

9.20 – [Pre-AY 18/19] Faculty Performance Evaluation

arp.nmsu.edu/9-20

EFFECTIVE THROUGH AUGUST 12, 2018

A. Policy Statement

The performance of each faculty member will be reviewed at least once a year by the department head, comparable administrator, or a committee. This review will include a written report submitted by the faculty member. The form(s) of this report shall be determined by individual colleges (community colleges) in consultation with their departments. The department head or comparable administrator shall report the results of this review to the individual being reviewed. These results shall serve to establish the goals for the following year. A written copy of the evaluation shall be given to the faculty member.

B. Procedures for the Faculty Performance Evaluation System

1. Each college uses its own performance evaluation form. Early in each fall semester the department head or comparable administrator supplies each faculty member with a form. At this time the department head confers with new faculty members concerning the recording of objectives and goals and the general use of the form. In the case of continuing faculty members, the department head or faculty may request a conference for the purpose of revising or updating objectives previously agreed upon. Department heads will share the above agreements in writing with the faculty member.
2. Department heads are expected to meet with all new and returning faculty members regarding progress toward promotion and tenure and to certify in writing to the appropriate dean that these meetings have occurred. Specific evaluative comments in each of the three areas of performance are required, as well as separate comments about progress toward tenure and toward promotion.

3. Each faculty member completes a written form detailing and citing accomplishments in the broad categories of teaching, research and/or creative scholarship, and service during the performance evaluation period. The type, method of collection, and disposition of evidence regarding effectiveness of teaching is of particular importance, and faculty should consult with department heads concerning collection of this evidence. The performance evaluation form, along with any supplemental material, is submitted by each faculty member to the faculty member's department head.
 4. The department head reviews the faculty performance forms, prepares a written evaluation based upon accomplishments reported as compared with previously set goals and objectives (a copy of this report will be shared with the faculty member), and confers with appropriate deans to achieve consensus on the written recommendation and the prepared summary to be discussed with the faculty member. Following the conference with the dean, the department head meets with the faculty member to discuss all aspects of the performance evaluation, addressing separately the person's progress toward promotion, progress toward tenure, strengths, and weaknesses. This conference also serves to set goals and objectives for the ensuing year. No mention shall be made at this conference of the recommendation in terms of dollars. These goals and objectives will be placed in writing, with a copy to the faculty member.
 5. At community colleges with program coordinators, the coordinator performs the duties of a department head in the evaluation process. The coordinator will confer with the community college executive officer, who in turn confers with the executive vice president and provost.
 6. Department heads formulate recommendations where appropriate regarding promotion and tenure on the basis of policies stated in this manual. These are communicated to the college dean.
 7. Each college generates its own time schedule for accomplishing the above items, within the parameters of the university calendar.
 8. It will be the function of the Faculty Senate to legislate policy, rules or procedures regarding the Faculty Performance Evaluation System.
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Details

Scope: NMSU System

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9.21 – [Pre-AY 18/19] Faculty Promotion and Tenure – Introduction

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(fka 5.90.1)

A. Promotion and tenure decisions are the means by which NMSU rewards and retains its most valued scholars, sustains excellence in its instructional disciplines, and fulfills its mission to advance knowledge. The quality of faculty accomplishments in teaching and advising (or its equivalent), scholarship and creative activity, extension, outreach and service largely determines the quality of the university as a whole. The granting of tenure or promotion to associate or full professor represents a prediction by the university that the individual concerned will continue to make substantial contributions to the profession and the university.

B. The processes involved in promotion and tenure rely upon basic principles in order to be effective. Above all, the promotion and tenure processes must be fair, transparent, and participatory. These values mean that 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 discrimination. NMSU values the richness that inquiry based upon intellectual and cultural differences brings to the university community.

C. Each principal unit must develop written standards by the end of the Spring Semester of 2008 based on criteria developed by that principal unit subject to the approval of the dean or equivalent administrator. Criteria and procedures must be clear and readily available to all participants and must be followed by all participants at each level of the process. Therefore, it is imperative that clear standards for annual performance evaluation, promotion, and tenure be articulated and broadly publicized. Applicants for tenure or promotion must be judged on their performance of the duties assigned to them, following agreed-upon allocations of effort. The process needs to involve broad consultation by groups and individuals with successively broader views of the mission of the university, and provide the

opportunity for appeal. In order to achieve fairness, transparency, and broad-based participation, all of the parties must base decisions on the documentation called for by this rule.

D. This rule relies on the four types of scholarship defined by Ernest L. Boyer (1990) in his book “Scholarship Reconsidered”, namely, the scholarships of discovery, of teaching, of integration, and of engagement. Broadening the definition of scholarship (See **ARP 9.24** Part 2 Scholarships and Creative Activity) reflects the changing roles of faculty members in teaching and advising, scholarship and creative activity, extension, outreach and service.

E. This rule (formerly policy) takes effect at the beginning of the Fall Semester, 2008.

Details

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ARP 9.24 – [Pre-AY 18/19] Faculty Promotion and Tenure – Criteria

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9.22 – [Pre-AY 18/19] Faculty Promotion and Tenure – Glossary

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(fka 5.90.2)

Key terms used throughout this document are defined here.

- A. **Allocation of Effort:** The percentage of effort, agreed upon by the faculty member and department head or supervisor, that the faculty member will devote to each of the major categories of teaching and advising (or its equivalent), scholarship and creative activity, service, extension, outreach and other assigned duties.
- B. **Annual Performance Review:** See **ARP 9.20 — [Pre-AY 18/19] Faculty Performance Evaluation**.
- C. **College Faculty:** A faculty member on a regular (0.5 FTE or greater) appointment, who is not eligible for tenure. (See also **ARP 6.03 Employment Categories; ARP 6.35 – Non-Tenure Track Faculty Appointments**).
- D. **Core Document:** A document submitted in the portfolio for promotion or tenure that includes several specific elements: a routing form, cover sheet, table of contents, curriculum vitae, executive summary, department head and dean letters, prior and current allocation of effort statements, annual performance evaluations, summary of teaching evaluations, and letters of support. (See Rules **ARP 9.25** Parts 1 and 5).
- E. **Curriculum Vitae:** A detailed summary that reflects the candidate's educational and academic experiences that are relevant to the position.
- F. **Documentation File:** An organized collection of supplemental documents and other materials that supports, explains, or clarifies the quality and significance of the candidate's work. Administrators and committee members must have access to this file, which is stored by the Principal Unit.
- G. **Executive Summary:** A summative report and personal statement by the candidate that addresses their activities in and philosophies regarding teaching and advising (or its equivalent), scholarship and creative activity, service, extension, outreach, and other assigned areas.
- H. **Extension:** 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.

- I. **Flexibility in Tenure-Track:** The extension or reduction of the pre-tenure probationary period under certain circumstances.
- J. **Formative Evaluation:** Evaluation that allows for continuous feedback and improvement.
- K. **Joint Appointment:** A faculty line shared between two departments or colleges; the appointee enjoys all the privileges and incurs all the responsibilities normally given in each area.
- L. **Mid-probationary Review:** A formal, non-mandatory mid-term assessment requested by a tenure-track faculty member of their professional development and progress toward tenure. The mid-probationary review is in addition to the annual performance evaluation.
- M. **Outreach:** Entails an organized and planned program of activities which are offered to citizens of New Mexico and the nation; these activities bring the resources of the university to bear in a coherent and strategic fashion for the benefit of the receiving entity.
- N. **Peer Evaluation:** Assessment of teaching style, content, and effectiveness gained through observation by colleagues; the observations may come in such forms as classroom visits, participation in web-based courses, review of videotaped teaching, or reviews of course materials collected/created by the faculty member being reviewed.
- O. **Performance Evaluation:** An annual report prepared by the faculty member documenting activities in the areas of teaching and advising (or its equivalent), scholarship and creative activity, service, extension, outreach, and other assigned areas. The department head (or other assigned supervisor) provides the faculty member with a written appraisal of the faculty member's performance.
- P. **Portfolio:** Consists of the core document and documentation file that supports the candidate's case for promotion or tenure.
- Q. **Post-tenure Review:** An annual review designed to identify strengths and weaknesses of the tenured faculty member in the areas of teaching and advising (or its equivalent), scholarship and creative activity, service, extension, outreach and other assigned areas. The Performance Evaluation generally serves the above aim; however, if deemed necessary due to deficiencies, a more extensive review may be initiated. (See **ARP 9.36 – [Pre- AY 18/19] Post-Tenure Review**).
- R. **Probationary Period:** The cumulative amount of time spent under term appointments while on the “tenure-track.” (See **ARP 9.23** Part 6 – Flexibility in Tenure Track).
- S. **Principal Unit:** A tenure home unit responsible for conducting annual faculty performance evaluations and making promotion and tenure decisions. This definition includes Departments, Colleges, Community Colleges, Cooperative

Extension Service, and the Library, but not centers, clusters, or institutes.

