

The University of Maine

DigitalCommons@UMaine

---

General University of Maine Publications

University of Maine Publications

---

10-8-2019

## Evaluation Criteria for Reappointment, Promotion and Tenure by Department

Office of the Executive Vice President for Academic Affairs & Provost

Follow this and additional works at: [https://digitalcommons.library.umaine.edu/univ\\_publications](https://digitalcommons.library.umaine.edu/univ_publications)



Part of the [Educational Administration and Supervision Commons](#), [Higher Education Commons](#), and the [History Commons](#)

---

This Policy is brought to you for free and open access by DigitalCommons@UMaine. It has been accepted for inclusion in General University of Maine Publications by an authorized administrator of DigitalCommons@UMaine. For more information, please contact [um.library.technical.services@maine.edu](mailto:um.library.technical.services@maine.edu).

## EVALUATION CRITERIA FOR REAPPOINTMENT, PROMOTION AND TENURE IN THE ANIMAL AND VETERINARY SCIENCES DEPARTMENT

The Faculty of the Department of Animal and Veterinary Science, who recommend reappointment, promotion and the granting of tenure to the chief administrative officer of the University, accept the following guidelines for reappointment, promotion and tenure on May 5, 2005

The Animal and Veterinary Sciences Department Peer Evaluation Committee (ANVPEC) will evaluate all probationary faculty on an annual basis, and Associate Professors and full Professors on a four-year rotation. The evaluation will consider performance in each of the designated activities of instruction, research and outreach/public service, based on the percentage appointment, with consideration of the actual length of employment. The review will consider their documentation of:

- a. teaching effectiveness, based on student evaluations
- b. scholarship and professional activity, including
  - i. peer reviewed publications and creative works
  - ii. scholarly and professional work in progress
  - iii. professional presentations
  - iv. other scholarly activity
- c. submitted and awarded research/training/teaching grants
- d. service to the department, college, campus
- e. outreach/public service/professional service (i.e. reviewer, editor, etc.)
- f. special recognition and awards

This material should be organized in the same format as required in a tenure and promotion application (see [http://www.umaine.edu/hr/profemp/afum/prom\\_tenure\\_format.htm](http://www.umaine.edu/hr/profemp/afum/prom_tenure_format.htm)), and will thus help probationary faculty prepare their material for this important event. Points of consideration of each activity include:

- A) Teaching
  - Classroom effectiveness as measured by student evaluations
  - Course preparation and delivery
  - Laboratory instruction
  - Student advising including data from regular student advising evaluations and Senior student exit interviews
- B) Research
  - Planning and execution of research projects
  - Publication record
  - Grant writing and success in obtaining extramural funding
  - Other creative accomplishments
- C) Outreach/Public Service
  - Ability to work with people
  - Ability to communicate with client groups
  - Drive and initiative to promote change
  - Contribution to program outreach

Three levels of performance are recognized: Superior, Effective, and Needs Improvement.

**Superior Performance** may be demonstrated as follows:

- A) Teaching  
Recognition both within and outside the department as an outstanding teacher, advisor, and as reflected in student evaluations. Teaching overloads for probationary faculty should be avoided to protect a new faculty's ability to conduct a meaningful research program. Permanent increases in teaching responsibilities that exceed the teaching appointment should be reflected by a corresponding decrease in the faculty member's research appointment. In the event that a tenure track faculty member's teaching load exceeds his/her appointment and the teaching load cannot be adjusted, the peer committee will take this situation into account when reviewing packets for promotion and tenure.
  
- B) Research  
National recognition of the faculty member as an outstanding researcher. This can be demonstrated through grant applications, number of grants awarded, publications in peer-reviewed journals, books or contributions to book chapters or other scholarly works. To achieve superior performance, a faculty member on a 100% research appointment should average a minimum of two peer-reviewed publications per year. All faculty, regardless of the proportion of their appointment specified as research, will be expected to have several peer-reviewed publications during their probationary period. Promotion and tenure are not based solely on the number of peer-reviewed publications. Other scholarly efforts, such as Experiment Station publications, book chapters, editorial contributions, and presentation of papers before professional societies or other professional groups can be further evidence of superior performance. In order to provide a basis for evaluation of journal quality, the probationary faculty member is encouraged to provide supporting information to the Peer Evaluation Committee regarding the reputation of journals in which he/she publishes.
  
- C) Outreach/Public Service  
Superior contributions to public service programs, such as the Animal Disease Diagnostic Laboratory, community service with industry stakeholders and professional service to the department, college, university, state or nation.

**Effective Performance** may be demonstrated as follows:

- A) Teaching  
Recognition both within and outside the department as an effective teacher, advisor, and as reflected in student evaluations. Teaching overloads for probationary faculty should be avoided to protect a new faculty's ability to conduct a meaningful research program. Permanent increases in teaching responsibilities that exceed the teaching appointment should be reflected by a corresponding decrease in the faculty member's research appointment. In the event that a tenure track faculty member's teaching load exceeds his/her appointment and the teaching load cannot be adjusted, the peer committee will take this situation into account when reviewing packets for promotion and tenure.
  
- B) Research  
Effective performance is demonstrated by a continued effort in research projects that results in peer-reviewed publications, but that does not meet the criteria set

forth for Superior Performance Other scholarly efforts, such as Experiment Station publications, book chapters, editorial contributions, and presentation of papers before professional societies can be further evidence of effective performance. A commitment to acquiring extramural support, as documented by a history of grant applications, must be in evidence. All faculty, regardless of the proportion of their appointment specified as research, will be expected to have several peer-reviewed publications during their probationary period.

- C) Outreach/Public Service  
Effective contributions to public service programs, such as the Animal Disease Diagnostic Laboratory, community service with industry stakeholders and professional service to the department, college, university, state or nation.

### Procedure for Appointment or Reappointment

#### Probationary Faculty

Untenured faculty will be evaluated as specified in the current AFUM contract on the same criteria used for tenure decisions with consideration of their actual length of employment. The ANVPEC is expected to give untenured faculty a forthright indication of his/her progress toward tenure, explaining where improvement is required and offering suggestions as to how performance can be improved. At the department level, the peers are best qualified to judge the quality of the probationary faculty's research, teaching and service efforts. An objective assessment of this quality should be included by the ANVPEC in their annual reviews of probationary faculty for reappointment. A simple majority vote of ANVPEC will constitute a recommendation for reappointment of a probationary faculty member.

#### Promotion or Reappointment with Tenure

A majority vote of the ANVPEC will constitute a recommendation for promotion with tenure or a reappointment with tenure. Documented performance is the criterion for the tenure decision. An objective assessment of the quality of the faculty member's performance will be included by the ANVPEC in their recommendation. The overall rating of the faculty member's performance in the major category of their appointment (research, teaching or outreach/public service) must be superior, with at least effective performance in the other categories. Philosophically, for faculty who have equally split appointments, such as 50:50 Research:Teaching or 45:45:10 Research:Teaching:Administration, superior performance could be in either of the major appointment categories. All faculty, regardless of the proportion of their appointment specified as research, will be expected to have several peer-reviewed publications during their probationary period.

#### Promotion to Full Professor

The same criteria outlined for reappointment with tenure will be used to evaluate faculty for promotion to full professor. In addition, the candidate must demonstrate sustained superior scholarly activity and must have attained a high national and international professional reputation, as evidenced by supporting letters by peers, and by contributions made to international symposia and internationally circulated journals.

**FACULTY EVALUATION GUIDELINES**  
**PROMOTION, TENURE AND PEER REVIEW**

Faculty evaluation in the Department of Art is based on assessment of a faculty member's performance in all three areas of the Department's tripartite mission: 1) teaching; 2) creative process/scholarship/research; and 3) professional service. The Department of Art has identified all three areas of performance as important to the overall evaluation of faculty. However, the first two areas (teaching and creative process/scholarship/research) are the Department of Art's top priorities for re-appointment, promotion and tenure.

**PEER COMMITTEE**

For purposes of Peer Review the department chair shall appoint a Peer Review Committee, consisting of three, full-time tenured or tenure-track faculty members. One tenured faculty member shall be designated by the department chair as chair of the Peer Committee.

**TEACHING**

Faculty members will be evaluated on the evidence of their contributions to the teaching mission of the Department of Art. Level of participation, ability to develop effective teaching strategies, and quality and effectiveness of performance will be considered. The following guidelines will be used to assist in the evaluation of these contributions:

- A. Setting and achieving course goals
- B. Course and curriculum development
- C. Addressing issues of conceptual, cultural and historical diversity
- D. Advising, informing, evaluating, communicating with, and inspiring students
- E. Contributing to the broad educational mission of the Department of Art and the university as a whole

Documentation used to assist in the evaluation process as deemed appropriate by the Department of Art should include: course materials ( i.e. course handouts and study sheets, journal assignments, sample course assignments, examples of student papers, exams, studio work produced both in and out of class); student evaluations; classroom visitation feedback; detailed statement of teaching philosophy; record of

student success in entering graduate programs or professional life; awards; and clear evidence of conscientious student advising.

## **CREATIVE PROCESS/SCHOLARSHIP/RESEARCH**

Faculty members will be evaluated on the evidence of their contributions to the creative process/scholarship/research mission of the Department of Art. Level of participation, ability to develop significant projects, and the quality and effectiveness of the work and the venues in which it is presented will be considered. The following guidelines will be used to assist in the evaluation of these contributions:

- A. Continuing involvement in the faculty member's creative and/or research process, including:
  - 1. the initiation of new projects; and
  - 2. the advancement and development of existing projects
  
- B. Evidence of significant achievement in the presentation or publication of creative and/or scholarly work, including:
  - 1. the public dissemination of work through (international, national, regional, and local) exhibitions, installations, publications, scholarly presentations, or other venues as is appropriate to the individual faculty member's discipline;
  - 2. the seeking and receiving of grants, fellowships, or commissions;
  - 3. the inclusion of work in public or private collections; and
  - 4. nominations for and receiving of professional awards.

Professional development and activity shall correlate to the faculty member's responsibilities within the Department of Art and will be appropriate to her or his discipline. However, the Department of Art supports an holistic approach to professional development and activity encouraging faculty to explore broad bodies of knowledge and experience as well as diverse venues for presentation.

## **PROFESSIONAL SERVICE AND OUTREACH**

Faculty will be evaluated on the evidence of their contributions to the service and outreach mission of the Department of Art. The quality of participation, contribution, and performance will be considered. The following guidelines will be used to assist in the evaluation of these contributions:

- A. Service contributions within the department, college, and university
  
- B. Service contributions that are international, national, regional, and local in scope

Professional service shall be grounded in an individual faculty member's expertise within her or his discipline.

### **CRITERIA FOR TENURE**

In the Department of Art, the granting of tenure is usually associated with promotion from the rank of Assistant Professor to the rank of Associate Professor. The granting of tenure assumes that the faculty member being considered has successfully fulfilled the criteria articulated for promotion to Associate Professor in the Department of Art's Faculty Evaluation Guidelines. In the unusual circumstance that a faculty member is hired at the rank of Associate Professor or Professor without tenure, the Department of Art, in accordance with the time-line stipulated by the AFUM contract and the institution's policies guiding such hires, will review his or her professional contributions during and prior to employment at the University of Maine. This review will be based on the Department of Art's Faculty Evaluation Guidelines criteria for promotion to Associate Professor or Professor, whichever is appropriate for the individual situation.

### **POST-TENURE REVIEW**

Evaluation for post-tenure review will be based on continued significant, demonstrated success in teaching and advising; creative process/scholarship/research; and professional service.

### **APPROPRIATE DEGREES**

In the area of Studio Art, a Master of Fine Arts (M.F.A.) is considered the terminal degree. In exceptional cases equivalent professional experience may be considered in lieu of the M.F.A.

In the areas of Art History and Art Education, a Doctorate of Philosophy (Ph.D.) is considered the terminal and appropriate degree. In Art Education, a Doctorate of Education (Ed.D.) may also be considered as appropriate. In exceptional cases equivalent professional experience or a Master of Arts (M.A.) may be considered in lieu of the Ph.D. or Ed.D.

## CRITERIA BY RANK

*Instructor:* The rank of Instructor shall generally be used only for part-time, fixed length faculty in the Department of Art. Except in unusual circumstances, an Instructor should hold a master's degree in an appropriate discipline.

*Assistant Professor:* The rank of Assistant Professor presumes that the individual possesses the potential to successfully progress toward promotion and tenure according to the Department of Art's Faculty Evaluation Guidelines criteria. Except in unusual circumstances, an Assistant Professor should hold the terminal degree which is appropriate for his or her discipline.

*Associate Professor:* The rank of Associate Professor reflects significant, consistent, demonstrated, and continuing achievement in the areas identified in the Department of Art's Faculty Evaluation Guidelines. Except in unusual circumstances, an Associate Professor should hold the terminal degree which is appropriate for her or his discipline.

*Professor:* The rank of Professor reflects consistent, demonstrated achievement of an exceptionally high order in the areas identified in the Department of Art's Faculty Evaluation Guidelines. A Professor should have national or international recognition for making scholarly and/or creative contributions to her or his discipline.



**FACULTY EVALUATION GUIDELINES**  
**SABBATICAL LEAVE**

Faculty in the Department of Art are eligible to apply for sabbatical leave in accordance with the AFUM contract. Applications must be submitted at least six months prior to the proposed date of leave. All Sabbatical Leave applications will be assessed by a Peer Committee of the Department of Art. After a thorough assessment of the application, the Peer Committee will make a formal recommendation to the department chair. Based on this recommendation and her or his own assessment of the application, the department chair will make a final recommendation concerning the status of the sabbatical request and forward it to the next administrative level. The following criteria will be used in assessing all Sabbatical Leave applications:

- A. Documentation of successful, ongoing contributions to the Department of Art's tripartite mission of teaching; creative process/scholarship/research; and professional service.
- B. Review of proposal for appropriate and effective use of sabbatical time-frame, scope of project focus, and the relevancy of the project to the individual faculty member's professional responsibilities and direction.
- C. Evidence of effective and appropriate use of previous sabbatical leaves.

All faculty granted sabbatical leaves are required to submit a formal report to the department chair within sixty days of return from leave. In addition, faculty returning from sabbatical leave are expected to present a public lecture or workshop (whichever is appropriate) based on the outcomes of the sabbatical project.

FACULTY EVALUATIONS  
(modified October 6, 2006)

DEPARTMENT OF BIOCHEMISTRY, MICROBIOLOGY AND MOLECULAR BIOLOGY

PART A. GENERAL STATEMENT

Faculty evaluations serve to improve professional performance and to provide the basis for personnel recommendations by the Department. Evaluation of faculty members in the Department will be based on their activities in research, teaching and service to the Department, College, University community, scientific community and the public. Emphasis will be placed in proportion to assigned responsibilities. The evaluation process will be the same for all faculty members. The evaluation of the faculty member will be done by a Peer Committee of four (4), elected by the faculty of the Department. For the evaluation and promotion of Assistant and Associate Professors, the Peer Committee will consist of faculty members holding the rank of either Professor or Associate Professor, and having tenure. For the evaluation of full Professors, the Peer Committee composition will consist of four full Professors.

The evaluation criteria stated below shall be the sole criteria used in personnel recommendations by this department. It is the responsibility of the faculty member to assemble and present evidence to be included in their evaluation. All procedures for evaluation will be in accordance with the "Evaluation" Article of the current University of Maine Agreement with the Associated Faculties of the University of Maine (AFUM).

PART B. CRITERIA FOR EVALUATION OF FACULTY

- I. Instruction. Teaching includes both graduate and undergraduate instruction as well as both formal and individualized instruction. The difficulty and importance of teaching classes with large enrollments is recognized; also, the problem of teaching advanced courses where the subject matter is in a state of flux is appreciated. The development of new lecture and laboratory courses is recognized to require a special effort.
  - A. Quality of Teaching.
    1. Course content may be judged by the course syllabus, the examinations given, and the reading assignments. The faculty member may invite members of the Peer Committee to audit lectures. Other information may be submitted by the faculty member to support his or her evaluation.
    2. Opinions of students set forth in the formal rating process, opinions of peers, and opinions of successful graduates, number and caliber of graduate students (including evidence of a mature working relationship between students and the faculty member) and development of new and effective teaching techniques shall also be used as evidence of teaching effectiveness.
  - B. Course and Curriculum Development. Activities associated with these departmental functions are considered to be of value and are associated with the overall teaching responsibility of the Department. Cooperation and effort in these activities are essential from each faculty member.
  - C. Textbook and laboratory manual writing. These include published works of which the faculty member is the principal author.
  - D. Student advising. Unless a special arrangement exists, faculty are expected to serve as responsible student advisors.
  - E. Popular articles. Articles dealing with developments in microbiology, biochemistry, or molecular biology.
- II. Research, Publications, Scholarly Writing, and Creative Work in Discipline.

Evidence must be presented which will allow the committee to estimate the quality and extent of the faculty member's research activities.

The faculty member must demonstrate evidence of a creative and productive mind. The research area must be one of commonly accepted areas as designated in standard scientific journals appropriate to the areas of biochemistry, microbiology, and molecular biology. The quality of achievement will be determined by the

publication of research papers (abstracts, papers delivered at meetings, journal articles in refereed periodicals, chapters in books and/or books), of documented citations of the faculty member's published work by other scholars, and on the effort to seek financial support for such research projects. The Peer Committee recognizes that opportunities for funding are not uniformly distributed to all areas of research. Therefore, the level of external funding may not be directly correlated with the level of effort or competence.

The following types of evidence supporting the effectiveness of research activities are listed in approximate order of importance.

