Faculty Evaluation, Tenure, and Promotion

NEW MEXICO STATE UNIVERSITY
COLLEGE OF ARTS AND SCIENCES

Faculty Evaluation, Tenure, and Promotion in the
Department of Mathematical Sciences

The following is a description of the implementation in the Department of Mathematical Sciences of NMSU's Performance Evaluation, Promotion, and Tenure policies and procedures for tenure-track faculty members. The latter is, in turn, part of the Policy Manual of New Mexico State University, which contains the definitive statement. Full information is available in the Faculty Policies section (Chapter 5) of the Policy Manual.

I. EVALUATING BODIES
A. THE DEPARTMENT HEAD AND ADVISORY COMMITTEE: The Department Head is advised on departmental matters by an Advisory Committee, consisting of the Associate Department Heads and three members of the tenured faculty elected by the tenure-track faculty. This Committee advises the Department Head on procedures, interpretation of policies, recommendations to and from the faculty, and annual evaluations. In particular, the Advisory Committee assists the department head in all evaluations.

B. PROMOTION AND TENURE COMMITTEES: The Departmental Committees on Tenure, Promotion to Associate Professor, and Promotion to Professor are described in the sections on Continuation, Tenure, and Promotion Considerations below. Each member of each committee has the right and obligation to read the files of candidates under consideration by that committee and to be present for discussions and votes about annual progress reviews and for discussions and votes. Each committee has an elected subcommittee as indicated.

II. THE BASES FOR EVALUATION
A. General Remarks

1. Performance in regards to teaching, research and other creative work, and service constitutes the overall basis for evaluation. The department considers an even balance of time and energy on teaching and on creative output ideal. Somewhat
less weight will be given to service and outreach activities. Insofar as interplay between teaching, research and service and outreach is encouraged, but leaves a lot of grey area, distribution of effort and specific annual goals will be agreed upon by the faculty member and the Department Head. Specific weighting of efforts will be agreed on by the individual and department head.

2. Active participation in functions such as regularly scheduled meetings and seminars and colloquia is necessary for a vibrant department. A reasonable degree of participation in such activities is expected.

3. The following criteria are intended to apply to full time tenure-track appointments solely within the department. For joint appointments with other departments, prior to the appointment, the heads of departments involved and the faculty member will agree in writing on criteria and procedures for evaluation.

B. Teaching

1. It is important that guidelines outlined in the "Information for the instructor" webpage or on the graduate program webpage are followed, when applicable, particularly in courses that cover prerequisite material for subsequent studies or comprehensive exams. Each faculty member is responsible for providing information on teaching activity and performance. Some of the information used in evaluating teaching performance may be obtained from course materials, student surveys and comments, critical self-evaluation, and peer observations by faculty members who visit classes. A brief expression of teaching philosophy should be provided.

2. It is expected that as a member of the faculty, the individual will be available to students outside the classroom as a teacher, mentor, and an advisor (formal and informal) as appropriate.

3. Course development, course coordination, and appropriate use of innovative methods and media (with the approval of the Department Head when appropriate) may be also considered.
C.  **Research and creative activity**

1. Faculty members should take advantage of the fact that virtually all areas of mathematics and mathematics education have recognized journals that emphasize theory, methods, or applications. Such publications are the principal means of communication to the profession but textbooks and reference books are also important. **Faculty members are expected to contribute to the advancement of knowledge through peer reviewed work.** Articles may be expository; in some cases, these may lead to lecture notes, monographs, etc. **Expositions written for the broader mathematics community or general public are a recognized form of outreach as well.** Creative interaction with K-12 schools is also encouraged, especially when leading to published work and/or development and publication of curricular materials for university courses or for use in K-12 teaching. [[*Technical reports are considered only as preliminary to the submission of more polished articles.*]]

2. **The presentation of papers and research at** local, regional, national and international seminars, meetings, workshops, and conferences and even less active participation therein should also be part of a faculty member's activities. [[*These activities indicate the value placed by the mathematical community on a faculty member's research.*]]

