

## **COLLEGE OF BUSINESS**

### **POLICIES AND PROCEDURES: RETENTION, PROMOTION AND TENURE**

#### **1. INTRODUCTION AND GUIDING PRINCIPLES**

University policy as outlined in the NMSU Guidelines for Promotion and Tenure requires each college within the university to establish a written policy for promotion and tenure (§5.90.5.2) in accordance with the Guiding Principles of §5.90.3, which include faculty participation, transparency of the process, alignment with annual performance evaluations, and consideration of the candidate's allocation of effort statements. Candidates are urged to read and understand all the guidelines with respect to promotion and tenure – at the university, college, and department levels.

At least six different parties are involved in the promotion and tenure process. These are: (1) the candidate, (2) the candidate's department head, (3) the departmental promotion and tenure committee, (4) the college promotion and tenure committee, (5) the college dean, and (6) the executive vice-president/provost. If a candidate files a formal appeal of a negative promotion or tenure decision, other parties such as the University Appeals Board may also become involved.

Each of the parties to the promotion and tenure process provides an independent recommendation concerning a candidate. Thus, while consistency, fairness, and transparency are desirable goals, there can be no reasonable expectation that all parties to the process will always make the same recommendation concerning a particular candidate.

Promotion and tenure involve three separate processes.

- First, the department P&T committee meets in the spring of each year to consider the retention of each untenured tenure-track faculty members.
- Second, consideration for tenure (generally in the sixth year) is a separate procedure.
- Third, the promotion process is separate from the tenure process even though many individuals will be considered for both promotion and tenure in the same year.

These three processes are distinct from the annual performance evaluation. However, it is recognized that the annual performance evaluation is an important input to the above processes and the inputs to the annual evaluation should be consistent with those of the retention, tenure, and promotion process and decision.

In addition to the three separate processes, candidates may request a mid-probationary review subject to the guidelines in the NMSU Promotion and Tenure Policy (§5.90.3.7).

Ordinarily, this review is to be requested early in the Fall semester of the third year since a candidate became employed at NMSU. 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 years reviewed. The outcome of such a review must not be used as a determinant for setting merit pay or for contract continuation decisions.

## **2. ADOPTION, ADDITIONS AND CHANGES TO THESE PROCEDURES**

The procedures and guidelines in this document were amended by the faculty of the College of Business on (to be filled in later). Additions and revisions of these procedures will be made according to procedures outlined in the college bylaws.

## **3. GENERAL POLICIES ON TEACHING AND ADVISING, SCHOLARLY ACTIVITIES, EXTENSION AND OUTREACH, SERVICE, AND LEADERSHIP**

**3.1 Professorial Ranks:** The guidelines and policies in this document are intended to serve for both College Faculty and tenure-track faculty. College Faculty are eligible for advancement in rank but are not eligible for tenure. The University Guidelines allow for flexibility in the tenure track with respect to credit for prior service, extension or reduction of the probationary period, part-time faculty, and joint appointments (see §5.90.3.6).

Guidelines for promotion to the rank of associate and full professor are found in the University Guidelines §5.90.3.5. In general, for promotion to associate professor, a candidate must demonstrate competence, continuous progress, and maturity over a large part of the candidate's academic field. It is expected that evidence showing high quality of teaching and scholarship and creative activity has been provided and is current.

For promotion to professor (referred to below as "full professor"), the candidate's complete academic record including publications and other evidence prior to promotion to associate professor may be considered. The University Guidelines (§5.90.3.5) requires that a candidate for promotion to full professor to have "established disciplinary, intellectual, and institutional leadership" and to have demonstrated "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."

**3.2 Teaching and Advising:** Teaching and advising are the fundamental functions of the university and its faculty. In order to be granted tenure or promotion in the College of Business, a faculty member must be a competent teacher using criteria and evidence defined by each department. Advising responsibilities are important to the success of the College as well. Advising activities must be documented and evaluated at the department level.

Materials appropriate for evaluating teaching should include (a) evidence from the instructor (such as syllabi or documentation of teaching innovations), (b) evidence from

other professionals (such as Teaching Academy or other professional development activities or peer evaluations), (c) evidence from students (such as student evaluations), and (d) evidence of student learning (such as student projects, papers, or reports, job or graduate school placement evidence or other outcomes assessment results) (see the University Guidelines §5.90.4.1.1)

**3.3 Scholarly Activities:** Scholarship is broadly defined according to Boyer's concept of the four scholarships: (1) the scholarship of discovery, (2) the scholarship of teaching, (3) the scholarship of engagement, and (4) the scholarship of integration.<sup>1</sup> See the University guidelines, §5.90.4.2, for an expanded discussion of the four scholarships. In the College of Business, good-quality, peer-reviewed scholarly activities consistent with the standards set by the department's guidelines are required for promotion to the rank of associate professor and for granting of tenure.