- A. Publications, particularly those in refereed professional journals are of prime importance. The number of publications, although significant, will not take precedence over quality.
  - B. Competitive awards from national granting agencies are of major importance since they represent national competition and evaluation by external peer reviewers.
  - C. Competitive awards from within the University of Maine and external contractual arrangements for the conduct of research will also be considered.
  - D. Review articles in publications such as Annual Review of Biochemistry, Microbiological Reviews, *etc.*, where they are critically reviewed as to content will be of importance in evaluation.
  - E. Invitations to speak at and to participate in symposia and workshops sponsored by professional societies will be recognized. Consideration is also given to invitations to present seminars at other universities and to present talks to lay groups concerning the meaning of research or research results. Such invitations represent external recognition of varying importance and must be considered individually.
  - F. Presentations of research results at professional meetings are useful evidence of research productivity.
  - G. Non-refereed publications for the Maine Agricultural Experiment Station and other groups.
  - H. Professional Activities. Attendance at local and national meetings of professional societies, participation in the activities of professional societies and participation in workshops and short courses will all be considered as pertinent.
- III. Public Service in Discipline. Professionally related activities which serve the public interest are of value to the Department. These activities can take the form of consulting and technical assistance, manuscript and grant reviewing, service on grant review panels, or the activities can be pertinent talks delivered to citizen and school groups.
- IV. Departmental, College, Campus and University Assignments and Service.
- A. Unless a special agreement exists, all faculty members are expected to participate to a comparable degree in tasks required to run the Department, College, and University. These include such tasks as service on University, College and Department Committees. Other kinds of contributions may become necessary and, by agreement of the faculty, will be expected.
  - B. Consideration will be given to major committee assignments which involve a substantial time commitment.

## PART C. STANDARDS FOR REAPPOINTMENT AND PROMOTION

### I. Ratings.

- A. The Peer Committee will rate each faculty member primarily on categories I and II in Part B. This does not mean that good ratings in categories III and IV are not important but they are seen to be less important.

- B. The ratings in each category will be indicated as outstanding, satisfactory, or unsatisfactory. These will be established by comparison with national standards wherever possible; the comparison will be made with faculty members in similar departments in other universities. The Peer Committee interprets “satisfactory” to mean that, during the defined interval, the faculty member fully met all requirements and standard expectations for continuation of the appointment at the present level. “Outstanding” is taken to mean the performance exceeds the standard expectations of the appointment, qualifying the faculty member for advancement in due course, where applicable, and a proportionate share of discretionary salary increases. A rating of “unsatisfactory” means that in at least some particular, the faculty member has not met expectations of faculty in the Department and that corrective measures should be taken. The basis for ratings of “outstanding”, “satisfactory” or “unsatisfactory”, if any, will be given in the evaluation text, as will a discussion of any qualifications or uncertainties applying to this evaluation. In defining these criteria the viewpoint of the Committee is that, in order to advance in rank, faculty should achieve reasonably consistent ratings of “outstanding” in some part of the assignment and no ratings below “satisfactory”.
  - C. When evaluations for promotion in tenure or in rank are being made, the evaluation shall include all the evaluations that have been conducted during the qualification period.
- II. Reappointment, Promotions, and Merit Recommendations. In evaluating a faculty member, emphasis will be placed in proportion to the individual's assigned responsibilities in teaching and research.
- A. Reappointment
    - 1. Teaching rated at least satisfactory.
    - 2. Evidence of at least satisfactory research activity and interest.
    - 3. Evidence that overall progress is being made toward promotion to Associate Professor with tenure.
  - B. Promotion to Associate Professor with Tenure
    - 1. A consistent rating of outstanding in either teaching or research and at least satisfactory ratings in the other.
    - 2. Non-tenured faculty who are making satisfactory progress toward tenure can expect to be recommended in their sixth year of service. To be recommended earlier will require achievements beyond those normally considered sufficient for promotion.
    - 3. Associate Professors without tenure will be evaluated for tenure on the basis of the criteria for promotion to Associate Professor.
  - C. Promotion to Professor
    - 1. A faculty member will be recommended by the Department for promotion to the rank of Professor for demonstrating a high level of ability and scholarship. The faculty member must have shown sustained growth and development over time, with an outstanding level of achievement in the major assignment (teaching or research) and satisfactory achievement in the minor assignment, as evidenced by the periodic evaluation reports and other sources of evidence given in Part C - Section II.C.2. Research should be of a high enough caliber to have established an international reputation.
    - 2. Evidence for the level of scholarly activity might include such things as: a substantial record of publication in refereed journals; books or other comparable scholarly works; participation on editorial boards of journals; participation at national and/or international level in professional societies; invitations to participate in national and/or international meetings; and participation on grant peer review panels; success in obtaining external funding; letters of support from colleagues at other academic institutions; demonstrated excellence in teaching.
    - 3. Professors without tenure will be evaluated for tenure on the basis of the criteria for

promotion to Professor.

- III. Evaluations. Evaluations will be by letter written by the Peer Committee. The letters will be signed by all members of the Peer Committee. After the letter has been signed by the faculty member it will be returned to the faculty member's file.

# **Cooperative Forestry Research Unit**

## **Criteria for Appointment and Promotion**

### **PROGRAM REVIEW**

In order to make continual improvements and adapt to the changing needs of CFRU Cooperating Organizations, it is recognized that the CFRU organization will need to change and adapt. Thus, this Prospectus is expected to be a living document and will be revised every five years. At the end of each five-year period or at other times, the Advisory Committee may elect to conduct a formal review or audit of the accomplishments, finances, and organizational design of the CFRU. The type of review will be jointly decided by the CFRU Advisory Committee and the Director of the Center for Research on Sustainable Forests. Review teams may consist of representatives from Cooperating Organizations, members of the UMaine administration, and qualified reviewers from outside organizations. Recommendations by such review teams will be used as the basis for making modifications to the CFRU organization through revisions to the Prospectus.

## **Department of Chemical & Biological Engineering Promotion and Tenure Evaluation Criteria**

### **Constitution of the Promotion and Tenure Committee**

The Peer Committee will normally be composed of the tenured faculty members of the Department, excluding the candidate, the Chair, and any members on leave.

For tenure decisions the Committee will normally include only the tenured full professors unless a motion to include also the tenured associate professors or other members from outside the Department is put and carried by a majority of the eligible full professors. Untenured professors will not be included.

For promotion to the rank of full professor the committee will have the same composition and be governed by the same rules as for tenure decisions.

For promotion to the rank of associate professor the committee will normally include all tenured associate and full professors with the exception of the candidate, the chair and any professors on leave.

### **Procedure**

The file will be prepared by the candidate in consultation with the Chair, who will present the case briefly to the Peer Committee and answer any questions. However, unless explicitly requested to participate the Chair will not take part in the deliberations of the Committee.

The Committee will summarize the results of their deliberations and present them to the Chair in a form suitable for incorporation in the candidate's file.

### **Evaluation Criteria**

The primary responsibility of the Chemical and Biological Engineering faculty members is to sustain and strive to improve the total professional educational program of the Department, which includes effective teaching, effective advising, contributions to research, and contributions to public service, as stated in the Faculty Handbook of the University of Maine. All activities are essential for the sustained performance of the Department, and all will be considered as factors affecting recommendations on promotion and tenure, although performance in teaching and research will be considered as the major parameters. A satisfactory level of performance in all areas should be expected as a minimum for a positive recommendation. Exceptional performance in one of the key areas (teaching/research) can compensate for lesser performance in other areas and the final evaluation will be based on the Committee's perception of the faculty member's *overall* performance.

Evaluation of teaching will be based principally on the judgment of peers, the judgment of the department chair, and on the results of student evaluations. The evaluations shall include the nature of the courses taught and the attempts to revise the course material and presentation methods. Creative teaching, as illustrated by introduction of new methods, revision of courses, and adoption of methods by other chemical engineering departments will be taken as additional evidence of progress toward excellence.

Factors to be considered in evaluating contributions in research shall include the rate and quality of publications in reviewed research journals, the rate and quality of papers presented at recognized technical meetings, the development of an overall program of research, and the level of external funding. Research interaction with other faculty, the educational development of graduate students, the degree of self-support in generating new facilities, and expected potential for continued growth of particular expertise will also be considered as factors.

The effectiveness of advising both undergraduate and graduate students will be considered. Participation in guiding professional student society programs and cooperative educational programs may also be taken into account. Advising is recognized as an essential activity for all faculty members.

Service shall be considered in two areas—University and Professional. University service shall include service on committees, contributions to intellectual improvement, and willingness to promote the overall programs. Professional service shall include membership and service in professional organizations (office and committee memberships, technical session organization, short courses), consulting participation on government committees and panels. Other factors may also be considered, at the discretion of the Committee.

In addition, the unit member shall have demonstrated the ability and willingness to support and work for the general goals of the Department. This implies activities such as sharing in planning and implementing revisions to the curriculum, carrying out departmental assignments, and promoting mutual support among all department members. Special consideration will be given to contributions which are primarily for the benefit of others in the Department or University.

Promotion from Assistant Professor to Associate Professor requires that the unit member has demonstrated creative performance in those areas required by the mission of the Department. The unit member must show high promise for continued development. Typically, the evaluation will be almost totally based upon information and documentation supplied by the unit member, by the Peer Committee, or from sources within the University.

Promotion from Associate Professor to Professor requires a sustained record of accomplishment and a high level of recognition and maturity. The level of recognition and maturity will be determined from evaluation of the unit member's reputation by



knowledgeable individuals external to the University as well as from the documented results of activities in teaching, research, service and leadership.

Prepared March 1980 by A.L. Fricke  
Revised September 1998 by D.M. Ruthven  
Approved by CHE Faculty January, 1999

## DEPARTMENT OF CHEMISTRY

(September 2001)

### Criteria for Evaluation, Promotion and Tenure

Articles 7, 9 and 10 of the Agreement between the University of Maine System and AFUM delineate the rules and procedures for appointment, reappointment, promotion, tenure and evaluation of faculty members. This document describes the criteria to be applied within the context of these rules.

#### Role of peer Committees

Peer committees shall conduct annual evaluations where required and recommend reappointment, promotion and tenure where appropriate. For these purposes, peer committee members will solicit opinions from all departmental faculty members. It is also strongly recommended that peer committee members play active roles as mentors, particularly in the case of untenured faculty.

#### Constitution of Peer Committees

For the initial and subsequent annual evaluations and the promotion of assistant professors, the peer committee shall comprise the tenured members of the department.

For evaluations and promotion of associate professors, the peer committee shall also consist of all tenured members of the department excluding the member under review.

For evaluation of full professors, the peer committee shall comprise all full professors excluding the member under review.

For joint appointments, such as those between the Department and LASST, a joint Peer Committee shall be constituted, in accord with Article 9 of the AFUM Contract.

Each peer committee shall elect its own chair.

The written evaluation and, where necessary, the results of voting of each peer committee shall be forward to the departmental chairperson for transmittal to the member being reviewed and to the dean and for incorporation in the member's file. The general conclusions of the committee should be transmitted to the faculty member prior to the final draft of the letter in order that he or she will have an opportunity to meet with the committee to discuss any concerns.

The department chairperson shall be present at all peer committee meetings except those in which he or she is being evaluated as a faculty member. He or she shall not vote.

No faculty member with full time administrative responsibilities above the level of chairperson shall be a member of a peer committee.

### Criteria for Evaluation of Faculty

Evaluation of faculty will be carried out at the intervals stipulated in the Agreement according to the assigned division of duties. Professional Service outside the university is also considered meritorious.

These criteria will also be used in making decisions concerning reappointment, promotion and tenure and for evaluations with the purpose of distributing merit pay increases that are decided at the department level.

#### Teaching

Effectiveness as a teacher is expected to increase during a faculty member's career as familiarity with subject matter, ability to communicate and self-confidence increase. A high level of performance is expected.

Of overriding importance is the ability to impart knowledge and understanding with clarity, accuracy and enthusiasm. A faculty member is also expected to be responsive to student needs and to be available on a regular basis for student consultations and advising.

The supervision of undergraduate and graduate students in research projects and membership on thesis advisory committees are also deemed important teaching activities. Course development and curriculum review are also looked upon as significant components of the teaching picture, as is the writing of textbooks and manuals and publications in the pedagogical literature.

Assessment of teaching effectiveness will be based inter alia on written student evaluations and comments. Class visitation by peers may be carried out on a limited basis by arrangement with the faculty member. Inspection of class syllabi and examinations will provide information concerning organizational ability and testing rigor, amongst other things.

#### Research

Faculty members will be engaged in research or scholarship, which will be evaluated by reference to the following types of evidence, which are not necessarily listed in order of importance.

1. Publications in refereed professional journals. Quality of publications will take precedence over quantity.
2. Applications for, and Acquisition of Research Funds, with an emphasis on external grants. This activity is considered very important for the development of both the faculty member and the department.
3. Invitations to present papers or to participate in professional workshops. These offer evidence of recognition by peers outside the university in similar areas of research.
4. The presentation of research papers and posters at professional meetings. Regular attendance at such meeting is encouraged.
5. The Writing of Research Monographs or Books in the field of expertise.

6. The Review of Papers, Books and Research Proposals. This again demonstrates peer recognition in the field of expertise.

### Service

#### On Campus

All faculty members are expected to participate in departmental meetings and to serve on departmental committees. Other activities may include the advising of student groups in the discipline and participation in local scientific organizations and societies. In addition, an increasing participation in college and university affairs is anticipated, particularly after the granting of tenure. This may include committee work and membership on task forces. Faculty Senate and Graduate Board.

#### Off Campus

Service to the State and the off-campus community is looked upon with favor. This might include activities such as membership on State commissions and panels, office in the Maine Section or at the national level of the American Chemical Society, organizing meetings for the high school teachers, school visitations, etc. Consultation for remuneration may in some cases be considered an activity of this type.

### Reappointment and Promotions

In evaluations of all kinds, emphasis will be apportioned in proportion to the assigned distributions of responsibility in teaching and research.

#### Reappointment and Promotion of Assistant Professors

The first evaluation is scheduled early in the first semester when the research program is just beginning and the faculty member is meeting his/her first classes. At this stage there is insufficient information available on performance and unless there is negative evidence, the first reappointment should be automatic. It is expected that efforts will have been made to initiate the research program.

Subsequent reappointment decisions will be based in the teaching area on student evaluations, possible class visitations and scrutiny of course syllabi and examinations. In terms of research, a period of induction is expected after the first appointment, but publications should begin to appear after the research program has become well established and results begin to accumulate. This time frame will vary according to the nature of the research, the number of students and the availability of funds. It is expected that beginning faculty will make application for starter grants. As results accumulate, longer-term support should be sought from external agencies. Steady growth is expected in both teaching and research.

Promotion to Associate Professor will require evidence of a high level of performance in teaching and research. It is expected that the faculty member establish a research program in which he/she is clearly the lead PI in some projects. Letters will be solicited from outside referees in the research area who will be informed about teaching load, extent of institutional support and other pertinent matters.

### Promotion to Professor

For promotion to professor, continued high performance in teaching and research is expected together with contributions in the area of service. There must be evidence of a sustained and successful research effort as determined by personal observation, publications, professional activities and initiative in seeking and acquiring external support so that the peer committee is convinced of the dedication and commitment to research. Letters from outside referees will be solicited in order to assess the reputation of the candidate in the field.

### Periodic Evaluations

The expectations described above for reappointments and promotions will also apply to the other periodic evaluations of faculty members.

### Post-tenure Review

The criteria applied for reappointment and promotion also will be applied to continuance in rank as indicated in the AFUM contract.

## **CRITERIA FOR EVALUATION OF THE CLAS-HONORS PRECEPTOR OF ENGLISH**

### **I. EVALUATION CRITERIA**

The CLAS-Honors Preceptor of English will be evaluated on the basis of teaching, scholarship and professional development, and service commensurate with assigned teaching load, with an emphasis on teaching, to include teaching in the classroom as well as other pedagogical activities such as reading and language study groups, leading educational student field trips, and mentoring undergraduate research activities.

#### **TEACHING AND PEDAGOGY**

Evaluation of teaching will be based on performance in both the Honors College and in the Department of English. Measures used will include student evaluations of teaching, syllabi, and other course materials. Other measures may include peer evaluations of teaching, written statements from students and colleagues, self-reported analyses, teaching awards, and other relevant material. Teaching includes classroom teaching, as well as advising and mentoring students in English, advising Honors thesis students, serving on thesis committees, and supervising independent studies, internships, and other related student activities. Other activities that may be included in the evaluation of teaching and pedagogy are innovative curricular and pedagogical approaches, successful grant applications in support of curricular and pedagogical development, organization of and/or participation in workshops or seminars on teaching, coordination of active language learning and reading groups, and guest lectures in the Honors Civilizations sequence or third year Honors tutorials, courses in English other than the faculty member's own, or any other courses at the University. The English Department and the Honors College both endorse the following guidelines:

- (1) The Peer Committee evaluates teaching practices, including student evaluations, course materials, and classroom performance, of all faculty under consideration for reappointment or promotion.
- (2) Every faculty member must submit student evaluations of all courses taught each semester.
- (3) Unsolicited letters from students, alumni, and other faculty, along with any special recognition such as an award for good teaching, should be added to the record.

Signed commendations or complaints in writing to the English Department or Honors College become part of the faculty member's personnel file. The Honors College dean or English Department chairperson must supply the faculty member with a copy of such a document. The faculty member may respond in writing to any such document, and the written response also becomes part of the personnel file. All materials placed in the Personnel File fall under the provisions of Article 6 of the current AFUM contract.

