

## **COLLEGE OF BUSINESS**

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

#### **BACKGROUND:**

University policy as outlined in the Faculty Handbook requires each college within the university to establish procedures and guidelines concerning the promotion and tenure process.

At least eight 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, (6) the executive vice-president/provost, and (7) the president, and (9) the board of regents. 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 and fairness 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, untenured tenure-track faculty are evaluated each year to determine whether a new one-year contract will be issued (retention). 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.

#### **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 August 17, 2005. Additions and revisions of these procedures will be made according to procedures outlined in the college bylaws.

#### **DEPARTMENTAL FUNCTIONS:**

a) Departmental guidelines and procedures

As mandated by university policy, each department within the College of Business will develop its own set of internal guidelines and procedures for use in

the retention, promotion and tenure processes. Departmental guidelines must conform to both university and college procedures. The departmental guidelines must relate to the department's statement of mission and goals. Moreover, any department specific requirements or expectations for faculty must be explicitly defined.

A copy of the guidelines will be maintained by the department secretary. On an annual basis, a copy of the departmental guidelines will be given to: (i) each faculty member in the department, (ii) the College Promotion and Tenure Committee, and (iii) the Dean of the College.

b) Department Promotion and Tenure Committees

(i) Retention: The department P&T committee meets in the spring of each year (Mid-April) to consider the documentation file of all untenured tenure-track faculty members. The committee will make a written report addressed to the department head outlining (a) the strengths and weaknesses of the candidate and (b) the candidate's progress towards tenure. A separate report will be provided to the department head indicating the vote of the committee on retention. All ballots will be secret ballots.

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

(ii) 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 (see item iv below). A candidate may be self-nominated for promotion. However, candidates should be aware that a self-nomination for promotion without the endorsement of the committee during the Spring meeting is not likely to receive a favorable recommendation from the committee in the fall.

(iii) Tenure: The department P&T committee will review each candidate's documentation file (which will include all previous recommendations on retention from both the committee and the department head). 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. A written report of the vote (separate for each candidate) will be given to the department head.

(iv) Promotion: The department P&T committee will review each candidate's documentation file (which will include all previous recommendations on retention, promotion or tenure from both the committee and the department head). 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. A written report of the vote (separate for each candidate) will be given to the department head.

(v) 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 performance evaluation. If there is a substantial difference between a departmental P&T committee's recommendation and that of the department head (such as overall positive versus overall negative), the dean of the college is to be informed in a timely manner in writing.

(vi) As specified in item (c) below, the departmental P&T committees work closely with the department head in obtaining external letters used in the promotion and tenure process.

c) Department Heads:

Department heads make recommendations to the dean concerning retention, promotion and tenure. These recommendations will be made after receiving the recommendations of the department P&T committee.

Department heads have a special responsibility concerning external letters required during the tenure/promotion process. 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. It is preferred that at least one of the external letters will be a blind review from a faculty member at a peer institution (or higher). The chair of the departmental P&T committee shall contact the reviewers and arrange for the letters. All letters received must be included in the candidate's documentation file. Department heads are also required by university policy to assist each candidate for promotion or tenure in assembling the required documentation file. As required by university policy, department heads also meet with the dean at appropriate times during the process.

## **THE COLLEGE TENURE AND PROMOTION COMMITTEE**

a) The Composition of the College Promotion and Tenure Committee

The College of Business Promotion and Tenure Committee (hereafter, The College Committee) will be selected according to the following rules:

- i) The College Committee will consist of five tenured full professors with one member elected from each of the five departments in the College of Business
- ii) The name of each full professor in a department shall be placed on the ballot for each department from which a committee member is to be selected (unless a faculty member declines to be considered) and the tenured and tenure-track faculty from the college will elect the member from each department by secret ballot.
- iii) Members of the College Committee will serve two-year staggered terms.

iv) The elections will be held during the first full week of class in the fall semester of each year with Economics/IB and Accounting/IS having their departments' committee member elected in odd numbered years and the Marketing, Management and Finance Departments having their departments' committee member elected in even numbered years.

v) Unexpected vacancies will be filled by a special college election.

vi) If there are no tenured full professors in a department, that department will nominate two or more 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.

#### b) The Role of the College Promotion and Tenure Committee

The functions of the College Promotion and Tenure Committee are described in the NMSU Policy Manual. Accordingly, the College Committee shall:

i) review the documentation file of each tenured or tenure-track candidate for promotion or tenure and make an independent recommendation concerning the application to the dean of the college;

ii) review departmental procedures and processes related to promotion and/or 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;

iii) periodically review the college procedures and guidelines regarding tenure and promotion for consistency with any changes made to university promotion and tenure policies and, if appropriate, recommend changes to the college procedures; and,

iv) review (at the request of the dean, department head or departmental P&T committee) cases which resulted in conflicting recommendations from within a department during the annual review process.

### **GENERAL POLICIES ON TEACHING, RESEARCH AND SERVICE**

(1) Teaching is the fundamental function of the university and its faculty. In order to be granted tenure or promotion, a faculty member must be a competent teacher.

For the purposes of granting promotion or tenure, teaching is broadly defined. Teaching includes more than classroom activities. Advising students, serving on graduate student committees, supervising theses or dissertations, team teaching, developing new courses, developing distance education courses, implementation of new technology in the classroom, and presenting guest lectures in other classes are other examples of teaching activities. Heavy teaching loads and variety of teaching assignments should be given consideration in the promotion and tenure process.