The department promotion and tenure committee has the primary responsibility for formulating a judgment as to the quality of scholarly activities of a faculty member. There is a presumption that the department Promotion and Tenure (hereafter, P&T) committee is more competent than the college P&T committee to evaluate scholarship in a given discipline. Each department in the college should have criteria for making a qualitative assessment of the scholarly activity of the faculty members in that department. Although all scholarly activities and outcomes, regardless of funding source, must consider the criteria in the University Guidelines (§5.90.4.2.1) which are adapted from Diamond<sup>2</sup>, the College has traditionally recognized good quality, refereed articles in academic journals as the primary standard by which scholarly activity is judged for those candidates seeking tenure. Nevertheless, the College also recognizes that situations may arise in which other forms of scholarly activity are deemed acceptable for promotion and tenure.

**3.4 Extension and Outreach:** Because extension and outreach are essential to the University's mission, faculty may have part of their allocation of efforts directed toward these activities. Candidates who have participated in extension and outreach activities should follow the University guidelines (§5.90.4.3.1) with respect to demonstrating the collaborative nature of the activity and the impact on the College's and University's missions.

**3.5 Service:** Candidates for promotion and/or tenure are expected to have performed service activities consistent with their departmental P&T guidelines. The service category includes contributions both inside and outside the university. The activities beyond university responsibilities can be broadly construed as reflecting diversity of faculty talents and interests, but should be of a professional nature, whether for the public or the individual's academic discipline. Strictly private participation in fraternal organizations, clubs, churches or other such organizations is not included within the meaning of service.

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<sup>1</sup> Boyer, Ernest L. (1990) Scholarship reconsidered: Priorities of the professoriate. New York: Carnegie Foundation for the Advancement of Teaching.

<sup>2</sup> Diamond, Robert M. (2002) Serving on promotion, tenure, and faculty review committees: A faculty guide, 2<sup>nd</sup> ed.. Bolton, MA: Ankar Publishing

**3.6 Leadership:** Depending on a faculty member's cumulative allocation of efforts statements, candidates seeking promotion to full professor may be evaluated on their contributions in the area of leadership (see University Guidelines §5.90.4 and §5.90.4.5). Faculty members who take administrative positions, such as department head or associate dean, shall be evaluated for promotion by their department P&T committee, their department head if applicable, and the college P&T committee in accordance with University guidelines in §5.90.4.5.1.

### **3.7. Promotion Policy for Regularized College Faculty**

#### **3.7.1 Procedures**

College Faculty are to 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, and the relative mix of these duties. College Faculty will follow the procedures with respect to timing and portfolio preparation as described later in this document.

#### **3.7.2 Promotion from College Instructor to College Assistant Professor**

The candidate shall have at least five years of continuous service as a college instructor, or equivalent service as of the date of application for promotion, or attainment of an appropriate terminal degree as of the date of application for promotion. Annual evaluations shall reflect not only superior teaching but also professional growth activities.

#### **3.7.3 Promotion to College Associate Professor or College Full Professor**

1. The candidate shall have four years of continuous service at the rank immediately below the senior rank sought as of the date of application for promotion.
2. The candidate shall be Academically Qualified or Professionally Qualified under the College of Business's current AQ/PQ standards.
3. The candidate's annual evaluations should reflect (a) superior teaching, (b) involvement in professional growth activities, and (c) leadership.

## **4. PROMOTION AND TENURE POLICIES IN THE COLLEGE OF BUSINESS**

**4.1 Annual Performance Evaluation and the Promotion and Tenure Process:** 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 each year. The performance evaluation provides documentation of expectations and a record of faculty performance related to stated expectations. The performance evaluation form is contained in the separate document titled "College of Business Annual Faculty Performance Evaluation."

### **4.2 Implementation of the Promotion and Tenure Process**

#### *4.2.1 Departmental Guidelines and Procedures*

According to the University Guidelines (§5.90.5.2), each department within the College of Business will develop its own written policy for promotion and tenure. Departmental guidelines must conform to both university and college procedures. The departmental guidelines must relate to the department's mission and goals. Moreover, any department-specific requirements or expectations for faculty must be explicitly defined.

#### *4.2.2 The College Promotion and Tenure Committee*

The College of Business P&T Committee will be selected according to the following rules and meet the relevant sections of the University Guidelines (§5.90.3.1 and §5.90.3.8.4).

The committee will consist of five tenured full professors with one member elected from each of the five departments in the College of Business plus one "at large" College Faculty member from any department at the full professor rank. Representation and voting by the College Faculty member is required only when College Faculty candidates are going up for promotion. The College Faculty member is not eligible to vote on promotion and tenure decisions for tenure-track faculty, but may participate in the deliberations of the college P&T committee.