## **SCHOLARSHIP AND PROFESSIONAL DEVELOPMENT**

Evaluation of scholarship and professional development will focus on research and scholarship that engages undergraduate students and scholarship produced independent of students, at least some portion of which must be within the discipline of English and some portion within Honors. In addition, scholarship and professional development may span interdisciplinary areas or focus on innovations in teaching, learning, and pedagogy. Evidence of scholarship and professional development may include refereed\* publications, conference presentations, exhibitions by students or jointly presented at professional or academic venues, grant funding either for undergraduate research experiences, independent scholarly research, curricular development, exhibitions or performances of peer-reviewed creative work at the state, regional, national, or international level or the curatorship of such events, awards and prizes received in competitions for research or creative activity, or similar activities that the candidate proposes for consideration. Publications can be either published or accepted for publication and can take a variety of forms, including scholarly articles and books, textbooks, bibliographies and biographies of literary figures, reviews and/or editorial work for a scholarly journal or press, and other forms of research and creative work that align with the mission of the Honors College and/or English Department.

\*“Refereed” here means that the scholarly work is evaluated by an expert in the field, whether an editor or editorial board for a journal, or a distinguished scholar asked to pass judgment at the request of a journal’s editor or of the contributor.

## **SERVICE**

Intellectual work is accomplished in service when faculty use their specialized knowledge in activities that sustain academic institutions as intellectual centers and enable them to carry out academic goals. Evaluation of service will be based upon activities in service in the English Department, the colleges, the university, Honors education, the discipline, or other appropriate areas. Service to the Honors College must include administrative duties, committee assignments, and involvement in College events. Academic knowledge may also benefit government, industry, the law, the arts, and not-for-profit organizations; examples would be serving on a state or local humanities council, helping a school system revamp its curriculum, working on a community literacy project, writing a script for public television, and consulting on expert testimony for legislative, executive, or judicial bodies at any level of government.

## **II. PEER EVALUATION COMMITTEE STRUCTURE**

The peer evaluation committee for the CLAS-Honors Preceptor of English will consist of representatives of both units. The English Department will be represented by two members of the English Department peer committee to be elected by that same committee. Honors will be represented by two AFUM-eligible faculty members, who are not affiliated with English, chosen by the Honors College peer committee. During the

evaluation process, the peer committee representatives from both Honors and English will take into consideration that this is a joint position—half-time Honors, half-time English—and adjust expectations regarding workload in each unit accordingly. The peer committee will forward its recommendations regarding reappointment to the English Department chair. The committee and chair’s recommendations will be forwarded to the Dean of the Honors College and to the Dean of the College of Liberal Arts and Sciences. The Deans will make recommendations to the Provost.

### **III. DEFINITIONS OF FACULTY RANKS**

#### **ASSISTANT PROFESSOR**

Appointments to CLAS-Honors Preceptor of English occur when the English Department and Honors College have openings in positions necessary for the accomplishment of their respective teaching, research, and service missions. Except in unusual cases (such as specialties for which the applicant pool is very small and the competition with other hiring departments, therefore, very strong; or when, as in the case of a published writer, experience and accomplishment are more important than academic degrees), individuals appointed to this rank must have earned the highest degree traditional to the discipline and/or area of specialization. This individual is expected to contribute to the teaching mission of the Honors College and the English Department, both in a direct capacity and as more broadly defined above. In addition, the individual is expected to participate in scholarship and service, with a particular emphasis on activities that promote and foster undergraduate creative activity and scholarship. In selecting candidates for such positions the English Department and Honors College choose individuals whose credentials best qualify them for the duties of those positions. The Honors College and English Department will not recommend tenure at the assistant professor rank.

#### **ASSOCIATE PROFESSOR**

To be recommended for promotion to CLAS-Honors Preceptor of English with tenure at the rank of associate professor, the assistant professors must, in the overall review made no later than the sixth year of their probationary periods, rank high in teaching success, intellectual work and academic/professional citizenship. Their scholarly or creative work after initial appointment should represent significant contributions commensurate with the assigned teaching load, as evaluated by experts in the field. They must show high promise for continued development in the teaching mission of the Honors College and English. Moreover, they must have demonstrated, excellence in accomplishing those duties for which they were hired, and they must show high promise for continued development consistent with the long-range missions of the English Department and the Honors College.

#### **EARLY TENURE**

Faculty members wishing to apply for early tenure and promotion must meet all usual criteria for teaching, scholarship, and service. In addition, they must demonstrate exceptionally broad national and/or international recognition of their work, as



substantiated by measures that may include significant national awards for teaching and/or scholarship, invitations to speak at prestigious conferences or institutions, frequent citation of their work, well-placed favorable reviews, or a publishing and/or teaching record beyond that required of a typical applicant.

### **PROFESSOR**

Recommendation for promotion from associate to professor depends not on length of time in rank but on quality of work. CLAS-Honors Preceptor of English candidates for rank of professor must demonstrate excellence in teaching, intellectual work and academic/professional citizenship. Through their work, they should have established a national reputation, as validated by experts in the field. As a teacher, they should show an extraordinary ability to stimulate in students a genuine desire for scholarly work. Their record of service should demonstrate a sustained commitment to activities that align with and enrich the missions of the Honors College and English Department. Appointment to the rank of professor from outside the university will not ordinarily be made; in the unusual case when it is, these same criteria will be used.

### **IV. PROBATIONARY PERIOD**

University policy on the probationary period for faculty on a tenure track is established by the *Agreement of the University of Maine with Associated Faculties of the University of Maine—i.e.*, the university contract. This document varies from one contract period to another, and all faculty members should regularly consult the current contract. All faculty, especially probationary faculty, should clearly understand (1) what probationary status is, (2) what the criteria—departmental, college, and university—for promotion to the various ranks are, and (3) what the evaluative procedures used by the department, college, and university are. Very early in the first year, new faculty members should meet with the chair of the English Department and the dean of the Honors College to discuss these policies. No new CLAS-Honors Preceptor of English should be reappointed for a second year without knowing the policies and procedures that govern reappointment, promotion, and the granting of tenure.

The probationary period is a time of testing and trying-out: new colleagues must be allowed time to show how they can contribute to the English Department and Honors College's missions in teaching, scholarship, and service. During this time, the Honors-English Peer Evaluation Committee evaluates as fully as possible the quality of the faculty member's progress toward a permanent, tenured position. Because these evaluations are, especially at the beginning of the probationary period, limited to short-term performance, and because performance may in subsequent years vary positively or negatively, and because the mission and needs of the English Department or Honors College may change, satisfactory annual evaluation during the early years of the probationary period cannot be considered as a promise of (or the equivalent of) tenure. Annual evaluation during the first two years of the probationary period is both judgmental and developmental: criticism should be tempered with constructive advice. Later on in the probationary period, the accumulating evaluation process must yield a final judgment; the entire probationary period is reviewed carefully and thoroughly, and it is on the basis of the entire accumulated record that the Peer Evaluation Committee makes its final judgment: to recommend for promotion and tenure, or to terminate.

## **V. EXTERNAL EVALUATION**

For promotion to associate professor and to professor, UM System policy stipulates that external letters of evaluation from experts in the candidate's discipline be provided. Such letters are solicited by the English Department chairperson and the Honors College dean in accordance with University of Maine procedures.

Approved by the joint Honors/English Peer Evaluation Committee (April 2013)

# **Climate Change Institute**

## **Criteria for the Evaluation and Promotion of Research Faculty Members**

Research faculty members in the Climate Change Institute at the University of Maine are expected to conduct externally funded research and may with the Director's approval participate in teaching, graduate advising, and public service. Research faculty members may have a Joint Appointment with an appropriate academic department or research institute, in which case they would require evaluation by a Joint Peer Review Committee with membership from both the Climate Change Institute and the academic department or other research institute. Research faculty members without a Joint Appointment will be evaluated by a Peer Review Committee with membership drawn solely from the Climate Change Institute. The Peer Review Committee will meet to produce a recommendation to be forwarded to the Director of the Climate Change Institute and, in the case of a Joint Appointment, to the Chair of the academic department or the Director of the other research institute. Contributions to the mission of the Institute and service to the discipline, the University, and the public are encouraged and may be requested from time to time as a condition of appointment. Research faculty members who participate in approved teaching, graduate advising, and service will have such activities considered in their evaluation.

### **Research**

Institute research faculty members are expected to participate in original, externally funded research. Documentation of the research will be through publication in refereed journals and in other scholarly vehicles such as books, book chapters, and published symposium contributions, as well as presentations at professional conferences. For purposes of evaluation, these categories should be clearly distinguished on the curriculum vitae and other documentation. Quality of sustained scholarship will be the primary measure for promotion. Evaluation of research by peers in the same discipline from outside the University of Maine will be a factor.

Institute research faculty members will be expected to seek and obtain levels of external funding appropriate for support of their research. Funding level, *per se*, will not be considered as a primary criterion for evaluation, because the degree of financial and logistic support required for research varies greatly among disciplines and projects.

### **Teaching**

The Climate Change Institute encourages research faculty members to participate in teaching and student advising. Discussion with the Director is required to ensure that these activities complement the Institute's goals as closely as possible. Instruction in the classroom, laboratory, and field are all appropriate teaching activities, as are participation on graduate committees and direction of graduate research.

### **Service**

The Climate Change Institute encourages research faculty members to participate in service to the Institute, the University, their discipline, and the public. Discussion with the Director is required to ensure that these activities are as complementary as possible to Institute goals. The Director may request research faculty members to provide specific service to the Institute to ensure they are well represented in the goals of the Institute.

### **Yearly Evaluations, Promotion**

The criteria listed above will apply in evaluation of all Institute research faculty members for decisions concerning reappointment and promotion. Each research faculty member will be reviewed annually for reappointment. Research faculty members must have spent at least two years in the Institute to be eligible for promotion to a higher rank. If, when appointing new research faculty members in the future, the Climate Change Institute should wish to set special requirements or grant exceptions from any of these expectations, such modification must be voted on by the Institute faculty as a whole prior to the appointment, and the terms must be specified in writing. Evaluation and promotion will follow University of Maine regulations and schedules. Any special requirements or

exceptions to the Promotion and Tenure guidelines that the Institute may vote to recommend at the time of hiring must be approved by the Provost and the President.

### **Sustained Performance**

All research faculty members of the Climate Change Institute are expected to maintain productivity in research and other approved activities consistent with or exceeding the standards applied at their most recent promotion.

23 January 2003

DEPARTMENT OF COMMUNICATION AND JOURNALISM CRITERIA FOR RE-APPOINTMENT,  
PROMOTION, TENURE AND PEER REVIEW

PREFACE: The following criteria guide the Department Peer Committee and should not prevent hiring or promoting an exceptional individual who possesses unusual talents that contribute to the department's mission. When such cases are made, the nature of the exception and any variation in the following criteria will be carefully evaluated and documented prior to forwarding a recommendation.

The Peer Committee will be composed of the tenured members of the Department for all peer-related business regarding full-time, regularly appointed faculty members. In the case of a jointly appointed faculty member, the Peer Committee will be appointed in accordance with the terms spelled out in the Memorandum of Understanding regarding her/his joint appointment.

I. EMPLOYMENT POLICY: Under normal circumstances, a candidate must have earned the terminal academic degree appropriate to the position to be hired at the Assistant Professor level or higher. In exceptional cases, significant professional or academic experience may substitute for the terminal degree.

II. GENERAL GUIDELINES: The department will emphasize on a continuing basis the categories of: A. Teaching and Program Development; B. Research, Publication, Scholarship, Professional/Creative Activity; and C. Service. These categories will be used for reappointment, promotion, and tenure, and in conducting reviews as mandated by the union contract. As an ideal goal, teaching, research, and service should represent an integrated set of activities, with each informing and improving the other. Further, an ability to work cooperatively and productively with colleagues and students is expected at any rank. Further, the department affirms the joint declaration the University of Maine System (UMS) and Associated Faculties of the University of Maine (AFUM) that "the shared expectation [is] that all members of the campus community will work to develop and maintain professional relationships that reflect courtesy and mutual respect."

For purposes of evaluation, Category A (Teaching) will be of utmost importance in the review of Instructors and of Assistant Professors undergoing their first and second-year reappointment reviews. As Assistant Professors progress toward tenure and promotion, Categories A (Teaching) and B (Research) will be of equal importance. This status shall remain in effect while the faculty member serves as an Associate and/or Professor. The relative importance of Category C (Service) will continue to increase as one progresses toward the rank of Professor, but will be less significant in the review process. As teaching and other activities are reviewed, the duties assigned to the faculty member during the review period will be taken into consideration. In particular, variables such as the initial offering of a course, its level, size, and special responsibilities (e.g., writing intensive) will be taken into account in assessing Category A (teaching).

A. TEACHING, PROGRAM DEVELOPMENT, AND ADVISING: This category shall include undergraduate and graduate instruction, CED and CID activities, creation of new courses, overall curricula and program development (including submission of instructional grants), and academic advising activities. Evidence of teaching quality and program development may be demonstrated by such data as formal course evaluations, student comments, syllabi, exams, assignments and other relevant information. Within the area of academic advising, faculty are expected to make time to meet with students during office hours and to be knowledgeable about department, college, and university requirements. Advising at the graduate level is evidenced by both multiple committee memberships and advising graduate students through completion of their degree.

B. RESEARCH, PUBLICATION, SCHOLARSHIP, PROFESSIONAL/CREATIVE ACTIVITY: This category shall include published articles, books, and reviews; editorial work for scholarly journals or presses; formal presentations at professional meetings and invited papers at other institutions; grants and contracts resulting in research; and professional/creative activity appropriate to the faculty member's teaching and research duties within the department. The term "professional/creative" activity is taken to mean performance in communication and journalism

that results in exemplary work. Under normal circumstances, professional/creative activity would not be considered the sole contribution of the faculty member in the category of Research. Thus, faculty are advised to consult with the Peer Committee regarding the nature and extent of their professional involvement to arrive at a mutual understanding of where and how it will be reviewed.

Articles or their equivalents are defined as single or co-authored peer-reviewed articles, invited essays, and book chapters. Single or co-authored books, edited books, special journal issues, or anthologies may be considered as equivalent to more than a single article but the level of equivalence shall be determined case by case contingent on the scope and size of the work and the faculty member's scholarly contribution. Evidence of contribution in the case of jointly produced work is expected. Depending on the selectivity of the conference or exhibition, the scholarship involved, the quality and/or the impact of the work, the Peer Committee may accept conference papers, research grants proposals that have been submitted for review, creative work, and other scholarly products as equivalent to articles.

- C. SERVICE: This category shall include public, university and professional activities carried out as an extension of the university's mission to the community and the state, including a broad range of community engagement. Such activities must be directly related to the professional expertise of the faculty member; activities may include, but not be limited to, service to the department, the college and university community (i.e., faculty governance), service to professional associations, conducting workshops for others in the university or in the community, consulting activities, etc. Department service includes, but is not limited to, serving as Department Chair, Graduate Coordinator, Internship Coordinator, and Chair of the Peer Committee.

### III. CRITERIA FOR RANKS

#### A. INSTRUCTOR

1. Must have satisfactory academic preparation in the subject area to be taught and successful experience in the classroom or field.
2. To be considered for reappointment, must have demonstrated success in teaching (see II.A.).
3. To be considered for reappointment, must have demonstrated some commitment to scholarship or service as part of the university's mission. (see II.B. and C.)
4. For review and reappointment purposes, primary emphasis will be placed on Category A (Teaching).

#### B. ASSISTANT PROFESSOR

1. Should normally hold the doctoral degree in the appropriate field or possess equivalent experience as a professional.
2. To be recommended for reappointment to a Second-year Contract, the faculty member must provide evidence of:
  - a. progress toward earning the terminal degree if hired while still ABD;
  - b. high quality teaching (see II. A.);
  - c. research and/or professional /creative activity completed and underway (see II.B.);

- d. public, university or professional service undertaken or anticipated (see II.C.);
  - e. active participation in departmental governance and preparation to assume advising duties
3. To be recommended for reappointment in the Third-Sixth years, the faculty member must provide evidence of:
- a. completion of the terminal degree, unless exceptional circumstances warrant an extension;
  - b. overall high quality teaching. In addition, the faculty member must have made contributions to the planning, development, and growth of programs within the department, and served as an academic advisor at the undergraduate level and, as appropriate, at the graduate level. As one moves through the sequence of reappointments, the expectation is that teaching will show growth and improvement as appropriate, and that faculty governance and advising activities will become equivalent to that assumed by other faculty;
  - c. active research and/or professional/creative activity (see II.B.) and that the faculty member has begun to achieve or has achieved recognition at the regional, national or international level for work done. As one moves through the sequence of reappointments, the expectation is that the amount of research and/or creative activity will grow in both sophistication and amount. The key consideration during this time is the sense that research and/or creative professional activity is an integral part of the faculty member's accomplishments;
  - d. an established record of university, public and professional service appropriate to the faculty member's role within the department.

