmental member of the college-track faculty of rank at least equal to that sought by any candidate, appointed by the committee chair, if such a member is available. An external member may be appointed at the Dean's discretion, or additional departmental college or tenure-track faculty of rank at least equal to that sought by the candidate may be appointed.

9.3.4 Other restrictions on committee membership

Exclusions to evaluating committees may be made based on documented conflicts of interest. The Chair of the relevant Tenure and Promotion Committee will direct potential committee members to NMSU ARP 3.02 and discuss conflict of interest policies. In no case will any departmental promotion or tenure committee contain fewer than three members, including external members.

9.4 Evaluation Procedures

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

Departmental recommendations on promotion and/or tenure are based primarily on evaluation of the candidate's achievements described in the candidate's core and supplemental documentation.

Although the faculty candidate prepares the majority of the documentation, the Department Head will assure that the candidate receives assistance as needed, and is responsible for completeness and conformance of the core document to Departmental, College and University Policies. Addition of materials to the candidate's core document after the commencement of Committee deliberations will not be allowed except to correct omission of required materials. The Department Head will also consult with the faculty member regarding policies for viewing external letters and will allow the candidate, upon request, to read copies prior to submitting the core document to the Dean's office, after redacting any information identifying their authors. Any information in the Committee recommendation and Department Head recommendation identifying external reviewers will also be redacted from copies of those recommendations provided to the candidate.

9.4.2 Initiation of the Process

In cases of tenure the Department Head will verify the tenure review date according to the candidate's contract or any revision thereof requested on behalf of the candidate consistent with NMSU ARP 9.35 Part 2.C, and confer with the candidate and Chair of the P&T Committee to initiate the review in late Spring preceding the tenure review year. Any deviation to this schedule should be based on prior agreement or be initiated by the candidate. Normally promotion to Associate Professor will not be considered in advance of tenure unless a request made by the candidate to the Provost through the Department Head and Dean is approved in advance. A review for any promotion other than one concurrent with tenure should be initiated by the candidate in writing to the Department Head in early Spring of the year preceding the promotion review. In any case, the candidate will compile a complete portfolio with assistance from the Department Head to guarantee proper format and inclusion of all necessary information.

9.4.3 Mathematical Sciences Evaluation Process for Tenure and Promotion

These procedures and those for promotion will be updated with the Dean's consent every five years or when required by NMSU policy. The following procedures for tenure commence in Spring of the candidate's fifth year of service unless a modified tenure clock was approved in accordance with NMSU ARP. A specific timetable for the review, following A&S P&T Policy, is determined by deadlines set by the College.

In mid-Spring, the Department Head consults candidates eligible for tenure review and communicates to the Chair of the P&T Subcommittee those candidates who will undergo tenure review, along with status of other untenured, tenure-track faculty members.

A. The Department Head informs any candidates for tenure that they should update their core and supplemental files in accordance with policy, and assembles materials to be made available for external review and lists of external reviewers supplied by the candidate and committee.

B. Complete tenure portfolios specified in the core and supplemental documentation files are due in the department at least one month prior to the deadline set for submission to the College.

C. All committee members are obligated to study the files and the external letters. The Committee Chair makes external reviews available to committee members in an appropriate confidential format. Any sensitive electronic materials will be password protected. To gain access to such materials, committee members must agree in writing to confine any discussion of these materials to other members of the committee in the course of deliberations, not to make copies of any such records, and to delete any such records when committee deliberations are completed. Alternatively, committee members may access hard copies of sensitive materials kept in the department office during business hours.

D. Prior to deliberations, the Department Head or Dean or comparable administrator may meet with the Committee to address any questions regarding procedure. The Department Head will be available during deliberations.

E. The Subcommittee presents a confidential draft of its findings in writing to the Committee on Tenure; this is followed by confidential discussion of the candidates under consideration in closed session at one or more meetings.