- T. **Research:** (See Scholarship).
- U. **Scholarship:** Both activity and product, scholarship includes discovery through original research; integration through synthesizing and reintegration of knowledge; application through professional practice; and teaching through transformation of knowledge. (See Boyer, 1990 and **ARP 9.24** Part 2 Scholarships and Creative Activity).
- V. **Supporting Documents:** Material available to the Promotion and Tenure Committee in the Documentation File that serves to further support, explain, or clarify the Core Document.
- W. **Tenure:** Continuous contract granted after a probationary period to a faculty member that gives protection from dismissal without due process; the primary purpose of tenure is to protect academic freedom and offer economic security.
- X. **Tenure Clock:** (See Rule **ARP 9.23** Part 6 – Flexibility in Tenure Track)
- Y. **Tenure Home:** The principal unit where tenure and rank resides or will reside.
- Z. **Tenure-Track Faculty:** A faculty member who is eligible for tenure but who has not yet been granted tenure.
- AA. **Tenured Faculty:** A faculty member who has been granted a continuous contract by the university.

Details

Scope: NMSU System

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Related

Cross-Reference:

ARP 6.03 – Employment Categories

ARP 6.35 – Non-tenure Track Faculty Appointments

ARP 9.20 – [Pre-AY 18/19] Faculty Performance Evaluation

ARP 9.23 – [Pre-AY 18/19] Faculty Promotion and Tenure – Guiding Principles

ARP 9.24 – [Pre-AY 18/19] Faculty Promotion and Tenure – Criteria

ARP 9.25 – [Pre-AY 18/19] Faculty Promotion and Tenure – Policies

ARP 9.36 – Faculty Post Tenure Review

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9.23 – [Pre-AY 18/19] Faculty Promotion and Tenure – Guiding Principles

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(fka 5.90.3)

The following guiding principles are critical underpinnings to the promotion and tenure process at NMSU.

PART 1: FACULTY PARTICIPATION (fka 5.90.3.1)

The selection and retention of faculty members are of utmost importance to the quality of the university, the achievement of university goals, and the future of the institution. In order to ensure a fair process for recognition of excellent faculty, it shall be the policy of the university to allow faculty members to vote on the promotion or tenure of departmental colleagues, exercising collegial judgment based on an established set of criteria.

PART 2 TRANSPARENCY OF PROCESS (fka 5.90.3.2)

A. Access to Promotion and Tenure Policies/University Posting

For faculty members to trust the promotion and tenure process, they need to have a clear idea of what is expected of them, how they will be evaluated, and the rules of the process. To this end, the university website will include a specific link to the university-wide promotion and tenure rules and procedures, professional ethics related to promotion and tenure, the appeals process, and links to college, department, or division policy statements.

B. Departmental and Principal Unit Postings

1. To promote the transparency of the process, each principal unit shall post on its website its written policy document aligned with the Guiding Principles,

Criteria, and Policies outlined in these rules and procedures.

2. Websites will also contain links to the university's promotion and tenure documents, as well as to each of the department websites.
3. In addition, each department shall post on its website its current statement of goals, objectives, and expectations as these relate to promotion and tenure (sometimes called a functions and criteria statement). These shall be agreed upon by the faculty in each department and approved by the responsible dean or comparable administrator.

C. Policies to be Provided to Eligible Faculty

A written copy of promotion and tenure policies will be given to all tenure-track, tenured, college and research faculty who are eligible for consideration for promotion or tenure.

D. Conflict of Interest (fka 5.90.3.2.1)

(See **RPM 3.00 Conflicts of Interest – Ethical Conduct** and **ARP 3.13 Conflicts of Interest Arising from Consensual Relationships**)

PART 3: PERFORMANCE EVALUATION (fka 5.90.3.3)

The annual performance evaluation is a component of the promotion and tenure process. This multi-layered evaluation system relies on consistency at each level of review. The performance of each faculty member, including college faculty, will be reviewed at least once a year. The performance evaluation provides documentation of expectations and a record of faculty performance relative to stated expectations. The form of the evaluation is determined by the college or community college and shall align with promotion and tenure expectations.

(See **ARP 9.25** Part 1 Performance Evaluations and **ARP 9.36 – [Pre- AY 18/19] Post-Tenure Review**)

PART 4: ALLOCATION OF EFFORT (fka 5.90.3.4)

- A. **Service to Mission:** The amount of effort that faculty members regardless of rank or position devote to the various aspects of their duties necessarily varies, and any fair promotion and tenure process will recognize these variations. A successful process considers whether the faculty member is effectively serving the mission of the university, as defined by a department's criteria and the individual's agreed upon goals and objectives. This means, for example, that the efforts of a faculty member made in response to administrators or committees are taken into account during promotion and tenure evaluation and are not discredited.

- B. **Fairness Despite Variance in Duties:** One faculty member may devote more time to teaching at one point than at another. The efforts of two faculty members may vary at the same points in their careers according to their particular strengths and department needs. Faculty assignments in different departments will also vary. It is fundamentally unfair, for example, to expect the same amount of scholarship and creative activity, service, extension, or outreach from a faculty member teaching one class a semester as from another faculty member teaching three classes a semester or several large lecture classes.
- C. **Equitable Treatment:** In order to ensure equitable treatment, every faculty member will complete an allocation of effort statement as part of the annual evaluation process. (See also **ARP 6.61 Faculty Assignments – Teaching Load**) When determining the allocation of effort, 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. Further, for the allocation of effort statement to be accurate and useful, administrators at all levels must understand and take an active role in avoiding institutional factors that could produce an undue burden on untenured faculty members and those from underrepresented groups in the allocation of effort process.
- D. **Use of Allocation of Effort Statement** Each college shall develop and use an allocation of effort statement as specified in **ARP 9.25** Part 1 Performance Evaluations. These statements shall be a part of the faculty member's tenure and/or promotion portfolio, and all aspects of the agreed upon efforts shall be factored into the recommendation made at each step of the process.

PART 5: THE PROFESSORIAL RANKS (fka 5.90.3.5)

A. Instructor

1. Demonstrates expertise within their discipline through practical, applied, and/or related experience.
2. Individuals new to this rank may not have demonstrated ability to conduct independent scholarship and creative activity, but there must be substantive evidence of likely success at university teaching or its equivalent.
3. Instructors may be working toward a terminal degree.
4. An instructor's job description primarily relates to teaching or its equivalent and usually does not include scholarship and creative activity.
5. An instructor is not eligible for tenure, except at the community colleges.

B. College Faculty

A person holding a college faculty appointment is eligible for advancement in rank but not eligible for tenure.

C. Assistant Professor

1. Normally holds the highest terminal degree in their field of expertise.
2. Outstanding experience and recognition in a professional field may be considered the equivalent of the terminal degree.
3. An assistant professor is expected to have a thorough command of the subject matter of some segment of the discipline, in addition to a comprehension of the whole.
4. Assistant professors are tenure-track faculty members hired on a yearly, renewable contract for a maximum of seven years.
5. During the sixth year, assistant professors typically are evaluated for promotion and tenure simultaneously, having submitted their portfolio at the beginning of that year.
6. However, an assistant professor may elect to apply for tenure or promotion at any time with the written approval of department head and dean or their equivalents.
7. The application for tenure may occur only one time.

D. Associate Professor

1. An associate professor is often a mid-career faculty member who has been awarded tenure.
2. If a faculty member is initially employed at the rank of associate professor without tenure, the probationary period may vary depending upon agreements stipulated in writing at the time of initial hire.
3. Once tenured, associate professors may hold this rank indefinitely or apply for promotion.
4. Promotion to professor should not be considered to be forthcoming merely because of years of service to the university, or because tenure has previously been awarded.
5. In accordance with the principal unit's timelines, a faculty member may present a promotion portfolio in any given year.
6. An associate professor must demonstrate competence, continuous progress, and maturity over a large part of the academic field.
7. It is expected that evidence showing high quality of teaching and scholarship and creative activity has been provided and is current.

E. Professor

1. A professor, sometimes referred to as a "full professor," has established disciplinary, intellectual, and institutional leadership.
2. The professor demonstrates command and a mature view of the disciplinary

field as evidenced by teaching and advising (or its equivalent) or similar experience, scholarship and creative activity, service, extension, or outreach.