### C. ASSOCIATE PROFESSOR

1. To be recommended for promotion to Associate Professor with tenure, the faculty member must provide evidence of:
- a. completion of the terminal degree, or possess the requisite professional experience to be considered for this rank;
  - b. high quality teaching (see II.A.). In addition, must have made significant contributions to the planning, development, and growth of programs within the department, and served as a knowledgeable, competent advisor at the undergraduate level and, as appropriate, at the graduate level. High quality graduate advising means serving on graduate committees and advising graduate students to completion;
  - c. demonstrated ability as a scholar through significant research publication in the five years preceding consideration for this rank (peer-reviewed publications are expected as part of one's overall research productivity). As appropriate and as established through prior consultation with the Peer Committee, a faculty member also may document demonstrated ability as a practicing professional through exemplary peer-reviewed activity appropriate to the faculty member's field in the preceding five years. In both cases, such activity must be supported by substantial recognition from either scholars or professionals



such that the faculty member is seen as obtaining national recognition over time for work completed;

- d. a substantial record of university or public service appropriate to the faculty member's role. As part of this role, it is expected that the faculty member will have indicated willingness and ability to participate in departmental, college, and university governance, to be active in appropriate regional and/or national associations, and to maintain professional relationships with colleagues in the department, the university, and beyond.
2. Post-tenure reviews, conducted in accordance with the union contract, will follow the above guidelines. Satisfactory performance includes continued high quality teaching (see III.C.1.b.), significant research publication (see III.C.1.c.), and a substantial record of university or public service (see III.C.1.d.). The expectation is that a faculty member will continue to develop skills as a teacher, scholar and professional, and will continue to provide appropriate service to the public and the university. A faculty member who does not meet one or more of the teaching, research, or service criteria may be evaluated as unsatisfactory. A faculty member who exceeds one or more of the teaching, research, or service criteria may be evaluated as above satisfactory.

#### D. PROFESSOR

1. To be recommended for promotion to Professor, the faculty member must demonstrate high quality of teaching, research, and service as detailed in the requirements for Assistant and Associate Professor. In particular, the faculty member must demonstrate:
  - a. continuing growth as a teacher, a continuing commitment to academic advising and to program development within the department.
  - b. continuing commitment to scholarly or professional activities since the last promotion;
  - c. a leadership role within the university as part of an overall response to university, public and professional service.
2. The establishment of a national or international reputation as a scholar (and as appropriate a practicing professional) and the demonstration of a high level of quality as a teacher are of primary importance in considering promotion to this level.
3. Post-tenure reviews, conducted in accordance with the union contract, will follow the above guidelines. Satisfactory performance includes continued high quality teaching (see III.C.1.b.), significant research publication (see III.C.1.c.), and a substantial record of university or public service (see III.C.1.d.). The expectation is that a faculty member will continue to develop skills as a teacher, scholar and professional, and will continue to provide appropriate service to the public and the university. A faculty member who does not meet one or more of the teaching, research, or service criteria may be evaluated as unsatisfactory. A faculty member who exceeds one or more of the teaching, research, or service criteria may be evaluated as above satisfactory.

#### E. EMERITUS/A PROFESSOR

1. Recognition as an emeritus/a professor is dependent on a recommendation by the Peer Committee that such status be awarded.
2. Meritorious achievement consistent with the criteria stated above will be the basis for a recommendation by the Department to award Emeritus/a status (once the Peer Committee acts,

the Chair will make her or his recommendation and forward both to the Dean, in a manner paralleling the current procedure for reappointment and tenure/promotion recommendations).

Adopted by a unanimous vote of Department Faculty on 10-27-14 (Word .docx)

# Review, Reappointment, Promotion and Tenure Procedures

[Version 8. 2/17/12]

Faculty members are reviewed in accordance with the provisions of the University of Maine System and the Associated Faculties of the University of Maine System contract. Reviews are conducted annually for non-tenured faculty, and every four years for associate professors, full professors, and non-tenure-track faculty with 6 or more years of service.

The following guidelines pertain to the peer review process for all faculty and are designed to reduce the paperwork burden on new faculty, as well as to align the peer review process more closely with administrative and University review procedures.

## I. Review Process for Tenure Track Faculty

### **First Year**

New faculty will be invited to meet with members of the Peer Committee in early fall of their first year to outline the review process. This meeting focuses on questions about continuing contracts, tenure, and promotion. New faculty will have the opportunity to review sample dossiers that provide a sense of how to organize materials.

The first review for all new tenure track faculty takes place in January. New faculty submit a vita; teaching evaluations from the fall semester, if available; and a one to two-page cover letter and relevant supporting materials detailing information about service, teaching, and scholarly plans.

### **Second Year**

The second review for new tenure-track faculty takes place during October of their second year at UMaine. Faculty again submit a one to two-page letter reflecting upon the work completed in the first year. Faculty also submit a vita, one-page summary of numerical teaching evaluations based upon the format denoted in the University's Promotion and Tenure Guidelines, texts of accepted publications and those under review, if applicable. On the vita, peer-reviewed presentations and publications should be marked with an asterisk. Faculty may also submit relevant supporting materials detailing information about service, teaching, and scholarly plans. The review materials should fit easily into a small binder or folio.

The Peer Committee will also review the written comments by students that are included in the candidate's personnel file in the office of the Associate Dean for Instruction. The Peer Committee may ask for clarification or additional review materials if necessary.

### **Third Year**

A major review of tenure-track faculty takes place during the spring of the third year. This review is comprehensive. Peer Committee review will indicate whether or not the candidate appears to be meeting requirements for tenure and promotion. The written review from the Peer Committee will be detailed, comparable to the letter written during a promotion and tenure review. The candidate will also have a meeting with the dean after the pre-tenure review to discuss progress and performance to date.

If the Peer Committee's third-year review recommends reappointment, the candidate will be released from six credits of teaching at some point during the following year (either one course per semester, or two courses during one semester, to be negotiated with the dean).

#### **Fourth and Fifth Years**

In the fourth and fifth years, tenure-track candidates will undergo additional reviews, submitting their materials following the same format they have used for the previous reviews.

#### **Sixth Year and Beyond**

Review for promotion to associate professor and awarding of tenure are conducted in the fall of the sixth year. See the detailed process described below under Promotion to Associate Professor. Post tenure reviews are conducted every four years subsequent to this promotion.

## **II. Review Process for Non-Tenure Track Faculty**

#### **First Year**

New faculty will be invited to meet with members of the Peer Committee in early fall of their first year to outline the review process. This meeting focuses on questions about continuing contracts, , and promotion. New faculty will have the opportunity to review sample dossiers that provide a sense of how to organize materials.

The first review for all new non-tenure track faculty takes place in January. New faculty submit a vita; teaching evaluations from the fall semester, if available and applicable; and a one to two-page cover letter and relevant supporting materials detailing information about service, teaching, or scholarly plans.

#### **Second Year**

The second review for new non tenure-track faculty takes place during the spring of their second year at UMaine. Faculty, again, submit a one to two-page letter reflecting upon the work completed in the first year. Faculty also submit a vita, one-page summary of numerical teaching evaluations based upon the format denoted in the University's Promotion and Tenure Guidelines, texts of accepted publications and those under review, if applicable. On the vita, peer-reviewed presentations and publications should be marked with an asterisk, if applicable. Faculty may also submit relevant supporting materials detailing information about service, teaching, or scholarly plans. The review materials should fit easily into a small binder or folio.

If applicable, the Peer Committee will also review the written comments by students that are included in the candidate's personnel file in the office of the Associate Dean for Instruction. The Peer Committee may ask for clarification or additional review materials if necessary.

#### **Third Year**

A review of non tenure-track faculty takes place during the spring of the third year and is otherwise similar to the second year process. Non-tenure faculty will also have a meeting with the dean after the third year review to discuss progress and performance to date.

#### **Fourth to Sixth Years**

Non-tenure track faculty are reviewed annually each spring from their fourth to sixth years based upon their assignment and follow procedures similar to tenure-track faculty. The Peer Committee reviews the written comments by students that are included in the candidate's personnel file in the

office of the Associate Dean for Instruction when applicable. The Peer Committee may ask for clarification or additional review materials if necessary.

### **Seventh Year and Beyond**

After six years of service, non-tenure track faculty are eligible for continuing contracts. If awarded a continuing contract, faculty submit materials for peer review every four years.

## **III. Principles of Review**

- Faculty promotion and review are tied both to the College and University mission.
- There is no single definition of scholarship or professional activity. Both vary by discipline. Both should be evaluated within the discipline, College, and broader national and international academic context.
- Professional activity of faculty occurs in several domains including teaching, advising, scholarship and service. Of these domains, teaching and scholarship are typically the most important and time intensive. The balance of professional activity will vary according to the faculty member's contract and assignment and is evaluated accordingly.

## **IV. Attributes of the Review of Professional Activity**

In general, the teaching, scholarship and service of faculty members can be evaluated relative to five core attributes. These attributes are intended to guide peer reviews in a very general sense and to allow for the diversity of contributions that characterize the variety of disciplines represented by faculty. More detailed performance criteria, which are elaborated in the next sections, illustrate the typical applications of the core attributes. The core attributes are the following:

- 1) level of discipline related experience required by the activity
- 2) degree of innovation
- 3) extent of peer review
- 4) impact on communities directly affected by the efforts
- 5) Extent of effort as indicated by authorship order or degree of contribution

## **V. Review Procedures**

Each fall, faculty members in need of review will receive a letter from the Associate Dean's office indicating their review status for that year as well as describing the materials required and the deadline for their submission. The faculty member will assemble his/her papers and submit them for review by the Peer Committee by the announced deadline. These materials will outline the faculty member's appointment/job description and provide other information that clarifies the faculty member's activities during the period under review in the core areas of teaching and advising, research and scholarship, and service. (The period under review typically entails the

period of time since the last review. Tenure reviews are typically limited to the previous five years, unless probationary period extension has been granted in accordance with the AFUM contract. Reviews for promotion to professor typically encompass the faculty member's entire career.) In the area of teaching, the period of review includes only the semesters completed since the last review. Suggestions regarding a person's progress toward promotion and/or tenure will be provided as appropriate and as a normal part of the mentoring and review process.

A meeting with the Peer Committee may be requested by any faculty member during the review process. The faculty member may also write a letter in response to the Peer Committee's recommendation. Performance reviews are commensurate with a faculty member's appointment but typically include documentation of contributions to teaching, advising, research and scholarship, and service. The materials required for each area are noted below and in the University's guidelines for the preparation of papers for promotion and tenure available from the Office of Human Resources. In addition, the following material should be provided:

- A cover letter to the committee: The letter will be read by the Committee, and is likely to be important at each of the other levels of review. The letter should clearly state the nature of your appointment, what you teach and how often, whether you engage significant time in programmatic or administrative matters, how many students you routinely advise, your research agenda and related activities, and service to professional groups. It should be abundantly clear to anyone reading this letter, both within and outside of the College, just what the faculty member does and what he or she understands as important or noteworthy.
- A current vita
- Previous Peer Committee review letters

## **VI. Performance Standards**

Professional activity of faculty occurs in several domains including teaching, advising, scholarship and service. Of these domains, teaching and scholarship are typically the most important and time intensive. The balance of professional activity will vary according to the faculty member's contract and assignment and is evaluated accordingly.

### **A. Teaching**

Teaching is of major importance to the College and University. Faculty should strive to serve as model educators for students and University colleagues. Although exemplary teaching is difficult to define, it is recognized as including the following:

- Clarity of course purposes and presentations
- Organization of material and class times
- Openness of the instructor to others' views
- Up-to-date knowledge of the subject matter and pedagogy
- Fair and regular assessment

For all those who have teaching responsibilities in the College, student evaluations of each course must utilize University-approved forms. (Faculty should clearly detail when such forms are not appropriate and describe alternate forms of evaluation.) In addition, a second form of evaluation is required. Its purpose is to provide instructors with additional information on the quality and conduct of their teaching. As a supplement to the University-approved form, the second

assessment may occur at any time during the semester and can take many different forms (e.g., narrative evaluations by students, mid-term evaluations, observations by other faculty).

**Review of Teaching** — Assessment of teaching is based on the required materials detailed below, but faculty should feel free to provide additional material that best illustrates their work. Faculty are encouraged to describe any innovations in their teaching including the use of new technologies.

- A narrative summary of the faculty member's organization of courses, goals and learning outcomes;
- A reflection on any problem areas and plans for resolution;
- An account of courses taught by semester and numbers of students in each course;
- Course syllabi;
- Outcomes of student evaluations organized in tabular format and consistent with university requirements. Course numbers, means, and enrollment numbers are presented for each class for items reflecting overall rating of instructor and overall rating of the course, and three additional items. In the case of small classes (i.e., 20 or fewer), medians may be appropriate;
- A select sample of written comments from signed student evaluations. (One page of comments is sufficient.);
- Documentation of other forms of teaching evaluation such as mid-course feedback or observations by other faculty;
- Clear accounting of the proportional responsibility for classes team taught.

All of these components contribute to the assessment of a faculty member's teaching and all can be difficult to assess. Faculty members are encouraged to provide material they believe illustrates their contributions.

## **B. Student Advising**

Advising is expected of nearly all faculty with teaching appointments. Activities that reflect advising include, but are not limited to, program advising and the supervision of dissertation and theses. The quality of advising is difficult to judge but is reflected in the reporting of activities by the faculty member and comments of students as they are available. Indicators of quality advising at the undergraduate and graduate level are based upon an advisor's availability, posting and keeping regular office hours, and knowledge of unit, College, and university policies.

**Review of Advising** — In order to assess the quality of student advising, the committee asks faculty to provide:

- A summary of the number of undergraduate and graduate advisees;
- A summary of work on graduate committees denoting theses chaired and committees served;
- A summary of solicited evaluations and unsolicited evaluations as they are available.

## **C. Research and Scholarship**

The College values scholarly activity that contributes to theory and/or practice, research that involves systematic inquiry, and scholarly forms of communication that enhance professional

service though original and insightful thinking. Scholarly contributions should include peer-reviewed publications in a variety of venues. The ways faculty utilize research and scholarship to contribute to their fields and profession include, but are not limited to, the following:

- Authoring books, monographs, book chapters, journal articles, technical reports, and curricular guides;
- Editing journals or the work of colleagues;
- Presenting papers at local, state, regional, national or international conferences;
- Creating film presentations;
- Chairing scholarly conference proceedings and similar activity;
- Developing and securing grants.

**Review of Research & Scholarship** — Review of scholarly activity in and among these domains is based on the five core attributes mentioned earlier:

1. Level of discipline-related experience required by the activity
2. Degree of innovation
3. Extent of peer-review within the discipline
4. Impact on communities directly affected by the efforts
5. Extent of effort as indicated by authorship order or degree of contribution

To be considered for promotion, all tenure-track faculty are expected to meet the following criteria for high quality performance:

1. A clear programmatic focus of scholarship;
2. Sustained productivity with an average of at least one national publication per year;
3. A balance between independent and collaborative scholarship that demonstrates the faculty member's ability to serve as lead or solo author, such that at least half of the required national publications indicate the candidate is lead or solo author;
4. Demonstration of the faculty member's ability to be published in nationally recognized scholarly journals. The quality of publications will be based on the reputation and editorial standards of the journals in which the articles are published, the impact of the publications on the discipline, as judged by researchers at this and other institutions or the impact factor, acceptance rate, or other indicators of influence of the journal, as available;
5. Scholarly publications and national or international presentations, as discussed below.

## **VII. Academic Rank Definitions**

**Assistant Professor** – Appointment or promotion to the rank of assistant professor assumes that the individual possesses potential which, when developed further, will merit promotion in rank or the granting of tenure. The individual must have advanced training and a demonstrated interest in maintaining and improving his or her professional competence. Except in unusual cases, the assistant professor, whose duties include teaching upper division courses, should have the highest earned degree traditional to the discipline or should have made substantial progress toward its attainment. The initial appointment of an assistant professor from outside the University is for one year. Reappointment may be for a one or two-year term, providing the probationary period,



including any credit for prior service, does not exceed seven years. Tenure will not ordinarily be granted at the assistant professor level.

**Associate Professor** – The associate professor shall normally hold the highest earned degree traditional to the discipline or have professional experience of an equivalent nature. An individual holding the rank of associate professor must have demonstrated creative performance in those areas required by the mission of the unit to which he or she belongs. The associate professor must show high promise for continued development. Appointment to the rank of associate professor from within the University is accompanied by the granting of tenure. Appointment from outside is for an initial two-year probationary term. Reappointments may be for any number of one or two-year terms provided the probationary period, including any credits for prior service, does not exceed seven years.

**Professor** – The professor must have demonstrated ability and scholarship of an exceptionally high order. As a teacher, he or she should show an extraordinary ability to stimulate in students a genuine desire for scholarly work. A professor should have a reputation for making creative contributions to scholarship in his or her field and, where applicable, should possess the ability to direct the research of advanced students. The professor's professional reputation among his or her peers should be more than local and should enhance the reputation of the University of Maine. Appointment to the rank of professor from outside the University is normally for an initial two-year period, with reappointment carrying continuous tenure. In unusual cases, initial appointment may carry tenure.

**Additional Ranks** – In addition, the current contract with the University of Maine and the Affiliated Faculties of the University of Maine, the following academic ranks are recognized: Lecturer (typically reserved for non-tenure track appointments), Instructor (typically reserved for tenure-track appointments), and three ranks associated with non-tenure track research appointments and including Assistant Research Professor, Associate Research Professor, and Research Professor. In the past, these ranks have not been applied consistently nonetheless they are all evaluated in light of the unit members' contract with the College and the applicable criteria detailed herein.

## **VIII. Promotion to Associate Professor**

### **Scholarly Publications**

The primary currency for demonstrated productivity in publications is refereed scholarly publications with a target *average* of at least one per year. Scholarship is assessed according to the five standards noted above and in terms of their content, quality, and intended audience. The general guideline for this area includes at least five published or in-press publications by the end of the probationary period for faculty with a 25% research appointment and a higher or lower quota for those with research appointments greater or less than 25%. The general guidelines are as follows:

1. At least three (published or in press) in refereed journals with national or international audiences.
2. At least two national publications (published or in press) that can be any of the following or combination thereof:
  - a. Other articles in refereed journals
  - b. Book chapters
  - c. Books

- d. A refereed research, model demonstration, or teaching and training grant application that is funded, approved but not funded, or unfunded
- e. A publication in conference proceedings if refereed for publication separately from a conference proposal
- f. A technological product (e.g., curriculum materials, assessment instrument, course materials) disseminated by a national publisher
- g. A monograph

No doubt there are other outlets for the scholarly work of faculty. All can be important in assessing scholarship and clearly some outlets are more consequential than others. Faculty are encouraged to detail all forms of publication.

