

Department of Finance, International, and Innovation

FII faculty vote 11/2019

ANNUAL PERFORMANCE EVALUATION

FII Department, in accordance with the guidelines of UNM Faculty Handbook and ASM Policies, have approved on 11/22/2019 the department standard for annual performance evaluation along with P & T (Promotion and Tenure) guidelines for department faculty (Tenure-Track and Teaching). The Department evaluates a faculty's performance on Research, Teaching and Service components of their job responsibility. A tenure-track and research faculty undergoes evaluation on Research, Teaching and Service components, while a teaching track (e.g., Lecturer) faculty undergoes evaluation on Teaching and Service components.

As per the ASM Policy, FII Department assesses a faculty's research performance based on the most recent three-year research record and the most recent year teaching and service performance. In each of the three categories (Research, Teaching, and Service), four ratings are possible as listed below (from highest to lowest):

EE = Exceeds Expectations

ME = Meets Expectations

MM = Meets Minimum Expectations

NS = Unsatisfactory or Not Sufficient

The FII Department criteria for four ratings in Research, Teaching and Service are below.

Research

The Department assess a faculty's research performance using their scholarly output in the most recent three years. Scholarly output evaluated are research articles, books, book chapters, conference proceedings, conference presentations, community engaged scholarly output, and working papers/manuscripts. A faculty member's scholarly output should be in the same area or area related to the faculty's line. However, consistent with FII department's strategic plan, the department recognizes and encourages interdisciplinary research.

The Department uses journal classification for evaluating published or accepted or forthcoming research articles. The department utilizes Journal Citation Report (JCR) or ABDC List from Harzing's Journal Quality List¹ for classifying journals. The department has four different tiers for journals: A: Top Tier Journal, B: Mid-Tier Journal, C: Low Mid-Tier Journal, and D: Other Intellectual Contribution(s). Each journal tier is defined as follows:

$$\text{Journal Tier} = \begin{cases} A: \text{if Impact Factor} \geq 2 \text{ or ranks } A^* \text{ and } A \text{ from ABDC List in Harzing} \\ B: \text{if } 1 \leq \text{Impact Factor} \leq 2 \text{ or ranks } B \text{ from ABDC List in Harzing} \\ C: \text{all PRJ not rated } A \text{ or } B \text{ (excludes Cabell's Backlist Journal/Publisher)} \end{cases}$$

¹ The department will utilize the Harzing's Journal Quality list from *the most recent year available*.

Community Engaged Scholarship.

Community engaged scholarship in scholarly work, teaching, and service may be used to enhance the candidate's portfolio for tenure and promotion to Associate Professor and promotion to Full Professor. The candidate is responsible to document the impact and value of their community engagement in annual review materials and in the promotion/tenure dossier.

The candidate is also responsible for documenting the impact and value of community engagement in scholarly activity. A faculty member wishing to pursue community-engaged scholarship that may not be published in peer reviewed journals should first consult with the department chair and senior department faculty to ensure the project has: clear goals, methodological rigor, significance, effective dissemination of results, a plan for reflective critique, and a strategy for obtaining acceptable peer review.

The acceptability of community-engaged scholarly activity should be documented in annual reviews or a memo from the department chair to the candidate prior to, or in early stages of, the scholarly activity.

Impact of Coauthors

The review committee/Department Chair shall consider the downward adjustment, if any, necessary to the article count for the articles exceeding four authors.

Conference Publication and/or Participation

An article published in the regular or proceedings issue of an association's journal in the usual, customary and normal course of review process shall be part of the portfolio evaluated as scholarly work. A presentation published in a non-refereed proceeding issue shall not count as part of the portfolio.

Book(s) and Book Chapter(s)

FII department Full Professors shall provide a *written analysis* of the publisher, book (s), and book chapter(s). This analysis will assign a level in the range of *D* to *A*.

External Research Grant

FII department will use the value of the grant to assign a level in the range of *D* to *A*.

Others

Any activity not included here shall be evaluated by FII department Full Professors.

Evidence of Ongoing Research Activity

1. First draft of a new, *complete* working paper, ready to be presented and circulated. A *complete* working paper means a paper with Title Page, Abstract, all the pre-conclusion sections, Conclusion, References, Tables and Graphics.
2. Resubmission of a revised working paper in response to review process.