3. Faculty members initially hired at the rank of professor are often given tenure on appointment.

PART 6: FLEXIBILITY IN TENURE-TRACK (fka 5.90.3.6)

Normally, before being considered for tenure, eligible faculty members serve six consecutive probationary years. The probationary period begins with the first year of the contract. Note that according to **ARP 6.30.C. 3.**, “New tenure-track faculty reporting for duty after the last Friday in September (12-month employees) or the second Friday in October (9-month employees) will not receive a temporary contract...” The first contract will be issued at the beginning of the next contract period, which will constitute the first year of the probationary period toward tenure. During the sixth year, a case for tenure and/or promotion is made by the faculty member and considered by the university. Those achieving tenure are awarded a continuous contract at the end of their sixth year, while those not awarded tenure are given a one-year terminal contract for their seventh and final year of employment at NMSU. There may be exceptions, however, to shorten or lengthen the normal six-year probationary period.

A. Credit for Prior Service (fka 5.90.3.6.1)

1. Faculty members with previous teaching and advising (or its equivalent), service, extension, outreach, scholarly, and/or administrative experience at another institution may have some or all of that experience taken into consideration on appointment at NMSU.
2. With executive vice-president and provost approval, and particularly when tenure has been granted to a candidate at another institution, tenure may be accorded at the time of initial appointment to the university.
3. Prior probationary service at another institution may count towards the six-year probationary period at NMSU, but usually only up to a maximum of three years.
4. Any expedited schedule must be recommended by the department head and dean and agreed to by both the executive vice-president and provost and the faculty member at the time of appointment.
5. The details of such credit for prior service, the resulting length of the probationary period, the timing of any third-year review, and the period for the tenure application process, shall all be stated unambiguously in the appointment letter.

B. Extension of the Probationary Period (fka 5.90.3.6.2)

When requested in writing within one year of the qualifying event by the faculty member, leaves of absence can lead to postponement of the tenure decision date; however, modifications in that date require the recommendation of the department head and dean and the approval of the executive vice-president and provost. Faculty responsibilities may be negotiated when the extension is requested. An extension may be granted up to two times, so long as the total pre-tenure probationary period does not exceed eight years. Exceptions to this limit can be made under extraordinary circumstances if approved by the executive vice-president and provost. Candidates must be held to the same standards of performance when the probationary period has been extended as candidates whose probationary period was not extended. The probationary period may be extended, upon written request, under the following circumstances:

1. **Leave of Absence without Pay:** Probationary faculty members may request in writing a leave of absence without pay, usually not to exceed one academic or fiscal year. Prior to initiating the leave, affected faculty may request in writing a probation extension of one year.
2. **Military Leave of Absence:** Involuntary induction into the armed forces entitles the faculty member to a leave of absence to cover the term of military service. Such leave constitutes valid grounds for requesting an extension of the tenure decision date. Similarly, a faculty member's voluntary participation in a military reserve program may lead to periodic or prolonged absence sufficient to affect the faculty member's performance (*e.g.*, annual active duty training, or active duty training or participation when a reserve unit is called to active duty) that constitutes valid grounds for extension of the tenure decision date.
3. **Medical Leave of Absence:** Probationary faculty members with a serious personal illness or providing prolonged, substantive care for a chronically ill family member may request in writing an extension of the tenure decision date, usually for one year.
4. **Family Leave of Absence or Exceptional Family Responsibilities** Upon written request, probationary faculty members who become parents will receive a one-year automatic extension of the tenure decision date. Such an extension does not require that the faculty member take a leave of absence.
5. **Catastrophic Events:** Probationary faculty who have experienced a catastrophic event such as a fire or flood or who must aid family members in such situations may request in writing an extension of the tenure decision date.
6. **Jury Duty:** Prolonged jury service, when significantly affecting a faculty member's performance, constitutes a valid reason to petition for extension of the tenure decision date.
7. **Other, as Negotiated:** Extensions for other reasons may be negotiated.

C. Reduction of the Probationary Period (fka 5.90.3.6.3)

1. **Tenure Upon Initial NMSU Appointment** Faculty members who have worked in a teaching and advising (or its equivalent), service, extension, scholarly, and/or administrative role at another institution may have some or all of that work taken into consideration on appointment at NMSU. With executive vice-president and provost approval, and particularly when tenure has been granted to a candidate at another institution, tenure may be accorded at the time of initial appointment to the university.
2. **Expedited Tenure Schedule:** Prior probationary service at another institution may count towards the six-year probationary period at NMSU, but usually only up to a maximum of three years. Any expedited schedule must be recommended by the department head and dean and agreed to by both the executive vice-president and provost and the faculty member at the time of appointment. The details of such credit for prior service, the resulting length of the probationary period, the timing of any third-year review, and the period for the tenure application process, shall all be stated unambiguously in the appointment letter. In such instances, no extension of the probationary period will be granted unless the request falls in one of the categories mentioned in subsection B. above, Extension of the Probationary Period.
3. **Committee, Department Head and Dean Supported Appeal for Early Tenure Review:** Current faculty may request the length of the probationary period be shortened. Such an appeal requires the written request of the faculty member, positive recommendations of the department promotion and tenure committee as determined in the spring review, department head, and dean. If this tenure application is not successful, the candidate's contract is not renewed according to the provisions of Rule **ARP 9.43**.

D. Part-Time Faculty and Tenure (fka 5.90.3.6.4)

1. Retention of Tenure Upon Move from Full Time to Part Time

Tenured, full-time faculty members who move to part-time status may retain tenure.

- a. Retention of tenure in such a case requires the written request of the faculty member, positive recommendations of the department head and dean, and approval of the executive vice-president and provost.
- b. While this rule encourages departments to accommodate reasonable requests for part-time appointment, part-time appointments are not an entitlement, and requests may be turned down.
- c. Pending availability of funding and the approval of the department head, dean and executive vice-president and provost, the faculty member may return later to full-time tenured status. (See subsection 4. below)

2. Procedural Guidelines

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- a. When a full-time, tenure-track position becomes part time, the time in rank is prorated based on full-time equivalent (FTE).
 - b. As with full-time faculty, the maximum probationary period for part-time faculty members is the equivalent of six FTE years, with the tenure decision to be made before the end of the six full-time years of service. For example, a tenure-track candidate with a 0.50 FTE appointment must apply for tenure at the end of the 11th year.
 - c. Part-time tenure-track faculty must be held to the same standards of performance relative to FTE as full-time faculty.
 - d. If denied tenure, a faculty member on part-time appointment has only one year of continued part-time employment beyond the denial.

3. Regular Part Time Appointment Defined

Faculty members whose regular appointments are less than 0.50 FTE do not accumulate probationary time toward tenure.

4. Return from Part Time to Full Time

When recurring state funding is available, a tenure-track, part-time faculty member may apply for a full-time tenure track position and, if hired, apply earned tenure-track FTE from prior years toward tenure and promotion in the full-time position.

E. Joint Appointment (with Dual Primary Responsibilities (fka 5.90.3.6.5))

In appropriate circumstances, a faculty member may be appointed in two departments or colleges. The faculty member with a joint appointment has a memorandum of understanding from all involved units. The memorandum of understanding stipulates the expected workload and allocation of effort distributed between the two departments; identifies the principal unit where tenure resides or will reside if applicable; defines the responsibilities of the faculty member in each unit; and indicates the term of appointment. The memorandum must explain the process for performance and promotion and tenure reviews, renewal of the joint appointment, and salary increases. Each unit must provide recommendations in annual, probationary, tenure, and promotion reviews. In joint appointments with centers or institutes, the tenure home must reside in a principal unit. In joint appointments with two or more academic units, one unit must be designated, by mutual agreement, as the tenure home.

PART 7: MID-PROBATIONARY REVIEW (fka 5.90.3.7)

Tenure-track faculty members may request a formal mid-probationary review by those principal units that make such an option available. The mid-probationary

review is an optional opportunity to obtain feedback on the tenure-track faculty member's performance and is used to identify specific activities to enhance the candidate's progress toward promotion and tenure. The review is formative, intended to assist tenure-track faculty in achieving promotion and tenure and should take into account the allocation of work effort during the three years reviewed and be based upon the principal unit's criteria. The outcome must not be used as a determinant for setting merit pay or for contract continuation decisions. Principal units should see **ARP 9.25** Part 4 for additional information

PART 8: COMMUNITY COLLEGES, LIBRARY, AND COLLEGE FACULTY (fka 5.90.3.8)

The community colleges (other than Doña Ana Community College, whose division committees function as department committees), and the library faculty should begin their promotion and tenure deliberations with a committee that acts as a college-level committee. Specific variations are described below.