For journal articles, please note the sponsoring organization if any, as well as noting acceptance rates as available and any available statistics that illustrate a journal's impact (e.g., citation rates, journal half-life). Some forms of publications such as book reviews, published commentaries, and blogs can be useful contributions, but they are typically not considered major contributions nor do they have the weight or influence of books, book chapters or referred journal articles. For instance, while a book review can be written in a relatively brief period of time, a referred journal article can be very labor intensive. Furthermore, books, book chapters, and monographs that undergo extensive review, are published by prominent national or international publishers, or sponsored by national or international professional organizations are given more weight. For publications that do not fall into the typical categories, faculty are encouraged to explain the purpose and importance of the item in question.

In exceptional cases, the quality and significance of the candidate's overall scholarship record can compensate for a lesser number of publications.

### **Scholarly Presentations**

Refereed or invited presentations do not replace the target number per year of refereed publications but are important outlets for disseminating one's scholarship. A general guideline would be, on average, one national or international presentation per year provided adequate College or grant funding is available to subsidize travel.

### **Letters from External Evaluators**

Letters from external evaluators are required of all faculty applying for tenure and promotion. Generally, the Dean's office is responsible for soliciting such letters from senior faculty who are recognized for their expertise in the faculty member's specialization. Letters are solicited during the summer preceding the application. Reviewers are asked to evaluate the faculty member's research contributions given the nature of the faculty appointment and the College's criteria for promotion. Reviewers should not be individuals who have collaborated with the faculty member, served on graduate committees, or otherwise maintain a personal relationship. Further guidelines for the selection of reviewers are detailed on the Human Resources web site.

## **IX. Promotion to Professor**

### **Scholarly Publications**

The primary currency for demonstrated productivity in publications is refereed scholarly publications with a continuing target *average* of at least one per year since the last promotion. The general guideline for this area includes at least five national publications since the end of the

last promotion for those with a typical 25% research appointment and a higher or lower quota for those with research appointments greater or less than 25%. The general guidelines are as follows:

1. At least 3-6 (published or in press) in refereed journals with national or international audiences.
2. At least two national publications (published or in press) that can be any of the following or combination thereof:
  - a. Other articles in national, refereed journals
  - b. Book chapters
  - c. Books
  - d. A refereed research or model demonstration, or teaching and training grant application that is funded or approved but not funded
  - e. A publication in conference proceedings if refereed for publication separately from a conference proposal
  - f. A technological product (e.g., curriculum materials, assessment instrument, course materials) disseminated by a national publisher
  - g. A monograph
  - h. A submitted research grant application to an external funding agency

No doubt there are other outlets for the scholarly work of faculty. All can be important in assessing scholarship and clearly some outlets are more consequential than others. Faculty are encouraged to detail all forms of publication as noted above.

In exceptional cases, the quality and significance of the candidate's overall scholarship record can compensate for a lesser number of publications.

### **Scholarly Presentations**

Refereed or invited presentations do not replace the target number per year of refereed publications but are important outlets for disseminating one's scholarship. A general guideline would be, on average, one national or international presentation per year provided adequate College or grant funding is available.

### **Review of Research and Scholarship**

In general, faculty should provide documentation consistent with the requirements noted above and as required by the University's guidelines for the preparation of papers for promotion and tenure available from the Office of Human Resources. This includes the following:

- a. A narrative summary describing one's scholarship
- b. A list of all manuscripts for the period under review indicating the status of each (i.e., published, accepted for publication, under review)
- c. Copies of all manuscripts published since the last review
- d. A brief description of your current fields of scholarly work in progress including any manuscripts in progress
- e. A list of refereed presentations, indicating the name and level (local, state, etc.) of the sponsoring organization and including an abstract where possible
- f. A list of professional organization memberships and activities, including office(s) held and committee memberships
- g. A list of national/regional meetings attended and sessions chaired
- h. A list of service in reviewing papers submitted for publication, grant proposals and/or service as a member of a review panel
- i. A list of software developed, films made, or other pertinent materials

## **Service**

Service encompasses two major types of professional activity and is expected of all faculty. First, and most importantly, faculty contribute to the University's land-grant and sea-grant missions by providing service to the state and/or nation as their particular talents, background and specialties permit. College of Education and Human Development faculty typically provide services to schools, state agencies, and other profession-related groups and individuals. Such service takes a variety of forms, ranging from conducting workshops to writing monographs, as well as providing expert advice and evaluation of individuals and programs. Faculty are expected to make themselves actively available for service activities (paid and unpaid) and to carry such activities through with diligence and according to the highest ethical and professional standard.

Second, service to the College and University and, where possible, to one's academic specialty are expected. All faculty carry a responsibility for the development and quality of the programs in which they work, the professional decisions of the faculty regarding academic policy and practice, and the quality of professional work life in the College and University. Active membership on College and University committees and task forces are examples of such service. Accreditation work is likewise a valued service to the College and University. Similarly, faculty are encouraged to serve their scholarship and practitioner associations through writing, leadership, and committee work.

## **Review of Service**

Annual reviews of Assistant Professors and faculty with less than 6 years of experience in non-tenure track positions will recognize achievement in the areas of service listed below. Faculty should provide a summary of their activity in the following areas:

- Service on university committees
- Service on unit committees
- Consulting in a professional capacity
- Lectures, panel discussions, workshop presentations
- Service to professional or scientific organizations, as an office holder or committee member
- Reviewing of journal articles, grants, and books
- Honors and special awards

Consideration for promotion to Associate Professor is strengthened by an impressive record particularly if the candidate's work on service tasks has brought credit to the College and the university.

Consideration for promotion to Professor is strengthened by the attainment of a reputation as a leader in advancing disciplinary contributions to the public, the community, or the University. Promotion to Professor will be enhanced by exceptional, high quality contributions to public/community service.

## **Implementation of the Revised Review, Reappointment, Promotion, and Tenure Policy**

The implementation of this policy is guided by policies articulated in the AFUM contract (Article 10, Section 3). In accordance with the AFUM contract, the peer committee recommends the following:

- February 2012--Approval by the faculty and administration of the College of Education and Human Development
- March 2012—If so approved, the newly approved policy to be forwarded to the chief administrative officer or his/her designee and AFUM for review
- September 2012—New policy is phased in for all non-tenured faculty as per the schedules noted below.
- September 2015—New policy goes into effect for all tenured faculty and all full-time faculty with 6 or more years of continuous service.

For faculty who are serving in probationary appointments or with fewer than 6 years of continuous service at the time the standards and criteria for review, reappointment and tenure are changed the following shall apply:

1. Individuals in the third year of service may elect to be reviewed either under the newly established standards or those standards in place at the date of their initial appointment as a faculty member for the remainder of their probationary period or until the sixth year of service for those in non-tenure track positions.
2. Individuals serving in the fourth year of service and above shall be evaluated for review, reappointment or tenure based upon the standards and criteria in place at the time of their initial appointment and until such time they are promoted, or until the sixth year of service for those in non-tenure track positions.
3. Individuals serving in the first or second year of probation or those in the first or second year of a non-probationary appointment shall be evaluated under the newly established standards for review, reappointment, and tenure.

University of Maine  
Department of Communication Sciences and Disorders  
Criteria for Evaluation and Promotion  
for Tenure-line Faculty

GENERAL GUIDELINES

The Department of Communication Sciences and Disorders has as a goal to nurture three areas of faculty development: teaching, scholarship and service. The Department has a fundamental commitment to all three areas, and promotion as well as the granting of tenure is based upon achievements in all three. The academic areas of work to be evaluated within the Department of Communication Sciences and Disorders can include speech-language pathology, speech and hearing science, speech and language development, linguistics, psycholinguistics, and audiology.

Peer Committees for each faculty member will be composed of at least three tenured faculty of the University of Maine with at least two from the College of Liberal Arts and Sciences. Members of Peer Committees for Assistant Professors will hold the rank of Associate Professor or Professor, and members of Peer Committees for Associate Professors will hold the rank of Professor. Peer Committees should include members of the Department of Communication Sciences and Disorders faculty who hold appropriate tenure and rank.

TEACHING

The amount, variety and quality of contacts with students – formal and informal, graduate and undergraduate, in clinical supervision, directed reading and research, and classroom teaching – constitute a fundamental dimension for evaluating suitability for promotion. Among the specifics to be considered in teaching evaluation are the number and diversity of courses taught, involvement in curriculum development and in special workshops and conferences, as well as ratings of teaching by both students and peers.

A. Promotion to Associate Professor with tenure is dependent on demonstrated enthusiasm and capability for promoting learning in the classroom, laboratory or clinic. Annual evaluations of Assistant Professors will be based on progress in the following areas:

1. as a minimum, the faculty member's teaching involvement must include a yearly teaching load of undergraduate and graduate courses consistent with the teaching load of the other tenure-line faculty members in the Department; a faculty member is not penalized for released time assignments;
2. whenever possible the candidate for promotion should show involvement in theses, directed readings, and other directed research activities;
3. the quality of the candidate's teaching will be assessed with attention to the following:

- a. teaching effectiveness at both the graduate and undergraduate level as judged by peer review; peer review of teaching is to be arranged by the candidate in consultation with the Peer Committee;
  - b. course and clinical supervision evaluations (with accompanying written commentary) using standard or customized rating forms by undergraduate and graduate students; the candidate should be rated by his/her students as an effective instructor; and
  - c. in cases where the faculty member is assigned to do undergraduate or graduate advising (in some cases faculty members are not so assigned), effectiveness will be assessed according to current departmental and college standards of advising evaluation; areas of advising performance to be considered include availability for student contact, maintaining of regular office hours, attentiveness to needs of advisees, and participation in advising workshops or other appropriate methods of acquiring requisite knowledge for advising;
4. the following optional items, when applicable, will also be taken into account in the assessment of the candidate's teaching:
- a. innovative teaching, including both new methods of teaching and institution of new courses;
  - b. additional activities toward the enhancement of teaching, such as acquisition of grant funding for new texts, materials, curriculum development, etc.;
  - c. guest lecturing and other forms of teaching collaboration including collaborations with other institutions of learning both with the University of Maine System and elsewhere.

B. The case for promotion to Full Professor is dependent on a continued high level of performance, as evidenced by peer review and positive student ratings. The faculty member should show evidence of continuing participation in student committees where possible, and in working with students in directed reading, research, and practicum courses where applicable. Annual evaluations of Associate Professors will be based on these criteria and those in Section A above.

C. Periodic evaluations of Full Professors will be based on the same criteria as for promotion to that rank.

## SCHOLARSHIP

The candidate for promotion to Associate Professor is expected to have made a significant scholarly contribution to any of the fields of inquiry relevant to the Department of Communication Sciences and Disorders: speech-language pathology, speech and hearing science, speech and language development, linguistics, psycholinguistics or audiology. Publications provide a concrete indication of scholarship, in terms of both quantity and quality.

A. The case for promotion to Associate Professor with tenure depends on meeting specific requirements indicative of a high level of scholarly productivity. Annual evaluation of Assistant Professors will be based on progress in the following areas:

1. as a minimum standard of scholarly accomplishment for promotion, the candidate must be the first author of at least four scholarly publications based on research conducted since the beginning of the calendar year of the candidate's appointment as an Assistant Professor; for this purpose, scholarly publications include articles published based on peer review in high quality journals, books, and chapters in edited books; authorship or co-authorship of a book may be counted, at the Peer Committee's discretion, as the equivalent of several articles; articles or books that have been accepted for publication ("in press") are to be counted; the overall quality of these publications must indicate that the candidate has made a significant scholarly contribution to one of the fields of inquiry listed above; the Peer Committee will judge the quality of the publications on the basis of:
  - a. the reputation and editorial standards of the journals in which the articles are published;
  - b. the impact of the publications on the discipline, as judged by researchers at this and other institutions; at least three letters of support for the candidate's promotion must be received from recognized authorities in the candidate's research area or a related field; these letters must be from scholars outside of the University of Maine; at least two of the letters must be from people who were not on the candidate's doctoral committee;
  - c. other evidence of impact of the publications will also be considered where applicable (e.g., as indicated by citations from other authors, collaborative research or development projects at other institutions developing from the candidate's work, replication efforts at other institutions, etc.);
2. besides the minimum of four publications described in A.1., the candidate must submit additional evidence of scholarly accomplishments falling into one or more of the following categories:
  - a. co-authorship of scholarly publications based on research conducted since the candidate's appointment as an Assistant Professor;
  - b. papers, symposia, workshops, or invited addresses presented at professional meetings;
  - c. editing of a scholarly volume;
  - d. scholarly research grant applications approved by or approved and funded by internal or external funding agencies, with special consideration being given to peer-reviewed external proposals.



- B. The case for promotion to Full Professor depends on the demonstration of outstanding scholarship and recognition by peers indicating that the candidate has made a significant contribution to his/her area of expertise. Candidates for promotion to Professor are expected to have made significant additional scholarly contributions since their promotion to Associate Professor. Annual evaluations of Associate Professors will be based on these criteria and those described in Section A above, except that peer letters will not be required.
- C. Periodic evaluations of Full Professors will be based on the same criteria as for promotion to Professor, except that peer letters will not be required.

### SERVICE

Service as a category to be considered in promotion includes involvement in community affairs qua speech-language hearing scientist, speech-language pathologist or audiologist. The category includes but is not limited to serving on university and departmental committees, research or clinical consultation to community programs, assistance to state and local agencies which serve the people of Maine, assistance to the national or worldwide professions of speech-language pathology or audiology, participation on public commissions, councils or advisory boards, etc., conducting workshops, providing clinical services, including speech-language-hearing screenings, and collaboration with other professionals on grants, workshops, courses, etc.

- A. The case for promotion to Associate Professor with tenure may be strengthened by a good record of service, particularly if the candidate's work on service tasks has brought credit to the department and the university. Annual evaluations of Assistant Professors will in particular recognize achievement in the areas of service listed below:
1. service in an important administrative capacity (e.g., graduate coordination);
  2. service on University committees;
  3. service on Department committees;
  4. consulting in a professional capacity, including:
    - a. unpaid service to community or more broadly-based organizations;
    - b. paid consultation;
  6. lectures, panel discussions, workshop presentations;
  7. service to professional or scientific organizations as an office holder or committee member;
  8. service as a reviewer, an editor or member of the board of editors of a scholarly journal or book.
- B. The case for promotion to Full Professor is strengthened by the attainment of a national reputation as a leader in advancing the contributions of any of the fields of activity relevant to Communication Sciences and Disorders (speech-language pathology,

speech and hearing science, speech and language development, linguistics, psycholinguistics, or audiology), to the public, the community, or the University. The case for promotion to Full Professor will be enhanced by exceptionally high quality contributions to public/community service. Annual evaluations of Associate Professors will recognize these achievements as well as those outlined in A above.

C. Periodic evaluations of Full Professors will be based on the same criteria as for promotion to that rank.

Computer Science Department  
University of Maine  
Faculty Evaluation Criteria

Approved: March 24, 1999

---

1. EVALUATION FACTORS

---

This section describes the primary factors to be considered in evaluating the faculty of the Computer Science Department. Three categories, scholarship, service, and teaching, are listed in alphabetical order and not necessarily in order of relative importance. Sections II and III contain specific information on their relative importance.

For each category, the criteria to be used in evaluating performance are listed, although not necessarily in order of importance. The categories are not mutually exclusive; therefore some activities can be counted in more than one category,

SCHOLARSHIP

Scholarship in the Computer Science Department means either advancing the state of the art by making new discoveries or by organizing knowledge so that it is usable by others. Faculty members engaged in research are expected to disseminate their research to faculty and students.

The following criteria will be used to evaluate a faculty member's scholarship. Those with release time for research will be expected to demonstrate activity in one or more of items 1 through 4.

1. Publications in journals, symposia proceedings, or conference proceedings. Refereed journals and proceedings will be given greater weight than non-refereed ones. Publications will be judged on the basis of their influence on the profession or education.
2. Published books, books that advance the state of the art, organize a field, or have a great influence on how courses are taught will be given greater weight than other books.

3. Research as part of scholarly grants. This includes actively seeking external funding from sources outside the University. These sources can include government agencies, foundations, and industry. Proposals that are successful in obtaining external funding will be given greater weight than those that are declined. Graduate faculty supervising thesis projects beyond the Masters level are expected to seek external support for their graduate students.
4. Book chapters or other publications. The weight given to these will correspond to the contribution each makes to the discipline or to education.
5. Computer software that advances the state of the art or is very useful for education in computer science, to be considered, software must be developed in a professional manner, be well-documented so the novel features in it can be understood and used by other programmers, and be generally available.
6. Participation in scholarly activities of professional societies and other organizations. Such activities will include reviewing, refereeing and editing.
7. Organizing, speaking at, and attendance at seminars and symposia. Speaking will carry greater weight than simple attendance, but the latter is considered important for maintaining ties with professionals outside the university and remaining current in the field.
8. Publishing letters in professional journals.
9. Publishing scholarly material on Web pages or by other electronic means.
10. Election to honor societies and prizes received from professional organizations.
11. Consulting at a level that enhances the individual's knowledge. Consulting may also be considered under the service category.