FII Department's annual evaluation criteria for four different categories of scholarly performance is below:

$$\text{Evaluation} = \left\{ \begin{array}{l}
 \text{EE} \text{ if any two of the following are satisfied} \\
 \text{i. } \sum_{t=0}^{-2} \text{A-level publication}_t \geq 1 \\
 \text{ii. } \sum_{t=0}^{-2} \text{B-level publication}_t \geq 2 \\
 \text{iii. } \sum_{t=0}^{-2} \text{C-level publication}_t \geq 3 \\
 \text{iv. } \sum_{t=0}^{-2} \text{A-, B-, or C-level single-author publication}_t \geq 1 \\
 \text{v. } \sum_{t=0}^{-2} \text{Research presentation at conference/seminar}_t \geq 3 \\
 \text{vi. } \sum_{t=0}^{-2} \text{New working paper}_t \geq 2 \\
 \text{vii. } \sum_{t=0}^{-1} \text{A- or B-level revise and resubmit}_t \geq 1
 \end{array} \right.$$

$$\text{Evaluation} = \left\{ \begin{array}{l}
 \text{ME} \text{ if any one of the following is satisfied} \\
 \text{i. } \sum_{t=0}^{-2} \text{Publication in PRJ}_t \geq 3 \\
 \text{ii.a. } \sum_{t=0}^{-2} \text{A- or B-level publication}_t \geq 1, \text{ and} \\
 \text{ii.b. } \sum_{t=0}^{-2} \text{Publication in PRJ}_t \geq 1 \\
 \text{iii. } \sum_{t=0}^{-2} \text{Single-author publication}_t = 1 \\
 \text{iv. } \sum_{t=0}^{-2} \text{Research presentation at conference/seminar}_t \geq 1 \\
 \text{v. } \sum_{t=0}^{-2} \text{New working paper}_t \geq 1 \\
 \text{vi. } \sum_{t=0}^{-2} \text{Revise and resubmit}_t \geq 1
 \end{array} \right.$$

$$\text{Evaluation} = \left\{ \begin{array}{l}
 \text{MME} \text{ if the faculty-member remains qualified as one of} \\
 \text{SA, PA, SP and IP based on AACSB standards} \\
 \text{NS} \text{ if the faculty-member does not remain qualified as one of} \\
 \text{SA, PA, SP and IP based on AACSB standards}
 \end{array} \right.$$

where

EE = exceeds expectations

ME = meets expectations

Exceptions to Annual Review Guideline

The research rating of untenured tenure-track faculty-members in their first three years (T-1, T-2, and T-3), i.e., before their mid-probationary review, will be based on the assessment whether their research efforts and accomplishments are likely to keep them on track to satisfy the criteria needed to tenure and/or promote the faculty-member to the rank of associate professor during their mid-probationary review.

No annual review ratings guarantee either tenure or promotion to an untenured faculty-member.

AACSB Standards 2, 5, and 15

See Attachment.

Teaching

FII Department's teaching policy is designed to enhance teaching effectiveness and teaching effort of faculty for effective student learning. The Department utilizes a faculty's the most recent year on-load (inclusion of off-load course(s) is at the discretion of the faculty) teaching for assessing their teaching effectiveness. The Department's annual evaluation criteria for four different categories of teaching performance is based on student evaluation scores (as adjusted by a through 1 below). The student evaluation scores would be evaluated as follows.

$$Evaluation = \begin{cases} EE & \text{if } SE \geq 4.2 \\ ME & \text{if } 3.5 \leq SE < 4.2 \\ MME & \text{if } 3.0 \leq SE < 3.5 \\ NS & \text{if } SE < 3.0 \end{cases} \quad (1)$$

where

EE = exceeds expectations

ME = meets expectations

MME = minimally meets expectations

NS = not sufficient

SE = students' evaluation score(s)

The student evaluation scores would be adjusted as follows.

$$-2.00 \leq Adjustment \leq \max(1.5, 5 - SE) \quad (2)$$

subject to

$$SE + Adjustment \leq 5 \quad (3)$$

- a. core/required: +0.10; elective: +0.00; required concentration: +0.10
- b. graduate: +0.10; undergraduate: +0.15
- c. quantitative: +0.15
- d. grade distribution: +0.25 if the class average GPA \leq departmental average GPA
- e. pedagogy: +0.25 for using an approved course package (or textbook) and a national general-readership publication (or appropriate to the discipline), e.g., *Wall Street Journal* is recommended for all business degree programs (typically supplemented by *Business Week*, *Fortune*, *Forbes, Inc.*, *Entrepreneur*, etc.)
- f. class size: +0.10 for number of students > 30
- g. student comments: majority positive or neutral: +0.10; majority negative: -0.10

- h. course innovation and development; number of new preps (teaching a course after five years); new course (teaching a course for the first time): +0.25
- i. peer evaluation or outside evaluation, if acceptable (at least once every three years): [+0.25, +0.50]
- j. supervision of independent studies, internships, problem courses and (master's or doctoral) theses (if more than one in a semester): +0.10
- k. others (emergency, substitution, ARC, UNM teaching award, non-traditional delivery method, diversity, etc.): max ± 0.15
- l. teaching statement (compulsory) (includes *reflection* on teaching, improvement, connection to other *concentration* courses and to degree/certificate program, connection to Strategic Plan)

Service

FII Department's annual evaluation criteria for four different categories of service performance is below:

Not satisfactory (NS) - Below MME performance level.

