NEW MEXICO STATE UNIVERSITY
COLLEGE OF ARTS AND SCIENCES
Faculty Evaluation, Tenure, and Promotion in the
Department of Mathematical Sciences (1)

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 definitive statement can be found in the Faculty Policies section (Chapter 5) of the NMSU Policy Manual.

I. EVALUATING BODIES
A. The Department Head and Advisory Committee: The Advisory Committee advises the Department Head on departmental matters. Its make-up is described in departmental by-laws. The tenured members of the Advisory Committee assist the department head in annual appraisals of tenured and tenure-track faculty.
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 obligation to review the files of candidates under consideration by that committee and to participate in 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 and outreach 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, creative activities, 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 in writing on an annual basis. General guidelines can be found in Section 5.20 of the Policy Manual. Tenured and tenure-track faculty who contribute to the department’s mission in essential ways such as graduate and undergraduate student advising, coordination of degree programs, etc., normally are assigned two courses per semester. In some cases this load can be reduced through a course buyout. In extraordinary circumstances, a tenured faculty member who is not adequately supporting the department’s research and service missions may have his or her workload adjusted in consultation with the department head.
2. Participation in regularly scheduled meetings, seminars, and colloquia is necessary for a vibrant department. A reasonable degree of participation in such functions is expected.
3. The following criteria are intended to apply to full-time tenure-track appointments solely within the department. In the case of a joint appointment with another department, 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 the
case of a course that covers prerequisite material. Information used in evaluating teaching performance may be obtained from course materials, student surveys and comments, critical self-evaluation, peer classroom observations, and measurable student learning outcomes. Evidence should be included in the annual review packet.
2. Faculty members are expected to be available to students outside the classroom as teachers and as advisors—formal or informal—as appropriate.
3. Course development, including innovative, appropriate pedagogy, and course coordination may be also considered.

C. Research and Creative Activity
1. Faculty members are expected to contribute to the advancement of knowledge through peer-reviewed work. The quality of publications and outcomes of other creative efforts, as evidenced by journal ratings, positive reviews, or other means, is more important than the quantity of work produced. Individuals are encouraged to provide evidence or recognition of such quality by every appropriate means.
2. 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. Textbooks and reference books are also important. Expositions written for the broader mathematics community or general public might be recognized as a form of scholarship of integration. Interaction with K-12 schools is classified as outreach, but when leading to published work or development and publication of curricular materials for university courses or for use in K-12 teaching, might be regarded as scholarship of engagement.
3. The presentation of papers and research at local, regional, national and international seminars, meetings, workshops, and conferences and other participation therein should also be part of a faculty member's activities.
4. Application for external funding for creative work is highly encouraged. The degree of success in these efforts will be weighed against such factors as sources and availability of and competition for funds.
5. Short and long term visits to conduct research at other institutions and to participate in long term research programs will also be considered.
6. Collaboration with faculty members and students of other departments in their research and teaching is encouraged.

D. Service and Outreach
1. Maintenance of strong programs requires conscientious service contributions. Service within the Department through committees, standing and ad hoc, service courses, departmental examinations, or special programs is expected.
2. Service to the profession, including refereeing, reviewing and editing for journals, and performance as an officer, scientific advisor, or committee member of a professional organization, is also encouraged. 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.
3. Organizing professional meetings will also be considered.
4. Faculty members are encouraged to participate on College and University committees.
5. Outreach to the community is encouraged, including K-12 activities, judging science projects, providing expert information to media 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; such leave, however, can put a strain on academic programs. It is not guaranteed that non-sabbatical leave requests will be granted. In the case of untenured 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 external funding involving course buy-outs.

III. ANNUAL EVALUATION

A. Assignment of Teaching, Research, and Service

1. Normally an untenured research faculty member is assigned a six-credit teaching load with the expectation that the additional time for scholarly activity will be used productively. Typically, untenured, tenure-track research faculty members have 45% of their time allotted to teaching, 45% allotted to research, and 10% to service. Tenured faculty members ordinarily carry higher service loads than untenured faculty.

2. Under special circumstances the Head may agree to alternative distributions of effort, see 5.90.3.4 of NMSU Policy.

3. Teaching assignments are made to meet student needs in lower division, upper division, and graduate level courses. They are intended to balance the interests and expertise of the faculty and the service requirements of the department. Variations in class sizes and levels are considered.

B. Procedures

1. In early to mid fall, the Department Head confers with each regular faculty member regarding accomplishments of the past year as reported on annual performance reviews, and goals for the following year. Written expression of these goals is included in the files of all faculty members. The Department Head will then write an appraisal addressing the highlights of each faculty’s annual report. The Department Head or the individual involved may request a conference of tenured faculty members.