3. Many faculty members receive support for creative activity from sources external to the University. **Application for such grants is highly encouraged. The degree of success in these efforts will be weighted against such factors as sources and availability and competitiveness of funds.** *

4. **Short and long term visits at mathematical research institutes and outside mathematics departments and the participation at long term research programs may be also considered.** *

5. **Organizing meetings and other research activities which will be also considered.**

6. The quality of the publications and outcomes of other continued creative efforts is more important than the
quantity of work produced. **Individuals are encouraged to provide evidence or recognition of the quality of one’s work when appropriate.**

D. **Service and outreach**

1. Service to the profession includes refereeing, reviewing and editing for journals and performance as officers and committee members of professional organizations. Other forms of refereeing and consulting (consistent with the guidelines in the Policy Manual) might be performed for government agencies, professional societies, commercial publishers, etc.

2. There are many opportunities to assist faculty members and students of other departments in their research and teaching; interdepartmental cooperation is especially desirable. Faculty members are encouraged to participate also in the committees of the College and University.

3. Outreach to the community is encouraged, including K-12 presentations and student recruiting, judging science projects, providing expert information to media etc.

4. Service within the Department is expected and is manifested in various committees, standing and ad hoc, for administration, undergraduate and graduate programs, interdisciplinary programs, student advising, service courses, textbooks, departmental examinations, placement examinations, etc.

*Academic leave. Academic leave is a useful means of helping to establish or solidify one’s reputation in the research community and to enhance the reputation of the department and university as a whole; coordinating such leave, however, can pose significant challenges to the department head and can affect the functioning of the department as a whole. It is not guaranteed that non-sabbatical leave requests will be granted. In the case of non-tenured faculty, such leave might not be counted as time toward tenure. Requests for leave should be made well in advance. The department head should also be informed in advance about applications for grants and contracts involving course buy outs.*

III. **ANNUAL EVALUATION**

A. **Assignment of Teaching, Research, and Service**

1. Normally an untenured faculty member is assigned a six-credit teaching load with the expectation that the additional time for scholarly activity will be used productively. Such a faculty
member is not expected to be very active in the area of service during the first few years.

2. Typically, tenure-track faculty members have 45% of their time allotted to teaching, 45% allotted to research, and 10% to service. Under special circumstances the Dean and Head may agree to alternative distributions of effort.

3. Teaching assignments are made to meet student needs in lower division, upper division, and graduate level courses. They are commensurate with a faculty member’s interest and expertise. Variations in class sizes and levels are considered.]

B. Procedures

1. In early fall, each faculty member receives an annual report form which suggests the organization of material for evaluation on the bases given above. The Department Head confers with each regular faculty member regarding accomplishments of the past year and goals for the following year. Written expression of these goals is included in the files of untenured tenure-track faculty members. The Department Head or the individual involved may request a conference of tenured faculty members.

2. Normally, prior to the beginning of the third year of a faculty member’s appointment at New Mexico State University, the Department will conduct a comprehensive performance review, including requests for external letters for evaluation. In the case of untenured faculty members, this review gives guidance as to whether the growth of a faculty member is appropriate. The Department Head will advise these faculty members of their strengths and weaknesses, but this is not to be construed as a formal consideration for tenure.

3. In consultation with the Advisory Committee of the Department, the Department Head rates each faculty member and formulates recommendations to the Dean based on the allocation of effort agreed upon with the faculty member. (Salaries are determined after the legislature has appropriated funds.) After approval by the Department Head, the Dean, and the chief academic officer of the University, final salary determinations are reported verbally to each faculty member by the Department Head. (Provisions for appeal are outlined in the Faculty Handbook.)

IV. CONTINUATION AND TENURE CONSIDERATIONS

A. The Committees

1. The Committee on Tenure consists of all tenured faculty members.
2. The Subcommittee on Tenure consists of at least three tenured faculty members elected by written ballot by the tenured faculty. Members of the Advisory Committee normally do not serve on this Subcommittee.