A. Community Colleges (fka 5.90.3.8.1)

1. **Mission and Corresponding Emphasis in Evaluation Process:** The mission of NMSU's community colleges is to provide open access to quality education and support economic and cultural life in prescribed service areas. Community colleges provide traditional liberal arts education, vocational and technical training, contract training, community interest classes, and developmental education. Every effort is made to keep programs and curricula flexible, in order to accommodate varied and expanding community educational needs. Since the community college's primary role is the dissemination of information, more emphasis is placed on teaching and advising (or its equivalent), in the evaluation process.
2. **Tenure Committees:** Due to their size, the organizational structure for tenure review at the Alamogordo, Carlsbad, and Grants campuses consists of a tenure committee at each campus that evaluates and makes recommendations to the campus executive officer.

B. The Library (fka 5.90.3.8.2)

The NMSU library faculty is expected to meet university requirements for academic appointment and promotion and tenure considerations. For these purposes, the category of librarianship is equivalent to the teaching and advising category. The NMSU Library places the highest value on the element of librarianship. Librarianship includes, but is not limited to the organization of knowledge, the understanding and use of technology as it relates to the information field, teaching, library management, service delivery, and building collections.

C. College Faculty (fka 5.90.3.8.3)

College faculty may hold ranks as described in Part 5, the Professorial Ranks, above and are eligible for promotion. A college faculty position can be converted to a tenure-track position when sufficient recurring funds are available and a national search is conducted. In relation to the promotion of college faculty, an understanding of the following guiding principles is necessary:

1. **Criteria for Promotion:** College Faculty should be evaluated for promotion based on the allocation of their effort to the areas of teaching and advising, service, scholarship and creative activity, or extension and outreach, service, and the relative mix of these duties.
 2. **Development of Promotion Procedures:** Colleges must develop specific promotion procedures for their college faculty. The protections for College Faculty are the same as those given tenure-track faculty and tenure faculty in **ARP 9.25** Parts 1, 4, and 8.
 3. **Representation on Committee:** Committees for promotion of college faculty must include college faculty representation.
 4. **Appropriate Standards for Promotion:** The different role played by college faculty should be recognized in the promotion process, and the standard for promotion should be appropriate given the role of college faculty.
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Details

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RPM 3.00 - Conflict of Interest-Ethical Conduct

ARP 3.13 – Conflicts of Interest Arising from Consensual Relationships

ARP 6.30 - Tenure Track Faculty Appointment

ARP 6.61 - Assignments - Teaching Load

ARP 9.25 – [Pre-AY 18/19] Faculty Promotion and Tenure – Policies

ARP 9.36 - Faculty Post Tenure Review

ARP 9.43 - Tenure Track Faculty - Process for Non-Renewal of Annual Contract

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9.24 – [Pre-AY 18/19] Faculty Promotion and Tenure – Criteria

arp.nmsu.edu/9-24

EFFECTIVE THROUGH AUGUST 12, 2018

(fka 5.90.4)

When considering applicants for promotion and tenure, serious attention will be given to performances in the applicable areas of teaching and advising (or its equivalent), scholarship and creative activity, service, extension and outreach, and where applicable, leadership. The relative importance of each of these areas varies according to the cumulative allocation of effort statements. Each area is vital to the university's ability to achieve its mission, and the performance of a faculty member will be viewed as an indication of future contributions.

PART 1: TEACHING AND ADVISING (fka 5.90.4.1)

A. Elements of Teaching as Essential Criterion

Teaching is central to NMSU's mission. For those who teach, effectiveness in teaching and advising is an essential criterion for tenure and for advancement in rank. The teaching and advising category includes all forms of university-level instructional activity, as well as advising undergraduate and graduate students, both within and outside the university community. Such activities are commonly characterized by the dissemination of knowledge within a faculty member's area of expertise; skill in stimulating students to think critically and to apply knowledge to human problems; the integration and application of relevant domestic and international, social, political, economic, and ethical implications into class content; the preparation of students for careers in specific fields of study; and the creation and supervision of appropriate field or clinical practicum's.

B. Responsibilities of Teaching and Advising

Teaching and advising responsibilities may include, but are not limited to, preparation for and teaching of a variety of courses, seminars, and other academic learning experiences; non-credit workshops and informal instructional activities;

course and program development; team or collaborative teaching; web-based instruction, both on and off campus; supervision of student research, performances, or productions; service on graduate student program and research committees; field supervision and administration of field or clinical experiences; production of course materials, textbooks, web pages and other electronic aids to learning; and others.

C. Forms of Faculty Advising

Faculty advising may take the form of assisting undergraduate or graduate students in the selection of courses or careers, assisting learners in educational programs on and off campus, mentoring students, serving as faculty adviser to student groups, research and teaching advising, as well as other forms.

D. Evaluation of Teaching (fka 5.90.4.1.1)

1. **Evidence By Which Teaching Effectiveness is Assessed:** Teaching is a complex and multifaceted activity. Therefore, several forms of evidence should be used to assess comprehensively teaching effectiveness. Each form of evidence should carry a weight appropriate to its importance in evaluating teaching. Such documentation must demonstrate command of subject matter, continuous growth, and development in the subject field, the ability to organize material and convey it effectively to students, assessment of student learning, revision and updates of curricula, and the integration of scholarship (for faculty who produce scholarship) and service with teaching. Materials appropriate for evaluating teaching should include: (a) evidence from the instructor, (b) evidence from other professionals, (c) evidence from students, and (d) evidence of student learning.
2. **Principal Units To Develop Guidelines:** Each principal unit is to create clear guidelines for its teaching faculty that define teaching responsibilities and specify required evidence documenting teaching effectiveness. Specific data to be included in the evaluation packet will be determined by each principal unit.

E. Evaluation of Advising (fka 5.90.4.1.2)

For promotion and tenure considerations, performance in such activities must be documented and evaluated. Each principal unit is to create clear guidelines regarding the responsibilities and documentation requirements for its faculty who advise.

PART 2: SCHOLARSHIP AND CREATIVE ACTIVITY (fka 5.90.4.2)

A. Rationale

Scholarship and creative activity involves discovering and creating, teaching and disseminating, and applying knowledge and skills to worldly concerns. This understanding is grounded in Boyer's concept of the four scholarships: (1) the scholarship of discovery involves processes, outcomes, and the passionate commitment of the professoriate and others in the university to disciplined inquiry and exploration in the development of knowledge and skills; (2) the scholarship of teaching involves dynamic, reciprocal, and critically reflective processes among teachers and learners at the university and in the community in which their activity and interaction enriches and transforms knowledge and skills, taught and learned; (3) the scholarship of engagement refers to the many and varied ways to responsibly offer and employ knowledge and skills to matters of consequence to the university and the community; and (4) the scholarship of integration is the process by which knowledge and skills are assessed, interpreted, and applied in new and creative ways to produce new, richer, and more comprehensive, insights, understanding, and outcomes.

B. NMSU Definition of Scholarship and Creative Activity

Scholarship and creative activity is both activity and product, employing dynamically interacting processes of discovery and creation, teaching and dissemination, engagement and application, and integration, in the pursuit of fulfilling the mission and vision of NMSU. Products developed through these processes, are public, open to peer review, and available for use by others. Scholarship and creative activity can take many forms, including but not limited to refereed publications. At NMSU's community colleges, scholarship and creative activity includes scholarship that is also evidenced by professional development activities that disseminate knowledge to the college's learning communities.

C. Acknowledgement of Land Grant Mission

This definition reflects the university's mission as the state's land-grant university, serving the needs of New Mexico's diverse population through comprehensive programs of teaching and advising, scholarship and creative activity, extension and outreach, and service. It addresses the breadth and diversity of scholarly and creative activity among faculty, staff, and students through which this mission is fulfilled.

D. Use of Technology is a Factor in Evaluation Categories

The dissemination and creation of scholarly work using technology is becoming increasingly important. Accordingly, it is important that promotion and tenure committees recognize this when evaluating a candidate's portfolio. The rapid pace at which technology changes makes it difficult to use a single set of evaluation

criteria to fit all cases encountered. Technology often crosses the rigid boundaries of teaching and advising, scholarship and creative activity, service, extension, and outreach, and as such, it must be evaluated in as many of these categories as appropriate. Flexibility in evaluation of the candidate's technology efforts is paramount. Reviewers must be aware of expectations placed on the candidate at the time of hiring and during annual reviews and are encouraged to evaluate technology-based scholarship and creative activity using appropriate criteria.