12. Anything else that shows that the faculty member is keeping abreast of developments in the field, adding to knowledge about computer science, or improving our ability to educate students and the public about computer science.

### SERVICE

Each faculty member is expected to devote a substantial amount of time to service on behalf of the Computer Science Department, the University, the University System, the State of Maine, and the profession. The following criteria will be used to evaluate a faculty member's service contribution.

1. Participation on Department committees.
2. Participation on University committees.
3. Participation on University of Maine System committees.
4. Participation on State of Maine committees.
5. Creating software for use by the Computer Science Department or some other part of the University community.
6. Participation in activities that further the aims of the University.
7. Participation in activities that improve the quality of life and instruction at the University.
8. Participation in activities of professional societies, including such things as holding office.
9. Consulting. Consulting may also be considered to be a method of keeping current in computer science.
10. Public service related to departmental activities. This includes participating in public forums, answering questions of prospective students, advising state or national agencies, and helping the news media interpret events in the computer field.
11. Serving as a reviewer of proposals for state, national, or international funding agencies.

12. Serving as a reviewer of articles submitted for publication in professional journals or conference proceedings.
13. Serving as adviser to student groups.
14. Serving as Chair of the Computer Science Department.
15. Any other activity that shows the faculty member making a substantial contribution to service on behalf of the Department, the College, or the University.

### TEACHING

Teaching is a major responsibility of every faculty member in the Department. It includes keeping abreast of recent developments in computer science and disseminating these to colleagues, students, and the public. It also includes informal and/or scheduled interactions with advisees that will broaden students' awareness of the latest career and research opportunities in computer science, and will fully support them in making well-informed choices during each year of their studies at the University. To this end, each faculty member is expected to devote a substantial amount of time to remaining current in the field.

Each faculty member is expected to be both an effective teacher and an effective advisor. The following criteria will be used to evaluate teaching and advising effectiveness.

1. Student evaluations. Signed letters from individual students will also be counted.
2. Preparation of class materials. Examples of handouts, Web-based presentations, homeworks, and examinations may be considered.
3. Written comments from peers or former students.
4. Evidence of successful innovation in teaching methods. This may include such items as the development of new courses, software that supports teaching, and Web-based class materials.
5. Directing thesis work or serving on thesis committees.

6. Directing Honors students.
7. The quality of student advising, accessibility to students, and the number of student advisees. This may include the use of any advising evaluation mechanisms developed by the University, the College, or the Department.
8. Seeking and/or obtaining external grants to support teaching projects or to purchase classroom or laboratory equipment.
9. Any other activity that shows the faculty member to be an effective teacher.
10. If necessary, classroom visits by the Chair of the Department and/or the peer committee will be used to judge teaching effectiveness.

---

## II CRITERIA FOR YEARLY EVALUATIONS, PROMOTION AND TENURE

---

The criteria described in Section I will be used in yearly evaluations of faculty, in decisions for re-appointment without tenure, and in decisions concerning tenure and promotion. Special requirements or exceptions to the above may be decided upon by the Department. These exemptions must be made in writing and approved by the Department in advance of the evaluation.

### Promotion to Associate Professor with Tenure from Non-Tenured Status

In order to be promoted to Associate Professor with Tenure in the Department of Computer Science, a faculty member must have demonstrated excellence in one category, either scholarship or teaching, and have demonstrated good performance in the other category and in service. The faculty member must also show promise for continued growth in these areas.

The faculty member must identify colleagues from outside the University in computer science and other relevant fields who can provide reviews of the member's standing in the field. The Department has the right to solicit

reviews from other persons in addition to the ones provided by the faculty member.

The guidelines for a performance rating of good or excellent in the area of scholarship are as follows, Good performance requires an average of one paper per year that is published in a quality, refereed journal, symposia proceedings, or conference proceedings, or is presented at a quality, refereed conference. Refereed conference proceedings are weighted similarly to journal publications for active researchers since the conferences are the arena where current work is presented. A high quality book may count as more than one paper. A successful peer reviewed grant may be considered as equivalent to a referred publication. Excellent performance requires an average of two quality publications per year. Papers and books of exceptional worth may be given more credit than noted above. For the purposes of evaluation, a paper accepted for publication is considered to be the same as a published one. Any judgment of good or excellent performance on scholarship must include evidence of independent (but not excluding collaborative) research.

All tenure-track faculty with release time for research are expected to seek external funding for support of their research. All forms of successful external support are viewed positively in the evaluation process.

#### Promotion to Full Professor

In order to be promoted to Full Professor in the Department of Computer Science, the faculty member must have demonstrated sustained excellence and a national reputation in one category, either scholarship or teaching, and sustained good performance in the other category and in service. In addition, the performance in scholarship, service, or teaching must have influence beyond the immediate University environment.

The faculty member must also supply recommendations from colleagues outside the University who are in computer science or other relevant fields. The Department has the right to solicit recommendations in addition to the ones provided by the faculty member.

The guidelines for a performance rating of good or excellent in the area of scholarship are described above.



### III. CRITERIA FOR POST-TENURE EVALUATION

---

Post-tenure evaluation will follow the guidelines established in the union contract. Specifically this states that Associate Professors with tenure shall be evaluated by the department every two years, or more frequently upon written request of the unit member, and that Professors with tenure shall be evaluated by the department every four years, or more frequently upon written request of the unit member. The department reserves the right to establish a policy requiring a more frequent evaluation,

The criteria used for evaluation will be the same criteria used for evaluation of promotion to the rank currently held.

---

### IV. CRITERIA FOR RE-APPOINTMENT WITHOUT TENURE

---

For instructors, the requirements for re-appointment will be stated in the contract they receive from the University.

For assistant professors, re-appointment requires a record that indicates it is probable that the candidate will be granted tenure at the end of the probationary appointment. Assistant professors hired before they have obtained a PhD, will be expected to obtain the degree before they can be re-appointed, unless an exception is made based on reasonable progress towards the degree. The degree requirement may be waived under exceptional circumstances based on experience in the field.

## **CRITERIA FOR EVALUATION OF THE CLAS-HONORS PRECEPTOR OF JOURNALISM**

### **I. EVALUATION CRITERIA**

The CLAS-Honors Preceptor of Journalism will be evaluated on the basis of teaching, research, and service activities, commensurate with the Preceptor's assigned teaching load. The primary emphasis of the Preceptor position will be on teaching, including both formal classroom teaching as well as other pedagogical activities such as academic advising and mentoring of undergraduate research experiences.

#### **TEACHING AND PEDAGOGY**

Evaluation of teaching will be based on performance in both the Honors College and in the Department of Communication and Journalism. Evaluative measures will include student evaluations of teaching, and peer review of syllabi and other course materials. Other measures may include direct peer observation of teaching, written statements from students, self-report analyses, teaching awards, and other relevant material. Teaching activities to be evaluated will include classroom performance, advising and mentoring of both Honors and CMJ students, serving on Honors thesis committees, supervising mentored research in Journalism, Mass Communication, or Communication, and potentially other related student activities. Other activities that may be included in the evaluation of teaching and pedagogy are innovative curricular and pedagogical approaches, successful grant applications in support of curricular and pedagogical development, organization of and/or participation in workshops or seminars on teaching, and guest lectures in the Honors Civilizations sequence or third year Honors tutorials, courses in Communication, Mass Communication, or Journalism other than the faculty member's own, or any other courses at the University. To facilitate this evaluation, the Peer Committee (defined below) will review student evaluations of all courses taught each semester of the relevant evaluation period, as well as all relevant written input received from students or other faculty and contained in the Preceptor's personnel file, along with documentation of any special recognition or awards received by the Preceptor.

#### **RESEARCH AND SCHOLARSHIP**

Evaluation of research and scholarship will emphasize activities that engage undergraduate students, but will also include scholarship produced independent of students. Some portion of the preceptor's scholarship must be performed within the broadly defined disciplines of Communication, Mass Communication, or Journalism and some portion within Honors. In addition, research and scholarship may span interdisciplinary areas and/or focus on innovations in teaching, learning, and pedagogy. Evidence of scholarship and professional development may include peer-reviewed (refereed) publications, book chapters, conference presentations (including local or regional undergraduate-oriented research conferences), and/or internal or external grant funding in support of either undergraduate- or faculty-driven research experiences. In addition, the Peer Committee will also review and consider other forms of research and scholarly endeavor that align with the mission of the Honors College and/or the Department of Communication and Journalism. Peer Committee evaluation of research and scholarship for tenure and promotion will also include consideration of evaluative letters received from relevant subject-area experts from outside the University of Maine system, which will be solicited following normal University of Maine procedures (see Section V: External Evaluation).

## **SERVICE**

Service will be defined broadly to include activities that help sustain the University of Maine, the Honors College, the College of Liberal Arts and Sciences, and the Department of Communication and Journalism. Most often, such service will take the form of membership on either standing or ad hoc committees, formed either by the faculty or by the administration, but may also include participation in workshops, involvement in University or College-sponsored events, judging student work at events such as the Center for Undergraduate Research Academic Showcase, or participation in other relevant events. In addition, service may also include activities that contribute to and help sustain the academic profession, especially in the fields of Communication, Mass Communication, Journalism and Honors education. These activities may include reviewing manuscripts or grant submissions for professional journals or funding agencies, service on editorial boards, administrative positions in professional societies, serving on program committees for professional meetings, and other similar activities. Finally, service to the larger community (for example, state and/or local governments, industry, the law, the mass media, and/or not-for-profit organizations) will also be included, especially when such activities are based on the academic and professional expertise of the Preceptor and reflect his or her specific intellectual contribution to public life.

## **II. PEER COMMITTEE STRUCTURE**

The Peer Committee for the CLAS-Honors Preceptor of Journalism will consist of representatives of both units. The Department of Communication and Journalism will be represented by two tenured members to be elected by the departmental Peer Committee as a whole. Honors will be represented by two AFUM-eligible faculty members, who are not affiliated with the Department of Communication and Journalism, to be chosen by the Honors College Peer Committee. During the evaluation process, the Peer Committee representatives from both Honors and Communication and Journalism will take into consideration that this is a joint position—half-time Honors, half-time Communication and Journalism—and adjust expectations regarding workload in each unit accordingly. The Peer Committee will forward its recommendations regarding reappointment to the Chair of the Department of Communication and Journalism. The Peer Committee and Chair's recommendations will then be forwarded to the Dean of the Honors College and to the Dean of the College of Liberal Arts and Sciences. The Deans will then make recommendations to the Provost.

## **III. DEFINITIONS OF FACULTY RANKS**

### **ASSISTANT PROFESSOR**

Appointments as CLAS-Honors Preceptor of Journalism will normally be made at the rank of Assistant Professor, and will occur to fill programmatic needs in both the Department of Communication and Journalism and the Honors College. Individuals appointed to this rank must have earned the highest degree traditional to the discipline; generally the Ph.D. in Communication, Mass Communication, and Journalism. This individual is expected to contribute to the teaching mission of the Honors College and the Department of Communication and Journalism, both in a direct capacity and as more broadly defined above. In addition, the individual is expected to participate in scholarship and service, with a particular emphasis on activities that promote and foster undergraduate research and scholarship. In selecting candidates for such positions the Department of Communication and Journalism and Honors College will choose individuals whose credentials best qualify them for the duties of those positions. Tenure will not be granted at the Assistant Professor rank.

## ASSOCIATE PROFESSOR

To be recommended for promotion to CLAS-Honors Preceptor of Journalism with tenure at the rank of Associate Professor, the candidate must have displayed excellence in teaching, research, and service activities, as defined above. Their scholarly work as Assistant Professor should represent significant contributions commensurate with the assigned teaching load, as evaluated by the Peer Committee and by experts in the field. Further, they must show high promise for continued development in the teaching and research missions of the Honors College and the Department of Communication and Journalism.

## EARLY TENURE

Faculty members wishing to apply for early tenure and promotion must meet all usual criteria for teaching, scholarship, and service. In addition, they must demonstrate exceptionally broad national and/or international recognition of their work, as substantiated by measures that may include significant national awards for teaching and/or scholarship, invitations to speak at prestigious conferences or institutions, frequent citation of their work, well-placed favorable reviews, or a publishing and/or teaching record beyond that required of a typical applicant.

## PROFESSOR

Recommendation for promotion from Associate Professor to Professor depends not on length of time in rank but on the breadth and quality of the candidate's prior work. CLAS-Honors Preceptor of Journalism candidates for promotion to Professor must have demonstrated continuing excellence in teaching, scholarship and service, since the time of their promotion to Associate Professor. They should have established a national or international reputation, as evaluated by the Peer Committee and as validated by experts in the field.

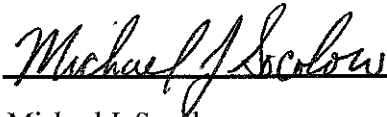
## IV. PROBATIONARY PERIOD

University policy on the probationary period for faculty on a tenure track is established by the *Agreement of the University of Maine with Associated Faculties of the University of Maine*—i.e., the university contract. This document varies from one contract period to another, and all faculty members should regularly consult the current contract. All faculty, especially probationary faculty, should clearly understand (1) what probationary status is, (2) what the criteria—departmental, college, and university—for promotion to the various ranks are, and (3) what the evaluative procedures used by the department, college, and university are. Very early in the first year, new faculty members should meet with the chair of the Department of Communication and Journalism and the Dean of the Honors College to discuss these policies. For re-appointment, it is expected that the CLAS-Honors Preceptor of Journalism will fulfill the responsibilities outlined in the AFUM agreement, as well as the responsibilities to the Honors College and the Department of Communication and Journalism as outlined in this document.

## V. EXTERNAL EVALUATION

For promotion to associate professor and to professor, UM System policy stipulates that external letters of evaluation from experts in the candidate's discipline be provided. Such letters are solicited by the Chair of the Department of Communication and Journalism and the Honors College dean in accordance with University of Maine procedures.

Approved by the joint Honors/Communication and Journalism Peer Committee (November 15, 2013)



Michael J. Socolow  
Associate Professor  
Department of Communication and Journalism



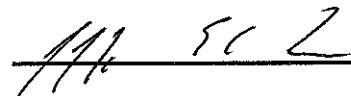
Laura A. Lindenfeld  
Associate Professor  
Department of Communication and Journalism



Margaret O. Killinger  
Rezendes Preceptor for the Arts  
Associate Professor  
Honors College



Chris Mares  
Director, Intensive English Institute  
Lecturer  
Honors College



Dr. Jeffrey E. Hecker  
Executive Vice President for Academic Affairs & Provost



## **CRITERIA FOR EVALUATION OF THE CLAS-HONORS PRECEPTOR OF PSYCHOLOGY**

### **I. EVALUATION CRITERIA**

The CLAS-Honors Preceptor of Psychology will be evaluated on the basis of teaching, research, and service activities, commensurate with the Preceptor's assigned teaching load. The primary emphasis of the Preceptor position will be on teaching, including both formal classroom teaching as well as other pedagogical activities such as academic advising and mentoring of undergraduate research experiences.

#### **TEACHING AND PEDAGOGY**

Evaluation of teaching will be based on performance in both the Honors College and in the Department of Psychology. Evaluative measures will include student evaluations of teaching, and peer review of syllabi and other course materials. Other measures may include direct peer observation of teaching, written statements from students, self-report analyses, teaching awards, and other relevant material. Teaching activities to be evaluated will include classroom performance, advising and mentoring of both Honors and Psychology students, serving on Honors thesis committees, supervising mentored research experiences in Psychology, and potentially other related student activities. Other activities that may be included in the evaluation of teaching and pedagogy are innovative curricular and pedagogical approaches, successful grant applications in support of curricular and pedagogical development, organization of and/or participation in workshops or seminars on teaching, and guest lecturing in Honors, Psychology, or other courses other than those directly assigned. To facilitate this evaluation, the Peer Committee (defined below) will review student evaluations of all courses taught each semester of the relevant evaluation period, as well as all relevant written input received from students or other faculty and contained in the Preceptor's personnel file, along with documentation of any special recognition or awards received by the Preceptor.

#### **RESEARCH AND SCHOLARSHIP**

Evaluation of research and scholarship will emphasize activities that engage undergraduate students, but will also include scholarship produced independent of students. At least some portion of the preceptor's scholarship must be performed within the broadly defined discipline of Psychology and some portion must be relevant to the principles and practice of Honors education. In addition, research and scholarship may span interdisciplinary areas and/or focus on innovations in teaching, learning, and pedagogy. Evidence of scholarship and professional development must include peer-reviewed (refereed) publications, book chapters, conference presentations (including local or regional undergraduate-oriented research conferences), and/or internal or external grant funding in support of either undergraduate- or faculty-driven research experiences. In addition, the Peer Committee will also review and consider other forms of research and scholarly endeavor that align with the mission of the Honors College and/or the Psychology Department. Peer Committee evaluation of research and scholarship will also include consideration of evaluative letters received from relevant subject-area

experts from outside the University of Maine system, which will be solicited following normal University of Maine procedures.

## SERVICE

Service will be defined broadly to include activities that help sustain the University of Maine, the Honors College, the College of Liberal Arts and Sciences, or the Psychology Department. Most often, such service will take the form of membership on either standing or ad hoc committees, formed either by the faculty or by the administration, but may also include participation in workshops, involvement in University or College-sponsored events, judging student work at events such as the Undergraduate Research and Academic Showcase, or participation in other relevant events. In addition, service will also include activities that contribute to and help sustain the academic profession, especially in the fields of Psychology and Honors education. These activities may include reviewing manuscripts or grant submissions for professional journals or funding agencies, service on editorial boards, administrative positions in professional societies, serving on program committees for professional meetings, and other similar activities. Finally, service to the larger community (for example, state and/or local governments, industry, the law, the mass media, and/or not-for-profit organizations) will also be included, especially when such activities are based on the academic and professional expertise of the Preceptor and reflect their specific intellectual contribution to public life.