The name of each tenured full professor in a department who is willing and eligible to serve shall be placed on the ballot for each department from which a committee member is to be selected. The department head is not eligible to serve on the College P&T Committee. In a separate section of the ballot, each College full professor will be placed on the ballot. Faculty members may decline to be considered for the committee. The tenured, tenure-track, and regularized College faculty from the college will elect the member from each department as well as the College faculty representative. A secret ballot must be used.

Members of the committee will serve two-year staggered terms. No member shall serve more than two consecutive terms.

The elections will be held within the first two weeks after faculty report in the fall semester of each year with the member from the Departments of Economics/IB and Accounting/IS, as well as the "at large" College faculty member being elected in odd numbered years. The committee members from the Marketing, Management and Finance Departments will be elected in even numbered years.

Unexpected vacancies will be filled by a special college election.

If there are no tenured full professors in a department, that department will nominate two or more tenured full professors from the college as a whole to be placed on the ballot for that department and the college will elect the committee member from those nominees. If no College Faculty member at the full professor rank exists in the college, the other College Faculty members will nominate two or more College full professors from outside the college.

Members of the College P&T Committee should disclose to the Chair of the committee conflicts of interest they may have with a candidate for promotion or tenure. These conflicts include, but are not limited to, kinship relationships, personal relationships, or engagement in business ventures with the candidate. Committee members with such conflicts of interest shall recuse themselves from discussion of and voting on the candidate. If the Committee Chair has such a conflict and recuses herself or himself, the other members of the committee will temporarily elect an acting chair.

### **4.3 Roles and Responsibilities During the Promotion and Tenure Process**

The roles and responsibilities of the various parties involved during the promotion and tenure process are clearly laid out in the University Guidelines (see §5.90.5.3). The roles and responsibilities below draw special attention to certain aspects and timelines in the College of Business.

#### *4.3.1 Candidates*

Candidates should pay particular attention to the portfolio preparation guidelines at the end of this document. In addition, to facilitate receiving external letters of evaluation, the candidate should provide a written list of potential outside references by the end of the Spring semester before the year in which the candidate is to be evaluated.

#### *4.3.2 Department Head*

Per University Guidelines (§5.90.5.3), the department head 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 candidate's strengths and weaknesses as well as the level and nature of the candidate's accomplishments. The department head's recommendation letter is placed in the candidate's portfolio after the portfolio has been reviewed by the department's P&T committee and before delivering the portfolio to the college P&T committee. As per University Guidelines (§5.90.5.5), the letter must specifically exclude any numerical rankings, ratings, or vote counts contained in the Annual Performance Evaluations. The reason for this exclusion is that these figures have been used to determine merit pay increases for the candidate, and the figures are not comparable across departments or colleges. See section 5.2 below. The department head provides candidates with 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.

Department heads have a special responsibility concerning external letters required

during the tenure/promotion process. In general, the reviewers should be at the rank of either associate or full professor. Department heads in conjunction with the departmental P&T committee ask the candidate to suggest a list of at least three external reviewers. The department head along with the departmental P&T committee will add names to this list. Final selection of persons requested to write letters is to be made by the department head in conjunction with the departmental P&T committee no later than the end of the spring semester. The final list will contain at least one reviewer from the candidate's initial list, but not all of the individuals suggested by the candidate. The department head shall contact the reviewers and arrange for the letters. All letters received must be included in the candidate's portfolio.

#### *4.3.3 Department Promotion and Tenure Committee*

*Retention:* The department P&T committee meets in the spring of each year (approximately mid-April) to consider the retention of all untenured tenure-track faculty members. The committee will write a letter addressed to the department head recommending whether the faculty member should be retained and outlining (a) the strengths and weaknesses of the candidate and (b) the candidate's progress towards tenure. The letter must include the results of the committee's vote on retention and a separate vote on the candidate's progress toward tenure. All ballots will be secret ballots. Absentia and proxy ballots are not permitted. Per University Guidelines (§5.90.5.4), dissenting opinions may be written in a letter to the department head.

During the retention review process, the committee shall have access to a complete portfolio for all years including (1) the recommendations of the committee itself, (2) the department head's annual performance evaluation and recommendation on retention and, (3) relevant conditions under which the candidate was employed, including allocation of efforts statements.

During the committee's spring meeting, the committee will consider all members of the department who are eligible for promotion and will suggest nominations for promotion to the department head. A candidate may self-nominate for promotion to the departmental P&T committee.