E. Evaluation of Scholarship and Creative Activity (fka: 5.90.4.2.1)

All scholarly activity and outcomes, regardless of funding source, must consider the following criteria adapted from Diamond:

1. The activity's purposes, goals, and objectives are clear. The objectives are realistic and achievable. It addresses important questions in the field.
2. The activity reveals a high level of discipline-related expertise. The scholar brings to the activity a high level of relevant knowledge, skills, artistry, and reflective understanding.
3. Appropriate methods are used for the activity, including principles of honesty, integrity, and the methods have been chosen wisely, and applied effectively. It allows for replication or elaboration.
4. The activity achieves its goals and its outcomes have significant impact. It adds consequentially to the field. It breaks new ground or is innovative. It leads to further exploration or new avenues for exploration for the scholar and for others.
5. The activity and outcomes have been presented appropriately and effectively to its various audiences.
6. The activity and outcomes are judged meritorious and significant by one's peers.
7. The scholar has critically evaluated the activity and outcomes and has assessed the impact and implications on the greater community, the community of scholars and on one's own work. The scholar uses this assessment to improve, extend, revise, and integrate subsequent work.

PART 3: EXTENSION AND OUTREACH (fka 5.90.4.3)

Extension and outreach are essential to the university's mission because they disseminate information to the public; help the state by promoting economic development through the dissemination of new technologies and best practices; and serve as a basis for sustainable, community-oriented, informal education that addresses local needs through faculty affiliated with each county government in New Mexico. The central role of extension and outreach is recognized in that

several principal units are dedicated to these functions. There are also numerous faculty members in other units for whom extension and outreach are major components of their duties.

A. Evaluation of Extension and Outreach (fka 5.90.4.3.1)

1. **Collaborative Effort:** Extension and outreach work is collaborative by nature. Faculty should provide evidence of collaboration with whomever necessary to identify local needs, garner resources, discover and adapt new knowledge, design and deliver programs, assess clientele skill changes, and communicate program results. Collaborative effort should also include networking with other university faculty in identified areas of program discovery, development, and delivery, including applications to teaching and advising where appropriate.
2. **Evaluation Guidelines:** To evaluate extension and outreach scholarship the following guidelines are recommended:
 - a. Faculty must provide evidence of extension and outreach scholarship in order that these [collaborative] efforts are recognized.
 - b. **The documentation should provide evidence that the work is:**
 - i. creative and intellectual;
 - ii. validated by peers;
 - iii. communicated to stakeholders; and
 - iv. have an impact on stakeholders and the region.
 - c. **Components of extension scholarship include:**
 - i. developing programs based on locally identified needs, concerns, and/or issues; targeting specific audiences;
 - ii. setting goals and objectives for the program;
 - iii. reviewing current literature and/or research for the program;
 - iv. planning appropriate program delivery;
 - v. documenting changes in clientele knowledge, behaviors, attitudes, and/or skills;
 - vi. conducting a reflective critique and/or evaluation of the program;
 - vii. validation of the program by peers and/or stakeholders; and
 - viii. communication of results to stakeholders and decision makers.

PART 4: SERVICE (fka 5.90.4.4)

Service is an essential component of the university's mission and requires that the faculty member contribute to the organization and development of the university, as well as provide service to any local, state, national, or international agency, organization, or institution needing the faculty member's professional knowledge and skills.

- A. **Evaluation of Service (fka 5.90.4.4.1):** The type and amount of service that a faculty member performs should be determined in consultation with the appropriate administrator(s). All relevant activities in which a faculty member participates should receive appropriate consideration for promotion and tenure decisions. Service contributions should be evaluated based on how they are applied and how they draw upon the professional expertise of the faculty member.

PART 5: LEADERSHIP (fka 5.90.4.5)

In demonstrating leadership, candidates must show that they are having an impact as evidenced by the candidate's scholarship and creative activity, and by contributions to the advancement of the university which may include administrative roles in which considerable and well-documented contributions to the university have been made.

- A. **Evaluation of Leadership (fka 5.90.4.5.1):** Leadership is characterized by: (1) contribution to the mission of the college or university and to the faculty member's profession; (2) participation in the distribution of responsibility among the members of a group; (3) empowering and mentoring group members; and (4) aiding the group's decision-making process.

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9.25 – [Pre-AY 18/19] Faculty Promotion and Tenure – Policies

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(fka 5.90.5)

PART 1: ANNUAL PERFORMANCE EVALUATION AND THE PROMOTION AND TENURE PROCESS **(fka 5.90.5.1)**

A. Performance Evaluation Policies (fka 5.90.5.1.1)

Performance evaluation policies in the principal units shall include the following elements:

1. A statement that Performance Evaluations are conducted annually.
2. A timeline consistent with the timeline for promotion and for tenure as described in Part 9 of the rule below.
3. The requirement that a department head or comparable administrator annually meet with all faculty members regarding progress toward promotion and tenure, the recording of objectives and goals, and the department faculty evaluation format.
4. An opportunity for the faculty member to submit a written statement in response to annual performance evaluations.
5. A procedure for transmitting the performance evaluation, along with any supporting material, from the faculty member to the faculty member's department head
6. A procedure for transmitting a written copy of the department head's or comparable administrator's review to the individual being reviewed and to the dean or equivalent administrator.
7. A procedure to certify in writing to the appropriate dean or comparable administrator that a meeting with each faculty member has occurred.

B. Performance Evaluation Forms (fka 5.90.5.1.2)

Performance evaluation forms in the principal units shall include the following elements:

1. Allocation of Effort Statement

- a. The allocation percentages will be agreed upon by the faculty member and the department head, and will be approved annually by the faculty member's department head and dean. If agreement cannot be reached, the dean or equivalent administrator may assign the allocation of effort, and the faculty member may appeal through existing university procedures. (See also **ARP 6.61 Faculty Assignments – Teaching Load**)
- b. The allocation of effort statement and percentages may be altered during the year with the mutual agreement of the faculty member, department head, and dean to reflect changing circumstances, such as service on a particularly time-consuming committee or grant, time for scholarship and creative activity, emergency teaching and advising assignments, etc.
- c. At the minimum, this statement shall contain the following elements:
 1. Percentage of effort devoted to teaching and advising or its equivalent, scholarship and creative activity, service, and extension and outreach. (The total percentage shall be 100%, but any category may be zero percent.)
 2. The number of semester credit hours, student enrollment, and level of courses.
 3. A statement of what the principal unit considers a full teaching and advising load.
 4. If the principal unit utilizes a weighting, ranking, or scoring system, the value assigned to each category must be indicated. The values must be calculated proportionately to a candidate's allocation of effort.

2. Current Position Description

3. **Submission from Faculty Member.** A written section submitted by the faculty member detailing and citing accomplishments in relation to the criteria for promotion and tenure.

4. **Written Review by Department Head or Equivalent:** A written review from the department head or comparable administrator including specific commendations, concerns, and recommendations in each of the areas of performance, as well as separate comments about progress toward promotion and tenure.

PART 2: IMPLEMENTATION OF THE PROMOTION AND TENURE PROCESS (fka 5.90.5.2)

A. Requirement for Departmental Promotion and Tenure Committee

Each department shall have a department promotion and tenure committee except as follows: the University Library, as well as the Alamogordo, Carlsbad, and Grants community colleges, do not use department promotion and tenure committees; rather, promotion and tenure actions in these units begin with the college promotion and tenure committee. In the Doña Ana Community College, a division promotion and tenure committee functions in the same manner as a department committee.

B. Requirement for Departmental Promotion and Tenure Policy

Each department shall have a written policy for promotion and for tenure. This policy shall be in accordance with **ARP 9.23 – [Pre- AY 18/19] Faculty Promotion and Tenure: Guiding Principles**, shall include criteria and procedures for promotion and for tenure, and shall be consistent with its college's criteria and procedures for promotion and tenure. The department's criteria and procedures shall be determined collaboratively by the faculty and department head subject to approval by the college dean.

C. Requirement for College Promotion and Tenure Committee

Each college shall have an elected College Promotion and Tenure Committee.

D. Requirement for College Promotion and Tenure Policy

Each college shall have a written policy for promotion and for tenure. These shall be in accordance with **ARP 9.23 – [Pre- AY 18/19] Faculty Promotion and Tenure: Guiding Principles** and shall include criteria and procedures for promotion and for tenure. The college's criteria and procedures shall be determined collaboratively by the tenure and tenure-track faculty and administration in each college and must be approved by the college dean.

PART 3: ROLES AND RESPONSIBILITIES DURING THE PROMOTION AND TENURE PROCESS (fka 5.90.5.3)

A. Candidate

1. Maintains a curriculum vitae and a cumulative personal record of the activities and accomplishments affecting the application for promotion and/or tenure.
2. Reviews the personal portfolio in relation to the criteria for promotion and/or tenure and seeks guidance from senior faculty and the department head.