## II. PEER COMMITTEE STRUCTURE

The Peer Committee for the CLAS-Honors Preceptor of Psychology will consist of representatives of both units. The Psychology Department will be represented by two tenured members to be elected by the departmental Peer Committee as a whole. Honors will be represented by two AFUM-eligible faculty members, who are not affiliated with the Psychology Department, to be chosen by the Honors College Peer Committee. During the evaluation process, the Peer Committee representatives from both Honors and Psychology will take into consideration that this is a joint position—half-time Honors, half-time Psychology—and adjust expectations regarding workload in each unit accordingly. The Peer Committee will forward its recommendations regarding reappointment to the Psychology Department chair. The Peer Committee and Chair's recommendations will then be forwarded to the Dean of the Honors College and to the Dean of the College of Liberal Arts and Sciences. The Deans will then make recommendations to the Provost.

## III. DEFINITIONS OF FACULTY RANKS

### ASSISTANT PROFESSOR

Appointments as CLAS-Honors Preceptor of Psychology will normally be made at the rank of Assistant Professor, and will occur to fill programmatic needs in both the Psychology Department and the Honors College. Individuals appointed to this rank must have earned the highest degree traditional to the discipline; generally the Ph.D. in Psychology. This individual is expected to contribute to the teaching mission of the

Honors College and the Psychology Department, both in a direct capacity and as more broadly defined above. In addition, the individual is expected to participate in scholarship and service, with a particular emphasis on activities that promote and foster undergraduate research and scholarship. In selecting candidates for such positions the Psychology Department and Honors College will choose individuals whose credentials best qualify them for the duties of those positions. Tenure will not be granted at the Assistant Professor rank.

#### **ASSOCIATE PROFESSOR**

To be recommended for promotion to CLAS-Honors Preceptor of Psychology with tenure at the rank of Associate Professor, the candidate must have displayed excellence in teaching, research, and service activities, as defined above. Their scholarly work as Assistant Professor should represent significant contributions commensurate with the assigned teaching load, as evaluated by the Peer Committee and by experts in the field. Further, they must show high promise for continued development in the teaching and research missions of the Honors College and the Psychology Department.

#### **EARLY TENURE**

Faculty members wishing to apply for early tenure and promotion must meet all usual criteria for teaching, scholarship, and service. In addition, they must demonstrate exceptionally broad national and/or international recognition of their work, as substantiated by measures that may include significant national awards for teaching and/or scholarship, invitations to speak at prestigious conferences or institutions, frequent citation of their work, well-placed favorable reviews, or a publishing and/or teaching record beyond that required of a typical applicant.

#### **PROFESSOR**

Recommendation for promotion from Associate Professor to Professor depends not on length of time in rank but on the breadth and quality of the candidate's prior work. CLAS-Honors Preceptor of Psychology candidates for promotion to Professor must have demonstrated continuing excellence in teaching, scholarship and service, since the time of their promotion to Associate Professor. They should have established a national or international reputation, as evaluated by the Peer Committee and as validated by experts in the field.

#### **IV. PROBATIONARY PERIOD**

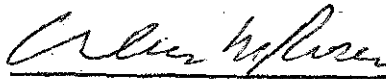
University policy on the probationary period for faculty on a tenure track is established by the *Agreement of the University of Maine with Associated Faculties of the University of Maine—i.e.*, the university contract. This document varies from one contract period to another, and all faculty members should regularly consult the current contract. All faculty, especially probationary faculty, should clearly understand (1) what probationary status is, (2) what the criteria—departmental, college, and university—for promotion to the various ranks are, and (3) what the evaluative procedures used by the department, college, and university are. Very early in the first year, new faculty members should meet with the chair of the Psychology Department and the Dean of the Honors College to discuss these



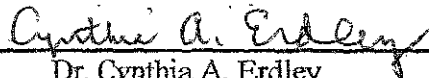
policies. No new CLAS-Honors Preceptor of Psychology should be reappointed for a second year without knowing the policies and procedures that govern reappointment, promotion, and the granting of tenure.

During the probationary period, Assistant Professors are allowed time to show how they can contribute to the Psychology Department and Honors College's missions in teaching, scholarship, and service. During this time, the Honors-Psychology Peer Committee evaluates as fully as possible the quality of the faculty member's progress toward a permanent, tenured position. Because these evaluations are, especially at the beginning of the probationary period, limited to short-term performance, and because performance may in subsequent years vary positively or negatively, satisfactory annual evaluation during the early years of the probationary period cannot be considered as a promise of (or the equivalent of) tenure. Annual evaluation during the first two years of the probationary period is both judgmental and developmental: criticism should be tempered with constructive advice. Later on in the probationary period, the accumulating evaluation process must yield a final judgment; the entire probationary period is reviewed carefully and thoroughly, and it is on the basis of the entire accumulated record that the Peer Committee makes its final judgment: to recommend for promotion and tenure, or to terminate.

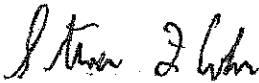
Approved by the joint Honors/Psychology Peer Committee (July 2013)



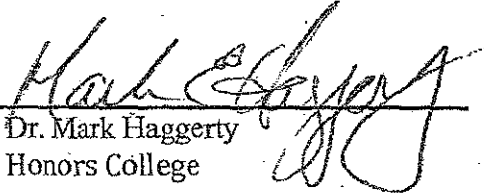
Dr. Alan M. Rosenwasser  
Professor of Psychology



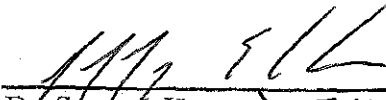
Dr. Cynthia A. Erdley  
Professor of Psychology



Dr. Steven F. Cohn  
Professor of Sociology  
and Honors College



Dr. Mark Haggerty  
Honors College



Dr. Susan J. Hunter  
Senior Vice President for Academic Affairs and Provost  
Executive



## CRITERIA FOR Promotion and Tenure OF THE CLAS-HONORS PRECEPTOR OF POLITICAL SCIENCE

### Evaluation Criteria

The CLAS-Honors Preceptor of Political Science will be evaluated on the basis of teaching, scholarship and professional development, and service commensurate with assigned teaching load, with an emphasis on teaching, to include teaching in the classroom, mentoring undergraduate research and other pedagogical activities articulated below which are not exhaustive. High quality undergraduate teaching is intimately connected to and complemented by high quality research. The principal responsibility of faculty is to critically engage students in a shared intellectual experience based on active learning.

### PEDAGOGY

Pedagogy includes both Political Science and Honors teaching, curriculum coordination/assessment and development, advising, and working with thesis students, both as an advisor and a committee member. With respect to classroom teaching, successful pedagogy should foster an environment that emphasizes careful and critical reading of texts, thoughtful discussion-based learning, and an environment in which student writing and creative projects reflect insight and careful preparation. The evaluation of pedagogy on these criteria will include:

- Student evaluations.
- Syllabi and other materials provided by the faculty member.
- Classroom visits and peer and/or supervisor evaluations of teaching.

Other activities that may be included in the evaluation of teaching quality include:

- Awards and prizes in recognition of teaching excellence.
- Innovative curriculum development and pedagogical approaches.
- Service learning, community engaged teaching, and pedagogical approaches which bridge the learning objectives of students with the needs and concerns of community partners.
- Participation in team teaching.
- Supervision of independent study, research, and undergraduate theses.
- Supervision of students for teaching and experiential learning projects.
- Group or individual student projects which foster undergraduate scholarship and/or creative activity.
- Successful grant applications in support of curriculum and pedagogical development.
- Workshops or seminars on teaching to Honors College and Political Science faculty.
- Workshops or seminars on teaching outside the Honors College and the Political Science department.
- Organization of and participation in study abroad activities.
- Coordination of active language learning and/or reading groups.

- Participation in, or planning of, events related to the pedagogical mission of Honors and the Political Science department.
- Guest lectures in Honors Civilizations Series or another professor's class.

### **SCHOLARSHIP & PROFESSIONAL DEVELOPMENT**

The Honors College and the Political Science department recognize the importance of various forms of scholarship and professional development. This must include research and scholarship that engages undergraduate students, work aimed at enhancing pedagogy, scholarship focusing on Honors education, and scholarship within the discipline of Political Science.

The Honors College and Political Science Department value scholarship, research, and creative activity conducted in collaboration with undergraduate students at all levels. Evidence of student engagement and success in this domain may include thesis advising and committee membership, or teaching and research mentoring that leads to:

- students attending state, regional, national and international conferences.
- students presenting work at UMaine, Honors and disciplinary conferences.
- student participation in creative exhibitions and public performances.
- students publishing in undergraduate journals or as co-authors and co-collaborators in scholarship or creative activity.
- student awards from UMaine or external sources for accomplishments in scholarly or creative activity.

The Honors College and the Political Science Department value and recognize the importance of scholarship and creative output in other forms. For promotion and tenure, faculty are expected to conduct scholarly activity within Honors and the discipline of Political Science. Other materials documenting scholarly and/or creative achievements in this sense may include:

- The publication or accepted for publication of scholarly or creative works in peer-reviewed and regionally, nationally or internationally distributed journals, including traditional and electronic formats.
- Publication of Honors articles in national refereed Honors journals, such as the *NCHC Journal* or *Honors in Practice*.
- Research or creative activity that engages community needs or concerns, and/or that is developed and executed in collaboration with community partners.
- Peer-reviewed professional books and monographs published or accepted for publication.
- Peer-reviewed professional articles and book chapters published or accepted for publication.
- The publication or accepted for publication of peer-reviewed scholarly or creative works in edited collections.
- Editorships or collections of professional papers that have come under peer review published or accepted for publication.
- Presentations at professional conferences in the candidate's field or in Honors.

- Invited keynote speeches or lectures.
- Exhibitions or performances of peer-reviewed creative work at the national or international level, or the curatorship of such events.
- Editorship of books accepted by contract for publication.
- Book reviews in professional journals published or accepted for publication.
- Research for governments and other public agencies.
- Frequent citations of the candidate's work by other scholars.
- Pattern of success in obtaining significant extramural research funding through grants, awards, or fellowships.
- Grants, awards and prizes received in competitions for research or creative activity.
- Patent(s) awarded.
- Works produced or made publicly available in formats such as digital media, works of a creative or literary nature, journalistic works, opinion pieces, or other forms of writing and creative work that align with the mission of the department of Political Science and the Honors College.

### **SERVICE**

Service to the Honors College and the Political Science department may include administrative duties, committee assignments, and involvement in College and department events while maintaining collegiality with Honors and Political Science department administration, staff, and colleagues. Service to the University may include membership on University committees and participation in shared governance. Service to the profession may include involvement with state, regional, and national Honors organizations and disciplinary organizations. Additional service should reflect Honors or disciplinary involvement.

Additionally, service may include broader outreach and engagement with one's community or work that aims to build connections between the university and the community characterized by reciprocity and mutuality.

### **CRITERIA FOR RANKS**

These criteria will generally follow the 1983 Faculty Handbook, Sections 2.2 and 2.3, entitled "Academic Titles and Criteria for Ranks" and "Criteria for Regular Academic Titles at Orono." However, consistent with the Honors College mission of undergraduate education it should be emphasized that teaching, broadly defined, constitutes the most significant factor in decisions concerning promotion and tenure within the Honors College.

#### ***Lecturer***

Those appointed as a lecturer must have satisfactory academic preparation in the relevant field to be taught and successful experience in the classroom or field. To be considered for reappointment, the individual must have demonstrated success in teaching. In addition, the individual must have demonstrated a commitment to service and scholarship as part of the mission of the University and the Honors College. For review and reappointment purposes, primary emphasis will be placed upon teaching.

### *Assistant Professor*

Appointment or promotion to the rank of assistant professor presumes that the individual has shown evidence of potential that, when developed further, will merit promotion in rank or the granting of tenure. The individual must have advanced training and a demonstrated interest in maintaining his or her professional competence. Except in unusual cases, the assistant professor should have the highest earned degree traditional to the discipline or should have made substantial progress toward its attainment. This individual is expected to contribute to the teaching missions of the Honors College and Department of Political Science both in a direct capacity and more broadly defined, outlined above. In addition, the individual is expected participate in scholarship and service, with a particular emphasis on activities that promote and foster undergraduate creative activity and scholarship.

### *Associate Professor*

The associate professor shall normally hold the highest earned degree traditional to their discipline. An individual holding the rank of associate professor must have demonstrated high quality teaching and competent advising, along with high promise for continued development in the broad teaching mission of Honors and Political Science.

Commensurate with the dual nature of the appointment, the associate professor must have a balance of research publications in Honors and the discipline of Political Science supported by substantial recognition from scholars or professionals. The associate professor also must have a demonstrated record of university or public service appropriate to his or her position. Appointment to the rank of associate professor is accompanied by the granting of tenure.

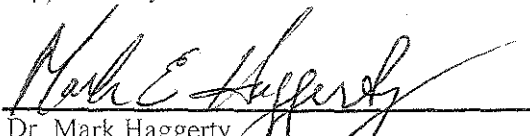
### *Professor*

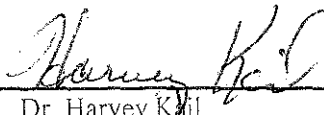
The professor must have demonstrated ability and scholarship of an exceptionally high order. As a teacher, he or she should show an extraordinary ability to stimulate in students a genuine desire for scholarly work. He or she should possess the demonstrated ability to direct the creative activity and scholarship of undergraduate students, with a sustained record of excellence in this capacity. As attested by experts in his or her field, the professor should have a national or international reputation as a scholar in Honors and the discipline of Political Science commensurate with the dual nature of the appointment. He or she should play a leadership role respecting university, public, and professional service.


## **REVIEW**

Reviews shall be conducted in accordance with university procedures and contractual guidelines and shall be conducted by the Peer Committee of the Honors College. The Peer Committee shall be responsible for conducting post-tenure reviews in accordance with the guidelines and criteria noted above, as well as University policies.

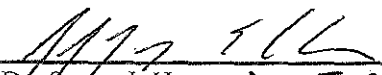
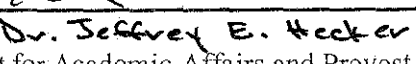
Approved by the Joint Honors/Political Science Peer Evaluation Committee (May 2013)

  
Dr. Mark Haggerty  
Peer Evaluation Committee, Honors College

  
Dr. Harvey Kohl

  
Dr. Howard Cody  
Peer Evaluation Committee, Department of Political Science

  
Dr. Michael Palmer

  
~~Dr. Susan J. Hunter~~   
~~Senior Vice President for Academic Affairs and Provost~~

~~Executive~~

# Mechanical Engineering Department

## Evaluation Criteria

### Peer Committee

The peer committee will be made up of all tenured full professors when promotions to full professor are being considered. The committee shall be made up of all tenured full and associate professors when promotions to associate professor and/or granting tenure are under consideration. If promotions to assistant professor are to be considered, the peer committee will consist of all faculty holding the rank of assistant professor and above. Prior to the start of any electronic communication and meeting planning for peer evaluation any member of the peer committee who has a conflict of interest that could impact their objectivity is expected to recuse themselves from all deliberations.

### Evaluation Criteria

The faculty member should have demonstrated the ability and willingness to support and work for the goals and objectives of the department. This implies sharing in the planning of the undergraduate and graduate courses and curricula, departmental committee assignments, cooperative research proposals, and promoting mutual support among all department members.

The three categories for evaluating performance are teaching, research, and service. The primary responsibility of the Department of Mechanical Engineering is to teach effectively and participate in the research mission of the University. Faculty considered for promotion will demonstrate more than a satisfactory level of activity in at least two areas, one of which will be teaching. Research and other forms of professional activity are normal functions expected of faculty members. A satisfactory level of performance in teaching and these other functions will be determined by the peer committee based on the following guidelines.

Promotion from instructor to assistant professor presumes that the unit member possesses potentiality which, when developed further, will merit promotion in rank or the granting of tenure. The unit member must have demonstrated interest in maintaining and improving his or her professional competence.

Promotion from assistant to associate professor implies that the unit member has demonstrated creative performance in those areas required by the mission and goals of the department. The unit member must show high promise for continued development. The unit member must be an effective teacher and should also show high promise through research, contributions to the current literature, and participation on departmental, college and university committees.

Promotion from associate to full professor implies that the unit member has demonstrated ability and scholarship of high order. The unit member must be an effective teacher. The professor should have a national reputation among his or her peers and he or she should have a reputation for making creative contributions to scholarship in his or her field. The professor should also demonstrate maturity through significant

research and contributions to the current literature, leadership, and participation on departmental, college and university committees, and cooperation with other departments, colleges, universities or agencies. A professor is expected to mentor junior faculty in areas of teaching and research.

Persons appointed at the rank of associate professor or full professor without tenure will be evaluated for tenure on the basis of the criteria for promotion to associate professor or professor respectively.

### **Teaching**

Teaching effectiveness will be based on the evaluation of the faculty member's peers and student input. Evidence of effective teaching includes:

- Direct classroom observation of instruction by senior faculty and department chair
- Signed student comments
- Numerical values from course evaluations.