(2) All candidates for promotion and/or tenure are expected to have performed substantial service activities. The service category includes contributions both inside and outside the university. The activities beyond university responsibilities can be broadly construed 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 are not included within the meaning of service. Examples of eligible service activities include but are not limited to: serving on university, college, and department committees, advising student organizations, membership and leadership roles in professional organizations, community service, grants and grant proposals, bringing in outside funds to the department, college, and university, and working with local, state, national, or international agencies or institutions.

(3) Research is broadly defined. Research activities include, but are not limited to: articles published in peer-reviewed academic journals, books, book chapters, research monographs or technical reports which result from funded projects, national and regional proceedings papers, published essays on topics related to a candidate's professional activities, and publications in non-reviewed journals. Research may also include publications describing new conceptual/theoretical developments, original research findings, new connections across disciplines, application of knowledge to solve social problems, or techniques for passing on knowledge to others.

Good-quality, peer-reviewed academic publications are required for promotion to the rank of associate professor and for granting of tenure. It is necessary, but not sufficient, for a candidate to have at least three publications of this nature.

For promotion to full professor, the candidate's complete academic record including publications and other evidence prior to promotion to associate professor should be considered. The Policy Manual Handbook requires a candidate for promotion to full professor to "have demonstrated substantial command of his/her whole field, sound scholarship, and a mature view of his/her discipline."

The department promotion and tenure committee has the primary responsibility for formulating a judgment as to the quality of research and scholarly activity of a faculty member. There is a presumption that the department P & T committee is more competent than the college P & T committee to evaluate research and scholarship in a given discipline. Each department in the college should have criteria for making a qualitative assessment of the research and scholarly activity of the faculty members in that department.

Each department shall have a set of criteria that specify how the criteria for

promotion and tenure at the university and college level apply to the faculty in the department. For instance, the university Policy Manual requires that in order to be promoted to associate professor a candidate must demonstrate that he/she has competence and a mature outlook over a fairly large part of the whole field. In order to be promoted to professor, a candidate should have demonstrated a substantial command of his/her whole field, sound scholarship, and a mature view of his/her discipline. A department may provide more specific guidance to its members as to the relative weights of the various components of research and scholarly activity.

(4) The College P&T committee recommends that faculty members who take administrative positions, such as department head or associate dean for a minimum of five years, be evaluated for promotion by their department P&T committee, their department head if applicable, and the College P&T committee. The College P&T committee, with input from the faculty/administrator's supervisor, peers, and subordinates, will evaluate the individual's research, teaching, service, leadership, organizational skills, and job performance, as specified in the individual's job description. The recommendation of the College P&T committee will be forwarded to the College Dean.

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

a) General Comments: The content 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 proposal should stand on its own and should not contain a statement from the candidate pointing out reasons why the proposal should be accepted. In order to make the process less burdensome on the candidates, department heads should encourage each faculty member to keep an up-to-date documentation file.

b) Specific Requirements:

PAGE 1

NAME:

DEPARTMENT:

NATURE OF PROPOSAL: (e.g., promotion to Full Professor)

DATE:

DATE OF LAST PROMOTION:

PAGE TWO (It is possible that the items listed here as page 2 will take more than a single physical page.)

RECORD OF RECENT (since date of current rank) TEACHING ACTIVITIES:

- a) courses taught (course numbers and titles, number of students)
  
- b) indicate which courses were new or significantly restructured
- c) indicate the nature of documentation of teaching effectiveness (e.g., student evaluations, etc) which will be included in an appendix
- d) provide highlights of other teaching activities (e.g. advising, course development, graduate committees, etc). Documentation **should be included** in an appendix.

PAGE THREE

RESEARCH RECORD:

- a) List all publications. Publications should be identified as peer-reviewed articles, non-peer-reviewed articles, books, book chapters, etc.)
- b) List funded research activities
- c) List papers presented at professional meetings
- d) List offices held in professional associations

PAGE FOUR (The items on page four will occupy more than one physical page).

SERVICE ACTIVITIES

a) University Service:

- 1) Committee Service (departmental, college and university) --list dates and any significant contributions
  
- 2) List public talks and media presentations conducted as part of your professional activities
  
- 3) Describe service to student organizations

b) Other Professional Service

1) consulting, reviewing for publishers, etc.

c) List Honors and Awards

PAGE FIVE Other information/data that has meaning within the context of a promotion or tenure process

APPENDIX I

CANDIDATES FOR TENURE WILL INCLUDE A COPY OF THE ANNUAL REVIEWS FOR RETENTION INCLUDING (a) THE ANNUAL VOTES OF THE DEPARTMENTAL P&T COMMITTEE AND (b) THE ANNUAL RECOMMENDATIONS OF THE DEPARTMENT HEAD

APPENDIX II

EXTERNAL LETTERS RECEIVED IN COMPLIANCE WITH UNIVERSITY AND COLLEGE GUIDELINES

APPENDIX III

DOCUMENTATION OF TEACHING EFFECTIVENESS This appendix may include well-organized copies of student evaluations, peer evaluations, and other information regarding teaching that the candidate desires to include.

APPENDIX IV

This appendix will contain copies of published materials and will contain a table of contents. Submitting copies of books is not required or encouraged but each candidate should have a copy of books or other lengthy reports available upon request from the committee.

## APPENDIX V

This appendix will include any documentation that the candidate wants to be considered in connection with Service Activities.