3. In accordance with college procedures, requests and provides materials required in the mid-probationary period review.
4. Provides the department head with a written list of potential outside references from which letters of evaluation may be requested.
5. Requests extensions of the probationary period in accordance with **ARP 9.23** Part 6.
6. In accordance with Part 6 below, requests that the review process be terminated at any time prior to review by the executive vice-president and provost.

B. Department Head

1. Establishes and monitors a process for tenure-track faculty to mentor the candidate in developing the best case for promotion and/or tenure.
2. Provides leadership in the collaborative writing and maintenance of department promotion and tenure policy.
3. Provides initial information, timelines, and copies of all written guidelines regarding promotion and tenure expectations and policies to all new and continuing faculty members on a regular basis. Also informs tenure-track faculty of the rights to due process, appeal and informal processes for conflict resolution in promotion and tenure.
4. In the annual performance reviews of tenure-track faculty, includes written details relating to assigned duties (i.e. the teaching and advising (or its equivalent), scholarship and creative activity, service, extension and outreach and apportionment). The reviews also include separate statements addressing progress toward tenure and toward promotion including steps that should be taken to strengthen the faculty member's case.
5. Provides leadership in establishing agreed upon department guidelines for an annual review of tenure-track faculty by the department's promotion and tenure committee. This review is separate from, and independent of, the department head's annual review of each faculty member.
6. Assists tenure-track faculty who have completed five academic semesters or its part-time equivalent in preparing for an optional mid-probationary review.
7. In mitigating circumstances, explores with the candidate the need for a time extension (See **ARP 9.23** Part 6). With the approval of the candidate, seeks permission from the dean to extend the probationary period.
8. Provides assistance and guidance to faculty who are applying for promotion/tenure. Reviews the portfolio of applicants and, where needed, makes recommendations for improvement.
9. Sees that the department promotion and tenure committee submits recommendations for tenure and for promotion for all candidates.
10. Writes an independent evaluation/recommendation concerning each candidate's case for promotion and/or tenure in relation to the criteria for promotion and tenure. This recommendation may be in support of or against

supporting either promotion or tenure, or both. It should address the strengths and weaknesses, and level and nature of accomplishments of the candidate.

11. Provides candidates, written copies of the recommendation of the department promotion and tenure committee and of the recommendation of the department head. This notification must occur prior to passing the promotion and/or tenure application on to the dean and college promotion and tenure committee.
12. Places the department head's recommendation in the candidate's portfolio.

C. Department Promotion and Tenure Committee

1. Examines and reads the portfolio of each candidate.
2. Evaluates the candidate according to department promotion and/or tenure standards.
3. Considers the candidate's department assignment and role apportionment as specified in the candidate's position description and Allocation of Effort Forms.
4. Performs an annual review of tenure-track faculty following departmental guidelines and forwards results to department head and dean or equivalent administrator. This review is separate from, and independent of, the department head's annual review of each faculty member.
5. Makes recommendations to the department head pertaining to faculty members who are seeking promotion and/or tenure based on the candidate's portfolio and departmental criteria.
6. Records in each candidate's portfolio the committee's vote totals. (See Part 4 below).
7. Places the committee's recommendation in the candidate's portfolio.
8. Participates in the optional mid-probationary review process, providing formative feedback to candidates.

D. College Promotion and Tenure Committee

1. Examines and reads the portfolio of each candidate, including the department head's letter.
2. Evaluates the candidate according to department promotion and/or tenure standards.
3. Considers the candidate's department assignment and role apportionment as specified in the candidate's position description and Allocation of Effort forms.
4. Makes recommendations to the dean pertaining to faculty members who are seeking promotion and/or tenure.
5. Records in each candidate's portfolio the committee's vote totals. (See Part 4 below).
6. Places the committee's recommendation in the candidate's portfolio.

7. Participates in the optional mid-probationary review process, providing formative feedback to candidates.

E. Dean, Community College President

1. Ensures that a college-specific promotion and tenure policy is written and periodically revised and that the policy complies with university policy, rules and procedures.
2. **Assures that each department has:**
 - a. current promotion and tenure guidelines that comply with college and university policies and include date of version.
 - b. a mentoring process for tenure-track faculty.
 - c. a system of annual faculty performance evaluations.
3. In consultation with college faculty establishes policy for the constitution of a College Faculty Promotion Committee.
4. Recommends extensions of the probationary period.
5. Provides oversight for the optional mid-probationary review program.
6. Makes independent recommendations pertaining to promotion and tenure.

To do this, consider:

- a. Candidate's portfolio
 - b. Recommendations of the department promotion and tenure committees
 - c. Recommendations of the department heads
 - d. Recommendations of the college promotion and tenure committees.
7. Notifies candidates, in writing, of the recommendations of the College Promotion and Tenure Committee and of the dean. This notification must occur prior to passing the promotion and tenure applications and associated recommendations on to the executive vice-president and provost.
 8. Places the dean's recommendation in the candidate's portfolio.
 9. Meets with the executive vice-president and provost regarding promotion and tenure cases.

F. Executive Vice-President and Provost

1. Ensures that each college and each department has, and periodically updates, promotion and tenure policies that comply with university policy, rules and procedures.
2. Approves requests to extend the probationary period.
3. Meets with deans regarding promotion and tenure cases.
4. Makes an independent decision pertaining to promotion and tenure. **To do this, consider:**
 - a. Candidate's portfolio
 - b. Recommendations of the department promotion and tenure committees

- c. Recommendations of the department heads
 - d. Recommendations of the college promotion and tenure committees
 - e. Recommendations of the dean.
5. Passes promotion and tenure decisions on to the Chancellor.
 6. Notifies candidates in writing of the decision.
 7. Provides for annual training sessions for promotion and tenure committee members, department heads, and deans.

PART 4: COMMON ELEMENTS TO BE INCLUDED IN THE PRINCIPAL UNITS' PROMOTION AND TENURE POLICIES (fka 5.90.5.4)

- A. A statement that university policies regarding promotion and tenure supersede department and college policies.
- B. Statements referencing the criteria for promotion and tenure as stated in **ARP 9.24 – [Pre-AY 18/19] Faculty Promotion and Tenure – Criteria**
- C. A provision permitting a candidate to temporarily suspend the promotion and tenure time process in accordance with **ARP 9.23** Part 6.
- D. A statement regarding confidentiality of records and all committee procedures, including the manner in which confidentiality is ensured. Exceptions must be clearly indicated.
- E. A method to review and update at least every three years the written promotion and tenure policies and procedures of the principal unit. A statement to the effect that if the policy should change during a faculty member's pre-tenure or pre-promotion period, the faculty member may choose one of the policies for evaluation purposes. A procedure for the faculty member to indicate the preferred criteria must be clearly delineated.
- F. A procedure for the conduct of a mid-probationary review, if the college provides this option. Faculty who choose to participate in the review process must submit their portfolio to their department head by mid-January. The portfolio shall be prepared in accordance with Part 5 below and be reviewed by the department promotion and tenure committee, the department head, and the college promotion and tenure committee. The college committee will provide to the department head and candidate a written formative evaluation of progress. The review is conducted in accordance with the principal unit's promotion and tenure policy. (See **ARP 9.23** Part 7.)
- G. A procedure for electing the college promotion and tenure committee: All tenure and tenure-track faculty are eligible to vote during the election. When colleges choose to include college faculty on this committee, college faculty are eligible to vote for college faculty membership on the college committee.
- H. Procedure for selecting members of the department promotion and tenure committee.