Minimally Meets Expectation (MME) – At least one graduation ceremony and at least one department committee assigned by the chair.

Meets Expectation (ME) - MME + One of the activities from list below

- Service to academic community
- Service to profession
- Service to college
- Service to university
- Service to community

Exceeds Expectation (EE) – ME + One of the activities from the list below

- Service to academic community
- Service to profession
- Service to college
- Service to university
- Service to community (including but not limited to government, non-profits)

Absence from a meeting: A faculty member is required to attend department meetings and ASM Faculty meetings. In case of a likely absence, the faculty member should inform prior to the meeting the presiding officer of the meeting or the Department Chair.

FII TENURE AND PROMOTION TO ASSOCIATE PROFESSOR

Per the University of New Mexico "Policy on Academic Freedom and Tenure" Section 1.2(b), faculty performance is to be evaluated in four categories -- Teaching, Scholarly Work, Service, and Personal Characteristics.

“In order to earn either tenure or promotion or both, faculty are required to be effective in all four areas. Excellence in either teaching or scholarly work constitutes the chief basis for tenure and promotion. Service and personal characteristics are important but normally round out and complement the faculty member’s strengths in teaching and scholarly work.”

To be judged excellent in scholarly work, the expectation is 6 or more peer-reviewed journal articles, with at least one in a *top journal* and at least 3 others in *second-tier or higher impact journals*. The journals are expected to be in the same area or area related to the faculty’s line. However, consistent with FII Department’s strategic plan, the department recognizes and encourages interdisciplinary research and community engaged scholarship. *Top journals* are defined as journals that have a Journal Citation Rank (JCR) impact factor of 2.0 or higher or A*/A rated journals from the Harzing’s Journal Quality ABDC list. *Second-tier or high impact journals* are defined as journals that have a JCR of at least 1.0 or B rated journals from the Harzing’s Journal Quality ABDC list.

Faculty who pursue this route to tenure are also required to be effective in teaching, which is evaluated through tenured faculty reviews of syllabi, class visits, and student evaluations.

Excellence in teaching requires substantial demonstrated contributions to the craft of teaching, including publications of original research at pedagogical conferences and in peer-reviewed pedagogical journals. The hurdle to be granted tenure based on teaching is extremely high and is rarely attempted. Faculty who pursue this route to tenure are required to be effective in research, which requires publication or acceptances of at least some original research in peer-reviewed non-pedagogical journals.

Expectation for effectiveness in service is minimal for tenure-track faculty, who are expected to serve on an ASM or department committee (e.g., policy and planning, library, information technology, or recruiting) and / or serve as advisor for a student club during their T4, T5, and T6 years.

To be judged less than effective in the category of personal characteristics, faculty must have committed an egregious act, such as plagiarism or academic dishonesty.

FII PROMOTION TO PROFESSOR

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Per the University of New Mexico “Policy on Academic Freedom and Tenure” Section 2.2.3(a), for promotion to the rank of professor:

“Individuals who have attained high standards in teaching and who have made significant contributions to their disciplines may be considered for this faculty rank. They shall also have developed expertise and interest in the general problems of university education and their social implications, and have shown the ability to make constructive judgments and decisions. It is expected that the professor will continue to

develop and mature with regard to teaching, scholarly work, and the other qualities that contributed to earlier appointments.”

Regarding scholarly work, the expectation is that the faculty will continue to publish at least at the same pace and journal quality as in the pre-tenure years. The faculty will have demonstrated impact on the field through wide-citation of his or her academic publications, grants, leadership role at journals (e.g., editorship, associate editorship, guest editorship, editorial board, etc.) or conferences (e.g., conference chair, program chairs, etc.), and referee activities. The faculty will also have a research pipeline consistent with the expectation that publication will continue at about the same or higher pace and quality after promotion to full. Consistent with FII Department’s strategic plan, the department recognizes and encourages interdisciplinary research and community engaged scholarship.

Regarding teaching, the expectation is that faculty will continue to be effective in teaching, which is evaluated through tenured faculty reviews of syllabi, class visits, and student evaluations. Faculty will be expected to have taken on leadership roles in curriculum development within his or her own discipline, ASM, or the university. Faculty will also have developed and implemented new courses, concentrations, community-partnerships, consulting opportunities, study-abroad programs, or other learning experiences demonstrated to have furthered the opportunities and learning outcomes of ASM or other university students.

Faculty applying for promotion to full professor can demonstrate leadership by serving in leadership roles within ASM and on university committees or faculty senate.