B. The Committee Files

1. Each untenured faculty member should maintain a file containing publications, information on teaching, annual reports, a curriculum vita, and a summary of professional activities. Refer to the web document Faculty Files. [[Guidelines for this, provided by the Dean of the College of Arts and Sciences, may be obtained from the Department Head.]]

2. This file should be [[updated at least once each year]] kept up to date to assist the faculty member and the Department in preparing a case for continuation, tenure and promotion.

3. The Department Head will maintain a separate file for sensitive material, in particular, letters of evaluation.

4. During the college review phase of the tenure decision process, a separate external file will serve as a representation of the candidates work. The file should fit into a small three ring binder and include:

   (a) A Current Vitae

   (b) Annual Reports

   (c) A statement on teaching (teaching philosophy) which includes courses taught, overall teaching load, summary of student evaluations, mentoring activities of undergraduates and graduates as well as involvement in pedagogical development.

   (d) A sketch of scholarly work including a description of important publications and activities.

   (e) A brief descriptive list of service and outreach.
C. Procedures for Tenure

1. In March, the Department Head convenes the Committee. The Head apprises them of the general status of the untenured faculty members with respect to length of service, degree dates, tenure timetable, etc. Nominations for the Subcommittee are made at this meeting.

2. Immediately after the election, the Subcommittee selects a chair, who then informs the untenured faculty members that they should update their files with information on their teaching, research and service, and that they should be prepared to meet with members of the Subcommittee.

3. The Subcommittee coordinates examination of the files, publications and annual reports of the untenured faculty members [[and requests information from other faculty members]].

4. In April, the Subcommittee makes a preliminary report to the Committee on Tenure. After appropriate discussion, the Committee on Tenure selects the names of those untenured faculty members for whom outside letters of evaluation will be requested.

5. The chair of the Subcommittee informs each of the untenured faculty members for whom outside letters are not to be requested. Such faculty members may express their desire to have letters requested and the Subcommittee will adjoin them to the list of persons under consideration. Otherwise, they will not be included in evaluations for tenure or promotion in the current year. Please refer to Section 5.90.3.6 of the Academic Policies and Procedures manual regarding flexibility in the tenure-track timetable.

6. The chair of the Subcommittee invites the untenured faculty members for whom outside letters will be requested to submit a list of four or five persons who are competent to evaluate their work. The candidate may provide a list of names where potential conflicts should be recognized.

7. For each faculty member under consideration, the Subcommittee selects qualified outside references, typically five when tenure is to be an option, not all from the list submitted by the faculty member.
8. The Department Head directs the collection of appropriate materials to be sent to the persons doing outside evaluations, makes the requests for these letters, and renews the inquiry until a response is obtained. **Review materials include vita, published work, and manuscripts accepted for publication. Candidate may choose to include a statement of professional accomplishments [[and submitted work]], with the understanding that referees are not obliged to judge results that have not been accepted for publication. At least three outside letters, and preferably four or five, should be obtained.** The Department Head is responsible for informing the outside evaluators and the candidate that these letters are non-confidential.

9. During June, July and August the faculty members under consideration prepare their portfolios. These portfolios are due at the beginning of September. The Subcommittee on tenure will prepare a report for the entire Committee on tenure by the beginning of October.

10. **All tenured faculty members are obligated to study the files, including the outside evaluations, [[so as to be able to make their professional assessments of the persons under consideration]].**

11. The Subcommittee presents its findings and preliminary recommendations on tenure or termination in writing to the Committee on Tenure (early October); this is followed by frank and open discussion of the persons under consideration at one or more meetings. [[At an appropriate time, the Committee on Tenure decides which of these persons are to be voted on for tenure. The chair of the Subcommittee informs each of these faculty members. ]][[In cases of early promotion or tenure, the Committee on Tenure can terminate the process at this point]]

12. Paper ballots on tenure are distributed to the Committee on Tenure, their tally is reported to the Committee by the Subcommittee, and taken to be the recommendation of the Committee.