- I. Definition of eligibility for serving on the promotion and tenure committees. Only tenured faculty members are eligible to vote for tenure and promotion. College-track faculty who serve on the college committee are eligible to vote on promotion of college-track faculty. In instances of promotion, committee members must hold a rank at least equal to the rank for which the candidate is applying.
- J. Provisions for term limits if desired for serving on the department promotion and tenure committee.
- K. Provisions for term limits for serving on the college promotion and tenure committee are required, except at the Alamogordo, Carlsbad, and Grants community colleges.
- L. The provision that in no case will a promotion and tenure committee be comprised of fewer than three eligible members.
- M. A provision for addressing cases where there are inadequate numbers of eligible faculty to constitute a committee. The department and/or the college promotion and tenure committees may have members from outside the department.
- N. The provision that the dean, department head, or comparable administrator may meet with the principal units' promotion and tenure committees to discuss procedural matters.
- O. The provision that the deliberations and voting of promotion and tenure committees will be conducted in closed session only among committee members.
- P. A method for surveying the committees' recommendations regarding each candidate(s) via secret written ballot. Voting must be in person. Absentia and proxy ballots are not permitted. All vote counts must be recorded.
- Q. A method for the principal units' promotion and tenure committees to submit a letter summarizing its recommendations and the numerical vote count on each candidate to the department head and college dean or comparable administrator. **The recommendation must:**
 - 1. Reflect the majority view.
 - 2. Contain specific commendations, concerns, and recommendations addressing the department's criteria in each of the areas required for promotion and tenure
 - 3. Allow for dissenting opinions containing specific commendations, concerns, and recommendations addressing the criteria in each of the areas required for promotion and tenure.
- R. A method for informing each candidate in writing of the principal units' recommendations and numerical vote count, the department head's letter, and/or the dean's or comparable administrator's letter.
- S. The provision that a candidate may withdraw from further consideration in accordance with Part 6 below.
- T. Guidelines for preparing the portfolio. (See Part 5 below.) The parties shall

refer to the individual college policies for additional guidelines.

- U. A mechanism to provide candidates with sample portfolios. If the portfolios of actual persons are used, written permission must be obtained from the owner of the portfolio.
- V. A procedure for indicating how and when a candidate may change, add, or delete materials from the portfolio after the portfolio is submitted to the committee for review.
- W. A statement regarding the location where the documentation file will be stored and accessed for review.
- X. A procedure for indicating how and when evaluators may request additional information. All requests must be made in writing and transmitted to the candidate.
- Y. A procedure allowing the candidate to review all items included in the portfolio assembled prior to the review by appropriate committees, administrators, and/or external reviewers.
- Z. **A procedure for soliciting external letters which incorporates the following:**
 - 1. The number of letters shall be solicited for each candidate.
 - 2. Specifications regarding who is responsible for obtaining the letters and how the letters will be placed into the candidate's portfolio.
 - 3. Specifications regarding how much and what type of material is supplied to reviewers. The department and/or college policies and criteria for tenure and promotion must be provided to reviewers.
 - 4. Specifications regarding the criteria for serving as an external reviewer.
 - 5. **Instructions to reviewers including:**
 - a. A request for a brief statement regarding the individual's qualifications for serving as a reviewer.
 - b. A request that the reviewer indicate the relationship between the candidate and reviewer.
 - c. Notification that the candidate will have an opportunity to read the letter of assessment.
 - d. Notification that third parties in the event of an EEOC or other investigation into a tenure or promotion decision may review letters.
- AA. A statement addressing the role, if any, of unsolicited letters.
- AB. A statement regarding post-tenure review in accordance with the university's **ARP 9.36 – [Pre- AY 18/19] Post-Tenure Review**.
- AC. Reference to the appeals process as outlined in **ARP 3.25 – Discrimination, Harassment and Sexual Misconduct on Campus** and **ARP 10.60 Faculty Grievance Review and Resolution**.
- AD. Develop a procedure for reviewing the university's Conflict of Interest policies, rules and procedures with the promotion and tenure review committee(s).

PART 5: PORTFOLIO PREPARATION (fka 5.90.5.5)

In accordance with department and college guidelines, the candidate is responsible for submitting a promotion and tenure portfolio comprised of a core document and documentation file. The college guidelines shall specify the inclusion of the following core document elements in this order. **The combination of items listed at D. through F. shall not exceed 50 pages:**

- A. A routing form developed by the college with spaces for the required signatures.
- B. A cover sheet indicating the candidate's name, current rank, department and college.
- C. Any written documentation generated throughout the promotion and tenure process, including the numerical vote counts of the promotion and tenure committee(s).
- D. A table of contents.
- E. Candidate's executive summary.
- F. A curriculum vitae.
- G. Annual performance evaluations for the period under review, including the allocation of effort statements, the goals and objectives forms, written statements submitted by the faculty member as a part of the annual performance evaluations, the supervisor's written comments, and any response made by the candidate to the supervisor's written comments. Numerical rankings, ratings, or vote counts should be removed. (*See also **ARP 9.23** Part 3 and Part 1 of this rule.*)
- H. The most recent complete conflict of interest form.
- I. Principal units' mission statements.
- J. External reviews.
- K. **Documentation File (fka 5.90.5.5.1)**
Supplementary materials provided by the candidate related to the areas of faculty activity. This material is not routed beyond the College Promotion and Tenure Committee, but is available for review.
If this is an application for tenure, the candidate is to include evidence of contributions since starting at NMSU, plus evidence from other institutions if credit for prior service is applicable. If this is an application for promotion, then the candidate is to include evidence of contributions since the last promotion or tenure review.

PART 6: WITHDRAWAL (fka 5.90.5.6)

A. Voluntary Withdrawal from Consideration

A candidate may withdraw from consideration at any time prior to the final signature of the executive vice-president and provost. A candidate shall prepare a letter requesting withdrawal from further consideration. The letter shall be transmitted to the dean or comparable administrator. All documents shall be returned to the candidate and nothing relating to the application for promotion and/or tenure shall be placed in the candidate's personnel file.

B. Withdrawal in Fifth Year of Service

If the candidate is in the fifth year of service, withdrawal from consideration for tenure must be accompanied by a letter of resignation submitted to the dean or comparable administrator no later than the end of the fifth-year contract period. The resignation shall be effective no later than the end of the sixth-year contract period.

PART 7: OUTCOMES (fka 5.90.5.7)

A. For full-time tenure-track candidates

1. If tenure is recommended, the executive vice-president and provost will send a Contract of Employment (Continuous Appointment) Form through the dean or comparable administrator and the department head to the candidate.
2. If tenure is not recommended, the department head will give a signed Contract Status Form to the candidate for signature acknowledging notification of non-renewal.

B. For part-time tenure-track candidates, in addition to the provisions for full-time tenure-track candidates

1. If tenure is recommended, it is for the FTE as stated in the initial contract or as negotiated.
2. If tenure is not recommended, a faculty member has only one year of continued part-time employment beyond the denial.

C. For all candidates

1. If promotion is recommended, the effective date is at the beginning of the ensuing contract year.
2. If promotion is recommended, it shall be the policy of the university that all promotions shall include a salary increase, irrespective of other salary increases.
3. In the case of a negative promotion decision, the executive vice-president and provost will inform the candidate in writing.
4. The executive vice-president and provost is responsible for informing the

Chancellor of the recommendations of the department head, college dean, or comparable administrator and the decision of the executive vice-president and provost.

5. The executive vice-president and provost will prepare an official list of promotion and tenure decisions for distribution to relevant deans, comparable administrators, the vice-president for administration and finance, and the assistant director of human resource services.
6. Tenure-track faculty members whose probationary contract is not renewed and who have another year before the termination of that contract do not submit a promotion and tenure portfolio during their final year. If the non-renewal is being appealed on the basis of failure to follow procedure or discrimination, then the appellant may complete a packet and have it held in suspension until the grievance is resolved. If the individual is successful in the appeal, the portfolio will be considered by the parties involved in the promotion and tenure process.

PART 8: APPEALS (fka 5.90.5.8)

(See **ARP 3.25 Discrimination, Harassment and Sexual Misconduct on Campus** (for complaints of discrimination); **ARP 10.60 Faculty Grievance Review and Resolution** (for faculty grievances, including violation of policies or procedures); and **ARP 10.50 Faculty Alleged Misconduct Investigation, Discipline and Appeals Processes** (for appeals from disciplinary action, including involuntary termination).

PART 9: UNIVERSITY TIMELINE FOR PROMOTION AND TENURE (fka 5.90.5.9)

Each college shall determine a timeline for conducting promotion and tenure reviews. The dates indicated here are suggested guidelines as 12-month appointments may require a different time schedule.

- A. **Spring:** The department head notifies potential candidate of eligibility for promotion and/or tenure review. Department promotion and tenure committee reviews the portfolio of each faculty member and in accordance with college policies reports to the department head indicating the progress towards promotion and/or tenure as well as the strengths and weaknesses in each of the areas required for promotion and tenure. Department head informs the candidate in writing of the department promotion and/or tenure committee recommendations.
- B. **June, July, August:** The candidate with support from the department and college prepares the candidate's portfolio. (See *a/so* Part 5, Portfolio

Preparation, above.)