F. The Committee on Tenure votes by secret written ballot in closed session following guidelines in NMSU ARP 9.34. Part 3, P-Q. Absentia or proxy voting is not allowed, but confidential electronic participation and voting is permissible if agreed in advance by the Committee Chair. All votes will be counted. The vote tally is taken to be the recommendation of the Committee. The tenure ballot will allow a vote for tenure or termination. In concurrent recommendations on promotion, the ballot will contain a separate vote on promotion. The Committee on Promotion and Tenure applies the following criteria in tenure and promotion considerations:

If at least 2/3 of the voting tenured faculty members vote in favor of tenure, tenure will be recommended. If more than 1/2 vote for termination, then termination will be recommended. In intermediate cases, the committee will deliberate further to decide whether a recommendation to terminate should be made. The same ratios apply to separate recommendations on promotion.

G. The Committee on Tenure presents to the Department Head, in writing, its vote results and recommendation for tenure or termination for each candidate under consideration. The report should provide a comprehensive summary of the discussion, including any dissenting views that address criteria established herein. Each voting member signs the report. Any minority report allowed by the A&S P&T policies is restricted to identifying any perceived violation of due process and signed by those who believe that due process was violated.

H. The Department Head makes a separate written recommendation on tenure or termination of each of the candidates.

I. The Department Head informs each candidate under consideration at this point of his or her voting tally and provides the candidate with copies of the Committee and Department Head's written recommendations.

J. At each decision level, the candidates will be informed of the recommendation and given five days to add to the core document any correction of factual errors, or to withdraw in accordance with NMSU ARP 9.35 Part 7.

Procedures for Promotion

Procedures for Promotion to Associate Professor or to Professor are parallel to those for Tenure, except that negative recommendations are not recommendations to terminate. Procedures for balloting by the pertinent committee and interpreting the tally are the same as those for Tenure.

Procedures for College-track promotion.

Procedures for College-track promotion are parallel to those for promotion, except for CTP committee makeup and that external letters are not collected.

Procedures for Continuation

Annual procedures for continuation are internal and parallel those for tenure, except that departmental continuation recommendations are made in the spring. External reviews are not collected except in the mid-probationary review. Specific procedures are as follows.

A. At the beginning of the spring semester, all untenured, tenure-track faculty members are asked to update their files.

B. The files are made available to and studied by the P&T Committee.

C. The Subcommittee presents its findings in writing to the Committee of the Whole, followed by frank and open discussion of the persons under consideration at one or more closed meetings.

D. Ballots on continuation are distributed in closed session to the P&T Committee, their tally is reported to the Committee by the Chair, and taken to be the recommendation of the Committee. Guidelines for balloting and for interpreting the tally are those in the Procedures for Tenure.

E. The Committee on Tenure presents to the Department Head, in writing, its vote tallies and recommendation for continuation or termination of each untenured tenure-track faculty member. This recommendation should include an annual assessment of each non-tenured tenure-track faculty member's overall progress towards tenure and promotion, citing strengths and explicit or potential concerns regarding each candidate's work.

F. The Department Head makes a separate written recommendation on continuation or termination of each untenured tenure-track faculty member.

G. The Department Head provides each untenured, tenure-track faculty member with signed copies of the two written recommendations in accordance with college policy.

9.4.4 Return of the Portfolios

After the institutional review is finished, the complete portfolio is returned to the appropriate Dean, typically at the start of the next academic year. The Dean will then return it to the Department, where the portfolio is retained as part of the faculty member's personnel files. The same process applies in promotion cases and College-track promotion considerations.

9.5 Time Table for Promotion and/or Tenure Evaluation

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 Department Head 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 or College-Track Faculty Promotion Committee review, a brief amendment to the narrative statement in response to any aspect of the Department Head or Department Promotion and Tenure Committee recommendations.

The candidate's core documentation, along with any routing forms, will be submitted to the Dean's office no later than a deadline set by the Dean's office, typically in mid-October. Departmental committee deliberations are typically done no later than the beginning of October. Candidates notify Department Heads of intention to apply for tenure or promotion by the end of March of the Spring preceding the tenure review cycle. Candidate's materials to be made available to external reviewers and the candidate's list of proposed nominees are usually prepared by mid-May. In consultation with the Committee chair the Department Head sets a firm deadline, usually in mid-September, for external letters and final revision of candidate materials at this point. Initial requests for external reviews are typically made before the end of May with a target return date of September 1. College and university-level processes follow a timeline outlined in the A&S P&T policy.

9.6 Appeals

Appeals will be handled in compliance with NMSU ARP (3.25, 10.60). Further specific policies and procedures regarding appeals can be found in A&S P&T policy.