   The Committee on Tenure **applies** the following criteria in continuation and tenure considerations.
a. For candidates [[with less than six years in a tenure-track position at New Mexico State University][whose years of credit towards tenure plus service at New Mexico State University is less than six]], the ballot will allow a vote for continuation or termination. In special cases, the ballot may include a vote for tenure.

If at least two-thirds of the tenured faculty members vote for continuation (or tenure), generally, continuation will be recommended. If between one-third and one-half vote for termination, a recommendation to this effect will be considered seriously. If more than one-half vote for termination, this will be considered as a recommendation for termination.

b. For candidates in their sixth year in a tenure-track position at New Mexico State University, the ballot will allow a vote for tenure or termination.

If less than 2/3 of the tenured faculty members vote for tenure, ordinarily tenure will not be recommended. If the vote is at least 4/5 for tenure, this will be taken as a recommendation for tenure.

University procedures provide for transparency and candidate advocacy. A ballot against continuation or tenure will not be counted unless it explicitly cites reasons which fall under
University or Departmentally recognized criteria as laid out in Section 5.90.4 of the Academic Policies and Procedures manual and the departmental Functions and Criteria statement.

13. The Committee on Tenure presents to the Department Head, in writing, its vote results and recommendation for continuation, tenure or termination of each untenured tenure-track faculty member under consideration for tenure.

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

15. The Department Head informs each person under consideration at this point of the voting and the two written recommendations to be made to the Dean.

D. Procedures for Continuation

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

2. Individual members of the tenured faculty study the files so as to be able to make their professional assessments of the untenured, tenure-track faculty members.

3. The Subcommittee presents its findings and preliminary recommendations on continuation or termination in writing to the Committee on Tenure (February); this is followed by frank and open discussion of the persons under consideration at one or more meetings.

4. Ballots on continuation are distributed to the Committee on Tenure, their tally is reported to the Committee by the Subcommittee, and taken to be the recommendation of the Committee. A ballot for termination will not be counted unless it explicitly cites reasons which fall under University or Departmentally recognized criteria.

5. The Committee on Tenure presents to the Department Head, in writing, its vote results 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.

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

7. The Department Head informs each untenured, tenure-track faculty member of the voting and the two written recommendations.

IV. PROMOTION CONSIDERATIONS

A. To Associate Professor

1. Usually, an associate professor will have served at least four years as an assistant professor and will have demonstrated competence and maturity and a potential to contribute to the Department. There must be evidence of substantial scholarship beyond that completed for the doctorate.

2. The Committee on Promotion to Associate Professor consists of all tenured associate and full professors.

3. The Subcommittee on Promotion to Associate Professor consists of three members elected via written ballot by and from the full Committee. Members of the Advisory Committee normally do not serve on this Subcommittee. Procedures parallel to those for tenure considerations are followed.

D. To Professor

2. A professor, through a balance of teaching, creative activity, and service, will have demonstrated sound scholarship and a mature view of the discipline. A professor also will have demonstrated leadership, through initiative, perseverance, and originality. While no specific timetable qualifies or prohibits an Associate Professor as potential candidate for the rank of Professor, under normal circumstances candidate will have as an Associate Professor for a few to several years. Promotion to professor is not to be considered merely upon the basis of longevity in the Department. It is recommended that a potential candidate seek feedback through consultation with one’s Department Head and members of the Committee on Promotion to Professor before making a formal request to the Subcommittee on Promotion to Professor to initiate the promotion process.

3. As with tenure and promotion to Associate Professor, this process should begin in early spring. The main steps and timetable of the process are essentially the same as those for Promotion to Associate Professor. If a candidate fails to obtain a 2/3
vote that is ordinarily required, a written record of concerns brought up in
meetings of the Committee on Promotion to Professor must be provided.]]

4. The Committee on Promotion to Professor consists of all tenured professors.
5. The Subcommittee on Promotion to Professor consists of three members elected
via written ballots by and from the full Committee. Members of the Advisory
Committee normally do not serve on this Subcommittee. Procedures analogous to
those for tenure considerations are followed.

(1) Nothing in this document is to be construed as superseding the Policy Manual of New
Mexico State University.

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