- C. **September:** The candidate provides the completed portfolio to the department head.
The department head makes the completed portfolio available to the Department Promotion and Tenure Committee. The portfolio can only be amended hereafter in accordance with department and college guidelines.
- D. **October:** The Department Promotion and Tenure Committee considers the completed portfolio of the candidate.
- E. **October – December:** The college dean or comparable administrator transmits the Department Promotion and Tenure Committee and department head reports and numerical ballot results to the College Promotion and Tenure Committee.
The College Promotion and Tenure Committee reviews the department head's and the Department Promotion and Tenure Committee's recommendations.
The College Promotion and Tenure Committee informs the dean or comparable administrator if a department fails to follow department and/or college procedures.
The College Promotion and Tenure Committee reviews the portfolios of all tenure-track faculty members no later than their sixth year of service unless **ARP 9.23** Part 6 applies.
The College Promotion and Tenure Committee submits a written recommendation on the candidate to the department head, candidate, and dean or comparable administrator in accordance with the college's promotion and tenure policy.
- F. **January – February:** The college dean or comparable administrator reviews the candidate's portfolio, makes a recommendation, and informs the candidate in writing of the recommendations of the College Promotion and Tenure Committee and the dean or comparable administrator.
The college dean or comparable administrator transmits to the executive vice-president and provost all recommendations including numerical votes.
- G. **March – April:** The college dean or comparable administrator meets with the executive vice-president and provost to review each candidate. The executive vice-president and provost's decision is indicated in writing.
The executive vice-president and provost informs the Chancellor of the recommendations of the department head, college dean, or comparable administrator and the decision of the executive vice-president and provost.
- H. **April – May:** Final notifications of decisions are sent through the executive vice-president and provost, dean or comparable administrator, and department head to the candidate.
The executive vice-president and provost prepares an official list of promotion and tenure decisions for distribution to relevant deans, comparable administrators, the vice-president for administration and finance,

and the assistant vice president for human resource services.

The dean or comparable administrator notifies the department head, who in turn notifies the faculty member.

- I. **July:** Promotion and tenure decisions become effective.
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Details

Scope: NMSU System

Source: ARP Chapter 9 | HR - Performance Evaluation, Promotion and Tenure

Rule Administrator: Executive VP and Provost

Last Updated: 08/01/2008

Related

Cross-Reference:

ARP 3.25 – Discrimination, Harassment and Sexual Misconduct on Campus

ARP 6.61 – Assignments – Teaching Load

ARP 9.23 – [Pre-AY 18/19] Faculty Promotion and Tenure – Guiding Principles

ARP 9.24 – [Pre-AY 18/19] Faculty Promotion and Tenure – Criteria

ARP 9.36 – Faculty Post Tenure Review

ARP 10.50 – Faculty Alleged Misconduct Investigation, Discipline, and Appeals Processes

ARP 10.60 – Faculty Grievance Review and Resolution

Revision History:

2017 Recompilation, formerly Rule 5.90.5

07/15/2008 Amendments ratified by Board of Regents, with 08/01/2008 effective date



9.36 – Faculty Post Tenure Review

arp.nmsu.edu/9-36

(fka 5.87)

PART 1: INTRODUCTION (fka 5.87.1)

The Post-Tenure Review rule ensures that all tenured faculty members will receive an annual review and that those with either exceptionally fine performance or serious deficiencies in one or more areas will be identified. Special achievement shall be rewarded in a manner determined by each college or community college campus. For a tenured faculty member who receives two successive unsatisfactory annual reviews with identified and uncorrected serious deficiencies, this rule provides a mechanism to establish a remedial program for correcting the deficiencies. The legislation to which this rule responds is particularly concerned with the quality of teaching, and that fact shall be considered when taking any action under this rule. In particular, faculty whose teaching needs improvement will be urged to take advantage of “programs designed to assist faculty members in enhancing their teaching skills.” (NMSA 1978, Section 21-1-7.1)

PART 2: ANNUAL REVIEWS (fka 5.87.2)

A. Annual Review for Tenured Faculty

Tenured faculty members annually participate in and receive an extensive examination of their teaching, their research and scholarly output, and their service as part of the annual review process conducted in accordance with **ARP 9.31 – [Effective AY 18/19] Annual Performance Evaluation – Regular Faculty**. This annual review document shall be labeled the Post Tenure Review of each tenured faculty member. This Post Tenure Review shall weight the three areas of teaching, scholarly work, and service in proportion to the percentage each category is given in the faculty member’s allocation of effort for a given year.

B. Post Tenure Review Not Applicable for Full Time Administrators

Administrators who hold tenured faculty rank are reviewed on the performance of

their faculty duties (teaching, research, and service). Administrators who have no assigned faculty duties will not be reviewed under this rule.

PART 3: MORE COMPLETE POST-TENURE REVIEWS (fka 5.87.3)

A. Notification to Faculty Member about Deficiency

If, in the judgment of a superior, the annual review for a tenured faculty member shows a serious deficiency in the performance of that faculty member, the superior shall inform the faculty member in writing of the deficiency as well as recommend actions the faculty member might take to address the issue.

B. Deficiency Not Rectified

If the deficiency or deficiencies continues for two or more years and if the faculty member has not taken the corrective actions, one of two possible courses of action may ensue:

1. The faculty member may request that the superior submit the record of poor performance and suggested actions to the other tenured faculty members of the unit for consideration in a more complete review, or
2. If the faculty member does not request the review, the superior may initiate such a review with the concurrence of a majority of the tenured faculty in the academic unit.

C. Goal of and Procedures for More Complete Review

The more complete review shall have the aim of identifying strengths and weaknesses of the faculty member in teaching, research, and service.

1. This review shall be undertaken by the departmental promotion and tenure committee.
2. If there is no departmental promotion and tenure committee for that unit, the review will be undertaken by the equivalent college-level promotion and tenure committee as specified **ARP 9.35 – [Effective AY 18/19] Faculty Promotion and Tenure Reviews: Procedural Guidelines and Timeline** of this manual.
3. Student evaluations must be considered when evaluating the faculty member's teaching, along with other factors.
4. If the reviewers conclude that the faculty member's performance is not seriously deficient, the faculty member shall be so informed and a statement of the finding placed in the faculty member's personnel file.
5. If serious deficiency is found, a specific remedial program shall be developed

in consultation with the faculty member that includes procedures, criteria for evaluating progress, and a reasonable timetable. If the faculty member's teaching needs improvement, such a program might include participation in programs offered by the Teaching Academy, mentoring by a recipient of teaching awards, intensive study of videotaped classroom sessions, etc. When research and publication needs improvement, collaboration with another faculty member and participation in workshops on publishing might be indicated. However, in accordance with NMSA 1978, Section 21-1-7.1, part E(1), any remedial effort can be no shorter than two years in length.

PART 4: ENHANCEMENT PROGRAM (fka 5.87.4)

Whether or not a tenured faculty member accepts the recommendation to participate in a teaching or scholarly work enhancement program, and whether or not the member performs well in the program, the faculty member's performance will be judged on subsequent teaching and scholarly work.

PART 5: FREQUENCY OF REVIEW (fka 5.87.5)

The more complete review shall not be initiated for any tenured faculty member more frequently than once every five years.

PART 6: PERSISTENT TEACHING DEFICIENCIES (fka 5.87.6)

If a tenured faculty member's teaching deficiencies are considered by the executive vice president and provost to be very serious and to have been uncorrected at the conclusion of the agreed time period, and further, if there is evidence that the faculty member's teaching performance has deteriorated since the award of tenure such that the faculty member's teaching performance is now typically unsatisfactory, the executive vice president and provost shall recommend loss of tenure for the faculty member in question.

If tenure is to be revoked, the university shall follow the processes specified in **ARP 10.50 – Faculty Alleged Misconduct Investigation, Discipline and Appeals Processes** for Involuntary Termination of a Continuous Contract, subject to the safeguards of due process.

PART 7: REPORTING (fka 5.87.7)

Every year, each academic dean and the chief community college executive officer of each campus shall report to the executive vice president and provost.

1. The number of tenured faculty receiving annual evaluations,
 2. The number receiving unsatisfactory evaluations,
 3. The number of tenured faculty who have been the subject of a more detailed peer review,
 4. The number of faculty who have participated in a remedial program as a result,
 5. The results of those programs,
 6. And the number of faculty whose tenure have been revoked
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Details

Scope: NMSU System

Source: ARP Chapter 9 | HR - Performance Evaluation, Promotion and Tenure

Rule Administrator: Executive VP and Provost

Last Updated: 09/08/2006

Related

Cross-Reference:

ARP 9.31 – [Effective AY 18/19] Annual Performance Evaluation – Regular Faculty

ARP 9.35 – [Effective AY 18/19] Faculty Promotion and Tenure Reviews: Procedural Guidelines and Timeline

ARP 10.50 – Faculty Alleged Misconduct Investigation, Discipline, and Appeals Processes

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