*Tenure:* The department P&T committee will review each candidate's portfolio. This review generally takes place in October of each year -- as specified by the executive vice-president/provost. After an appropriate review, the committee will vote by secret ballot on a recommendation for tenure for each candidate. Absentia and proxy ballots are not permitted. The committee will write a separate letter for each candidate addressed to the department head recommending whether the candidate should be granted tenure and include the vote count of the committee. Per University Guidelines (§5.90.5.4), dissenting opinions may be written in a letter to the department head.

*Promotion:* The department P&T committee will review each candidate's portfolio. This review generally takes place in October of each year -- as specified by the executive vice-president/provost. After an appropriate review, the committee will vote by secret ballot

on a recommendation for promotion for each candidate. Absentia and proxy ballots are not permitted. The committee will write a separate letter for each candidate addressed to the department head recommending whether the candidate should be promoted and include the vote count of the committee. Per University Guidelines (§5.90.5.4), dissenting opinions may be written in a letter to the department head.

The criteria used by P&T committees for making recommendations should be consistent with the criteria used by administrators for promotion and tenure recommendations and for annual performance evaluation. If a department considers the criteria for tenure to be the same as for promotion from assistant professor to associate professor, then the voting on tenure and promotion should be consistent. If the criteria are not the same, the departmental promotion and tenure guidelines should clearly spell out the differences.

#### *4.3.4 College Promotion and Tenure Committee*

The functions of the College Promotion and Tenure Committee are described in the NMSU Promotion and Tenure Guidelines (§5.90.5.3).

The College Committee shall review the portfolio of each tenured or tenure-track candidate seeking promotion and/or tenure and each College Faculty member seeking promotion. The committee shall make an independent recommendation concerning the application to the dean of the college.

The College Committee shall review departmental procedures and processes related to promotion and tenure and report to the dean of the college those departments (if any) that have not followed their own internal procedures or those of the college or university.

The College Committee shall periodically review the college procedures and guidelines regarding promotion and tenure for consistency with any changes made to university promotion and tenure policies and, if appropriate, recommend changes to the college procedures.

## **5. CONTENT AND FORMAT OF PROPOSALS FOR PROMOTION OR TENURE**

**5.1 General Comments:** The format of proposals for promotion and tenure should be consistent across departments. Proposals should not be unduly burdensome on either the candidate or other parties to the process. This means that the quality of the documentation and not the quantity of materials submitted is of primary importance. The candidate's portfolio is to consist of a "Core Document" and a "Documentation File."

**5.2 Core Document:** The Core Document shall include the elements listed below in the order specified. The combination of items 4 – 6 below shall not exceed 50 pages (see University Guidelines §5.90.5.5 and §5.90.5.1).

1. A routing form with spaces for the required signatures.

2. A cover sheet indicating the candidate's name, current rank, department, and college.
3. Any written documentation generated throughout the promotion and tenure process, including any numerical vote counts of the promotion and tenure committee(s).
4. A Table of Contents.
5. Candidate's executive summary in which the candidate provides a summative report and personal statement regarding their activities in and philosophies regarding teaching and advising, scholarship and creative activity, service, extension and outreach (if applicable), and leadership (if applicable).
6. A curriculum vitae.
7. Annual performance evaluations for the period under review, including the allocation of effort statements, the goals and objective forms, written statements by the faculty member as a part of, or in response to annual performance evaluations, the department head's comments, and any response made by the candidate to the department head's comments. Numerical rankings, ratings, or vote counts must be removed. (See University Guidelines §5.90.3.3 and §5.90.5.1). See also Section 4.3.2 above.
8. The most recent complete conflict of interest form.
9. The department's mission statement.
10. External reviews.

**5.3 Documentation File:** The Documentation File contains supplementary materials provided by the candidate related to the areas of faculty activity. This material is not routed beyond the College P&T Committee, but is available for review.

The purpose of the Documentation File is not to be an all-inclusive compilation of a candidate's work, but is to be a representative sampling of the candidate's best efforts. Toward that end, candidates may provide not more than four artifacts, to not exceed 15 in total, of the best work from any one of the areas of teaching and advising, scholarly activity, extension and outreach, service, and, in the case of promotion to full professor, leadership, as based on the candidate's cumulative allocation of efforts statements.

In the case of 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.

## **6. WITHDRAWALS, OUTCOMES, AND APPEALS**

**6.1 Withdrawals:** The candidate may withdraw from consideration at any time prior to the final signature of the Executive Vice President or Provost. See §5.90.5.6 for further details.

**6.2 Outcomes:** See §5.90.5.7 for details on outcomes relating to full-time tenure-track candidates, part-time tenure-track candidates, and all candidates.

**6.3 Appeals:** See Chapter 4.05.40 and 4.05.50 Human Resources – General – Appeals in the University Policy Manual.