2. 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, the Department Head reports final salary determinations privately to each faculty member.

3. Normally, prior to the beginning of the third year of an untenured faculty member's appointment at New Mexico State University, the Department will conduct a mid-probationary performance review, including requests for external letters of evaluation. This review gives guidance as to whether the progress of the faculty member is appropriate. The Department Head will advise the faculty member of perceived strengths and weaknesses, but this is not to be construed as a formal consideration for tenure. See 5.90.3.7 of NMSU Policy or the College of Arts and Sciences P&T guidelines for further information.

IV. CONTINUATION AND TENURE CONSIDERATIONS

A. The Committees

1. The Committee on Tenure consists of all tenured faculty members with whom the candidate has no documented conflict of interest, plus an external member appointed by
the Dean. Membership on the committee indicates agreement to respect confidentiality in committee proceedings.

2. The Subcommittee on Tenure consists of at least three tenured faculty members elected by written ballot by the tenured faculty. Terms of service on this committee are ordinarily staggered so as to provide continuity.

B. The Committee Files

1. Each untenured faculty member should maintain a documentation file, accessible to the committee, containing publications, information on teaching, annual reports, a curriculum vita, and a summary of professional activities. Refer to the internal web document Faculty Files. This file should be kept up to date to assist the faculty member and the Department in preparing a case for continuation, tenure and promotion.

2. The Department Head will maintain a separate file for sensitive material such as letters of evaluation. According to NMSU policy, candidates may review all documentation obtained for a tenure/promotion case, including external evaluation letters.

3. During the college review phase of the tenure decision process, a core document, separate from the full documentation file, will serve as a representation of the candidate’s performance. Two identical copies will be submitted to the Dean’s Office in separate one inch three ring loose-leaf binders with clearly labeled index tabs. The list of items in the core document should bear a one-to-one correspondence with the items listed in the current College of Arts and Sciences P&T guidelines, and may include the following:

1. Contract Status/Promotion Form (signed and dated by the Department Head)
2. Promotion and/or Tenure Cover Sheet, indicating candidate’s name, current rank, department and college
3. Department Head’s recommendation
4. Departmental Promotion and Tenure Committee’s recommendation, inclusive of the numerical vote counts and member signatures
5. Table of Contents
6. Candidate’s executive summary (maximum of 1000 words)
7. Candidate’s comprehensive Curriculum Vitae, preferably organized in two parts:
   a. A discussion of items such as university education, professional position, titles held and responsibilities, visiting professorships, honors and awards, professional activities, editorial positions, etc. relevant to activities performed before the period for which the candidate is being evaluated
   b. A discussion of all items relevant to the period for which the candidate is being evaluated. It is suggested to organize the presentation along the target areas of evaluation—i.e., teaching and advising, scholarly and creative activities, extension and outreach, and service. For each area, sufficient information should be provided to measure relevance and contributions.

8. Faculty Annual Performance Reports for the period under review, including allocation of effort statements, goals and objectives forms, and written statements submitted by the candidate as part of, or in response to annual performance evaluations, supervisor’s comments, and any response made by the candidate. Numerical rankings or ratings should be omitted.
9. Department Head’s Appraisal of candidate’s annual performance for all previous years in the period under review (numerical rankings and ratings should not be included)
10. Departmental Promotion & Tenure Committee’s Reports for the period under review (numerical rankings and ratings and vote counts should not be included)
11. Department Head’s Recommendation on progress toward promotion and tenure for all previous years in the period under review
12. The most recent conflict of interest statement
13. The departmental Functions and Criteria statement (this document)
14. All solicited external letters (at least three)
15. A document from the Department Head and/or the chair of the departmental promotion and tenure committee describing the background and qualifications of the external referees.

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

Supplemental material contained in the documentation file will not be routed to the Dean’s office, but will be made available in the department.

C. Procedures for Tenure
These procedures for promotion will be updated with the Dean’s consent every three years. The following procedures for tenure commence in Spring of the candidate’s fifth year of service unless stated otherwise in the candidate’s contract. See section 5.90.3.6.3 of NMSU Policy.

1. In March, the Department Head convenes the Committee on Tenure. The Head apprises the committee 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.
4. In April, the Subcommittee makes a preliminary report to the Committee on Tenure. After appropriate discussion, the Committee on Tenure identifies those untenured faculty members for whom outside letters of evaluation will be requested.
5. 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 the candidate’s work. The candidate may also provide a list of names where potential conflicts should be recognized.
6. For each faculty member under consideration, the Subcommittee selects qualified outside references. A minimum of three external letters is required.
7. 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. It is typical to make initial requests for five outside
letters in the case of a tenure decision and as many as six in the case of a concurrent decision on promotion and tenure, or promotion to Professor. A referee must be able to offer an objective assessment of the candidate’s work. Typically, at least two, but no more than three of the referees will come from the list submitted by the candidate. An external reviewer will be an expert on one or more aspects of the candidates work, and have a publication record at least comparable to that of the candidate. When a reviewer holds a tenured position, it should be at or above the rank sought by the candidate, provided there exists a sufficient pool of experts at that rank. Although the candidate can choose to include among materials sent to external reviewers any evidence of scholarship, published or unpublished, reviewers will be informed that they are not obligated to comment on work that has not been peer reviewed. Candidates are encouraged to include along with their vita a statement of professional accomplishments, outlining the contents and status of the included manuscripts. The Department Head will provide external reviewers copies of or links to College and University promotion and tenure policies, and this document. The Department Head is responsible for informing the outside evaluators that the candidate has the right to review the letters. The committee has the right to consider input through external recommendations submitted by the candidate that were not solicited through this procedure, but is under no obligation to do so. Such information will not become part of the core document file, but the committee recommendation should state so if any such information was considered.

8. 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.

9. All committee members are obligated to study the files and the outside evaluations.

10. The Subcommittee presents its findings in writing to the Committee on Tenure (early October); this is followed by confidential discussion of the persons under consideration in closed session at one or more meetings.

11. Paper ballots on tenure are distributed to the Committee on Tenure, which votes by secret written ballot in closed session. Absentia or proxy voting is not allowed. All votes will be counted. The vote tally is taken to be the recommendation of the Committee. 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. The Committee on Tenure applies the following criteria in tenure considerations:

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

12. The Committee on Tenure presents to the Department Head, in writing, its vote results and recommendation for tenure or termination for each untenured tenure-track faculty member under consideration for tenure. The recommendation is signed by members of the Subcommittee on Promotion and Tenure and the Committee’s external member. Any dissenting view citing specific concerns should be submitted along with the committee recommendation and signed by those holding the dissenting view.

13. The Department Head makes a separate written recommendation on tenure or
termination of each of the candidates.
14. The Department Head informs each person under consideration at this point of his or her voting tally and the Committee and Department Head recommendations.
15. At each decision level, the candidates will be informed and given the opportunity to withdraw in accordance with policy, Section 5.90.5.6. In tenure cases, withdrawal in the fifth year must be accompanied by a resignation. No further action is required because every decision goes to the next level as a recommendation, until it reaches the Provost.
D. Procedures for Continuation
Procedures for continuation are internal and parallel to those for tenure, except that departmental continuation recommendations are made in the spring. External reviews are not used except in the mid-probationary review. Specific procedures are as follows.
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 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. Guidelines for balloting and for interpreting the tally are the same as in C.11–C.12.
5. The Committee on Tenure presents to the Department Head, in writing, its vote tallies and recommendation for continuation or termination of each untenured tenure-track faculty member. This recommendation should include an annual assessment of each non-tenured tenure-track faculty member's overall progress towards tenure and promotion, citing strengths and explicit or potential concerns regarding each candidate's work.
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 in accordance with college policy.
V. PROMOTION CONSIDERATIONS
Procedures for promotion to Associate Professor and to Professor are parallel to those for tenure, including external review. Procedures for early promotion to Associate Professor, i.e., prior to those for tenure, should not be initiated without concurrence with the Dean unless specified by the candidate’s contract.
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 members of the Committee on Tenure holding the rank of Associate Professor or above.
3. Guidelines for balloting and for interpreting the tally are the same as in IV.C.11–IV.C.12. Ballots will include separate columns for tenure and promotion recommendations when they are being made concurrently.
B. To Professor

1. 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 a candidate will have served as an Associate Professor for at least a few years. Promotion to Professor is not to be considered merely on 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. In all other respects, the Subcommittee should follow procedures parallel to items IV.C.1—IV.C.4 of the procedures for tenure annually regarding each potential candidate for promotion to Professor.

2. The main steps and annual timetable for the Promotion to Professor process are parallel to those for tenure.

3. The committee on Promotion to Professor consists of all members of the Committee on Tenure holding the rank of Professor.

4. The Subcommittee on Promotion to Professor consists of three departmental members elected by the departmental members of the Committee of the Whole.

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Joseph Lakey  Date
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Christa Slaton, Dean  Date
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6/21/12
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