Numerical values of teaching evaluations are expected to be comparable to the departmental mean with appropriate recognition of trends associated with types of classes and instructional style. Other evidence indicative of teaching contributions may include:

- innovation in laboratory and classroom demonstration
- curriculum development
- supervision of teaching assistants
- supervision of research assistants
- supervision of student projects beyond regular course assignments
- supervision of student activities directly related to the academic programs
- teaching in the honors program
- experimental teaching methods and pedagogical research
- development of new courses
- authoring and reviewing textbooks or professional manuals
- development of continuing and distance education courses
- participation in teaching and pedagogical development activities

The department considers advising an essential activity for all faculty members. The effectiveness of advising both undergraduate and graduate students will be considered in all evaluation processes.



## **Research**

Faculty are expected to be involved in research as an essential part of their activities and responsibilities. Even though publication of research results in refereed journals is often considered to be the premier evidence of high quality research accomplishments, it is not the only evidence of accomplishment that is acceptable or considered.

Evidence of research contributions may include but is not limited to the following:

- publication of research results in refereed professional journals
- presentation of research results at national or international conferences
- research proposal preparation
- reviewing technical manuscripts
- receipt of externally funded research grants
- receipt of research awards
- inventions that lead to patents
- directing student research
- cooperative research efforts with other university departments

## **Service**

Service contributions appropriate for a faculty member may include but is not limited to the following:

- service on departmental, college and university committees
- service on advisory committees at the national, state or local level
- participation in seminars and short course offerings
- reviewing research proposals
- participating as a member of an accreditation or program review team
- organizing and chairing sessions at professional meetings
- service as an advisor for student organizations
- consulting activities
- service on editorial boards for professional journals and newsletters
- service on thesis committees
- community speaking engagements
- mentoring junior faculty on University and other procedures

When criteria change tenure track faculty members scheduled to be evaluated for tenure in the next three years will have their choice of evaluation on the new or old criteria. Typical annual workload expectations of a faculty member are shown in the attached table. The table is intended to provide guidance regarding the departmental expectations rather than a checklist.

### **Ongoing Evaluation Process**

Peer evaluation of the faculty in the Department of Mechanical Engineering is conducted by the Peer Review Committee as described above. The committee should include all faculty at the same rank or above the rank of the faculty member under consideration. The schedule is as follows:

- All untenured faculty are reviewed annually at the appropriate times.
- Tenured associate professors are reviewed every four years.
- Tenured full professors are reviewed every four years.

All faculty members are required to submit a complete annual report at the end of each fiscal year. During the post tenure review faculty who demonstrate efforts beyond the satisfactory level and have significant activities that can be characterized as either Exceptional Activities or Activities Associated with Development of a Culture of Excellence would be expected to receive a rating of above average.

# Typical Annual Faculty Workload

Premise –

- Faculty appointments in Mechanical Engineering are 50% teaching, 50% research.
- Additional responsibilities are administrative, outreach and service.
- That an effective equivalency can be created between these activities
- The definition of research is work that can be published in refereed journals, results in patents, supports graduate teaching and increases the scientific background and technological know-how of the university and the university's industrial partners
- All activities assume an averaging over time, typically a three year moving average best represents continuous activity

	<b>Teaching</b>	<b>Research</b>	<b>Service/Outreach</b>
<b>Satisfactory Activities</b>	Teach 2 courses per semester (3 courses per year prior to tenure)	Each year a minimum of one refereed journal paper appears in print	Serve on 1 committee with significant university involvement
	Support departmental curriculum continuity and development	Present 1 paper at a national conference. A refereed conference is strongly preferred if available in the area of research.	Chair and serve on departmental committees
	Mentor new faculty	Mentor a graduate student	Advise undergraduate students
	Participate in teaching cells or peer teaching reviews	Serve as a journal paper reviewer	Review research proposals
	Support development of new teaching methods and tools	Submit a research proposal	
<b>Exceptional Activities</b>	Write an Undergraduate Text	Publish 3 or more refereed papers	Serve on faculty senate
	Advise a large scale undergraduate competition design project	Graduate 2 or more graduate students with thesis/dissertation	Perform outreach for visibility of UMaine in secondary education
	Submit an educational research proposal	A highly cited or high impact paper	Chair a university-wide committee
		Write chapter for an edited volume	
	Lead accreditation efforts for department	Advise visiting scholars/post-doctoral researchers	Promoting the engineering profession and registration efforts
Patent a device or method		Graduate coordinator	
<b>Activities Associated with development of a culture of excellence</b>	Host a national teaching methods conference or workshop	Develop a multi-disciplinary Research Center	Development activities leading to funding for a chaired professor
	Host a regional or national undergraduate design competition	Edit a peer reviewed journal	Host or organize a national conference
		Publish a monograph or text	Mentor or lead a business spin-off

Some activities can be traded off in the above matrix on a set basis of equivalency. Tenured faculty have the option of substituting teaching for research if desired.

Revised: 6/2/80

Reviewed and approved by the Mechanical Engineering Faculty 9/16/80

Approved by President Silverman 12/15/80

Reviewed by the M. E. Peer Committee (No changes) 5/11/81

Reviewed by the M. E. Peer Committee (No changes) 2/26/85

Reviewed by the M. E. Peer Committee (No changes) 5/12/88

Revised by the M.E. Peer Committee (Fall 1998)

Revised by the M.E. Peer Committee (August 1999)

Approved by President Kennedy via Evelyn Silver (November 23, 2005)

Revised by the M.E. Peer Committee (October 2006)

Approved by Provost Szymanski (October 2006)

Revised by the M.E. Faculty (October 2008)

Revised by the M.E. Peer Committee (December 2012)

Revised by the M.E. Peer Committee and Approved by Faculty (April 27, 2015)

## DIVISION OF MUSIC

### II. FACULTY EVALUATION GUIDELINES

Faculty shall be artist-teachers who, through their creative work in music, shall possess deep interest in educating and serving as models for their students. Both in the classroom and in performance, Music faculty should evidence knowledge of the history and theory of music, as well as an understanding of the skills and techniques required of their disciplines.

Each faculty member will be evaluated as provided for in the University contract. The Peer committee as well as the administrative evaluation will consist of a complete and thorough evaluation of: 1) teaching, including course effectiveness and advising; 2) creative activity (See III.A.3 below); and 3) service, including institutional and state activities. In general, to gather material for examination, the Peer Committee will visit classes, examine course materials, assess student evaluations with regard to teaching and advising, hear performances, read publications, and survey annual activity reports with regard to service and outreach activities as defined by the institution.

Further, in addition to the criteria in the following sections, the Division of Music will adhere to the principles of the National Association of Schools of Music (NASM) guidelines for evaluating college faculty in music.

As an added component of this process, the Division of Music may engage an outside evaluator to observe and report to the Peer Committee on the merit of the artistic work of the faculty member. This outside evaluator shall be acceptable to the faculty member, the Peer Committee, and the Chair. The outside evaluator should submit a timely report that provides a reasonable opportunity for the faculty member to respond. This normally will be accomplished by having the evaluator attend performances or listen to recordings representative of the faculty member's work. The evaluator may also be afforded an opportunity to observe appropriate classes and to respond to portfolios or other pertinent evidence of scholarly and creative achievement. The evaluator will provide a written report to the Music Division Chair, who will provide copies to the faculty member and to the Peer Committee. A copy will be placed in the personnel file, as part of the permanent record.

### III. CRITERIA FOR FACULTY EVALUATION

Fulltime, tenure track faculty must hold a terminal degree (either Master's or Doctorate) or show evidence of equivalent professional experience (see Section V. Criteria by Rank for Promotion and Tenure). Adjuncts and part-time instructors must hold a Master's degree in their discipline or show evidence of equivalent professional experience.

- A Evidence of significant contributions to the mission of the Division of Music subject to periodic review as stipulated by the AFUM contract:
- 1) Exceptional and Creative Teaching. Clear evidence of setting and achieving course goals and communicating with and inspiring students, as determined primarily by course materials (syllabi, lesson plans, study guides,

## Division of Music Faculty Handbook

exams, and other germane teaching materials), student evaluations, evidence of reflective teaching, and/or class observations by Peer Committee members.

2) Commitment to Advising. Significant activities in academic advising, including guidance to regular advisees, applied students, graduate students, and other enrolled students. Office hours, letters of recommendation, and other student-focused activities will be evaluated.

3) Creative activity

(a) Success in performance (live or recorded), composition, or scholarship in area of specialty.

(b) Adjudication in state, regional and/or national music festivals, other outside professional evaluations, reviews, letters, awards, and other materials will be used for evaluation. Special consideration will be given to performances that contribute to the visibility of the institution beyond the campus.

(c) Research and publication. Although scholarly research and publication are not required of our performing faculty, the Division of Music is proud of significant scholarly and professional publication by our faculty. We value evidence of significant and scholarly publication in books, refereed journals, trade magazines, newsletters, and other professional works, as well as editorships on both the national and international levels. Further, addresses, workshops, panel participation, papers, and research poster presentations given at state, regional, and national conferences are valued. It is the responsibility of the faculty to present evidence of such publication by making available copies of their publications for reading and for files in the School office.

4) Service and outreach.

(a) Activities such as curriculum development, facilitating student and faculty performances, and committee services within the Division, School, College and the University.

(b) Membership and service to professional organizations, such as board and committee memberships, offices held in state, regional, and national organizations, and consultations. It is the responsibility of the faculty to supply evidence of duties and accomplishments in offices

(c) Outreach activities throughout the area, state and region.

B Evidence of continuing professional development.

1) Work toward advanced degrees, or work in advanced professional studies, as well as additional training.

2) Awards, grants, fellowships. It is the responsibility of the faculty to supply copies of proposals that result in grants.

## IV FULLTIME INITIAL APPOINTMENT TENURE TRACK

A Fulltime initial appointments in music at UMaine customarily require that each faculty member's workload assignment be divided between classroom teaching

(directing of ensembles inclusive), and studio teaching. All faculty members should be qualified to teach both undergraduate and graduate courses.

- B Normally all new faculty appointed to tenure track positions will possess an earned terminal degree, Master's or Doctorate, appropriate to their areas of teaching and creative activity (See III.A.3).
- C In truly exceptional cases of recognized achievement in the area of specialization, an appointment without such a terminal degree may be recommended.

## V CRITERIA BY RANK FOR REAPPOINTMENT, PROMOTION, AND TENURE

- A **Lecturer** – The rank of Lecturer is a non-tenure track full-time teaching appointment. The lecturer will be evaluated primarily on teaching and service (See III.A). While not required of the position, documentation of professional development or creative activity will also be considered in the annual evaluations. A lecturer's service may include outreach events such as concerts, clinics, masterclasses, conference appearances, pedagogical publications and other efforts that may combine student recruitment and advancement with the faculty member's professional development. Lecturers are expected to engage in active recruitment of new students as part of their Service duties.
- B **Assistant Professor** - The rank of Assistant Professor presumes that the individual possesses the potential to successfully achieve promotion and tenure according to Division of Music criteria. Ordinarily the appointee should have the terminal degree appropriate to his or her area of responsibility. A faculty member is normally hired as an artist-teacher, with the expectation that he or she will demonstrate capability in both areas of the initial appointment, one in teaching, and the other in creative activity. (See III.A.3)

**Tenure Credit** *It is our policy to advise those new faculty who bring experience of college teaching with them to take tenure credit at the time of appointment. The use of these credits is governed by the collective bargaining agreement. For new faculty without previous college teaching experience, early promotion and application for tenure are not encouraged.*

- C **Associate Professor** - The candidate must have demonstrated significant achievement in the areas of teaching and scholarship/creative activity and service, which includes active efforts to recruit and retain quality students. The candidate must show promise of continuing development, and should have established productive professional working relationships with their peers. While a terminal degree is generally expected for promotion to the rank of associate professor, it is recognized that professional stature in the arts is often not contingent upon formal degrees. A person appointed at the rank of Associate Professor without tenure will be evaluated for tenure on the basis of the criteria for promotion to Associate Professor.
- D **Professor** - The faculty member must have demonstrated exceptionally high

achievement within the Division of Music criteria for faculty. In addition to the expectations of an associate professor, a full professor will have established:

- 1) a sustained and unequivocal record of excellence in teaching and advising, including work with advanced students;
- 2) a sustained and distinguished record of creative activity (See III.A.3);
- 3) an exemplary record of service;
- 4) a reputation among his or her peers, that extends beyond the boundaries of the state, as an outstanding performer, conductor, composer, scholar, or clinician.

An Associate Professor may normally apply for promotion after six years in the rank. A person appointed at the rank of Professor without tenure will be evaluated for tenure on the basis of the criteria for promotion to Professor.

## **VI POST-TENURE REVIEW**

The post-tenure review process will follow the criteria previously outlined according to rank, with the intent of evaluating faculty performance over a four year period as either satisfactory, above satisfactory, or unsatisfactory. This review will adhere to the University/AFUM contract and be carried out every four years. Please refer to Section V. Criteria by Rank for Promotion and Tenure.

Approved by Executive Vice President for Academic Affairs and Provost on April 22, 2017



## **PEER COMMITTEE AND PEER REVIEW CRITERIA**

University of Maine Department of Earth Sciences

September 10, 2002,

[name changed from Geological Sciences, June, 2003]

### **PEER COMMITTEE:**

This committee will consist of four faculty members, all of whom must hold tenure and have a formal appointment in the Department of Earth Sciences. Deliberations concerning promotions will be conducted only by committee members holding higher rank than the person being considered for promotion. The Peer Committee also serves as the Policy Advisory Committee for advising the department Chairperson.

### **PEER REVIEW CRITERIA:**

It is expected that all faculty members in the Department of Earth Sciences will have an appointment that balances teaching, research and service. The following criteria are intended as a guide to all untenured faculty members, regardless of rank, in preparing for evaluations with respect to progress toward promotion and/or attainment of tenure. They are further intended to specify levels of performance to guide Peer Committees regarding promotions from Associate Professor to Professor and for the standard annual evaluation for both tenured and untenured faculty members. The Department recognizes that mentoring of faculty members at early stages in their careers is important, as is accountability throughout faculty members' careers.

It is recognized that a number of faculty members have Joint Appointments, with some proportion of their salary coming from other units, such as the Institute for Quaternary and Climate Studies (IQCS) and the School of Marine Sciences (SMS), that will modify the details presented below. Those faculty members will be evaluated by a Joint Peer Evaluation Committee, as described in the "Revised Faculty Handbook 2000" and the current AFUM contract. There is a clear distinction in UM and UM System documents between "Joint Appointments" (most often referring to split salary line) and "Cooperating Faculty" (where no salary split is involved). However, certain GES faculty members whose salary comes exclusively from a research unit have Joint Appointments and their tenure or tenure-track resides within the Department of Earth Sciences. Research units do not grant tenure at UM. Cooperating Faculty members are evaluated by their primary academic unit. Cooperating Research Faculty members are evaluated by their primary academic or research unit.

Research Faculty members within the Department are part of the collective bargaining unit. They are evaluated annually by the Peer Review Committee for reappointment, and as necessary for promotion. Evaluation criteria are the same as for tenured or tenure-track faculty members, in proportion to the research appointment, and in consideration of additional contributions such as advising and teaching, if any.

The following criteria represent satisfactory performance within rank, as well as for tenure decisions and promotion. These criteria apply to a faculty member (except where specifically stated otherwise) whose appointment is 50% teaching and 50% research (where a 50% teaching appointment is defined as 12 credit hours per year). Variations in the conditions of appointment, such as administrative duties, will result in proportional adjustment of these expectations.

- I. Departmental Functions: The individual shall participate effectively on the normal committees of the Department, contribute to the development of Departmental policy, and be involved in overall Departmental activities such as faculty meetings, seminars, thesis

defenses, invited lectures and non-classroom interactions with students. Outstanding service in these areas will be appropriately recognized. Untenured faculty should not serve on too many committees.

II. College and University Functions: Faculty members shall be willing to serve on College and University committees, and in activities that aid the development of the Department, College and the University. However, untenured faculty should generally limit such service in the yearly years of establishing their careers.

III. Teaching Functions: The individual shall present evidence of satisfactory teaching at the undergraduate and graduate levels. Evidence should include student evaluations as well as personal student statements. Peer evaluation of course content and presentation should be sought out by the faculty member and/or the Peer and Curriculum Committees. In recognition that geology requires significant laboratory and field-oriented skills, preparation of students in these areas (e.g., by conducting field trips outside of the coursework), will be recognized appropriately. In order for the Department to fulfill adequately its teaching mission, as a portion of their assigned teaching load, all faculty members are expected to teach on a full time, regular basis (at least every other year), one undergraduate-level GES course. Moreover, if appropriate and feasible, all faculty members should teach one of the core courses for undergraduate geology majors. All faculty members shall also teach graduate courses. Both graduate and undergraduate teaching are viewed as very important contributions to the Department, and will be evaluated seriously. The Chairperson may be exempted, in part, from the undergraduate teaching requirements.

IV. Advising: All faculty members shall serve on thesis committees, and direct thesis work on a regular basis. These activities will be considered as part of (but not a substitute for) the individual's research productivity. Advising of undergraduates is recognized as a highly significant responsibility and all faculty members must participate in this activity as the opportunity arises. Documented effectiveness in both graduate and undergraduate advising will be monitored carefully via student questionnaires and evaluation of students' progress.

V. Scholarly Activities:

- (a) When appropriate, the individual shall interact with other faculty members within the Department, within the University, and with the academic and professional community at large.
- (b) The scholarly activity should lead to the dissemination of new knowledge in the form of publications and oral presentations. The expected level of performance will be prorated according to the following research appointments (<50%, 50%, and <50%). It should consist of, time averaged over a three-year period:
  - (i) (One, two, or three) refereed articles or maps every two years. These must be in national or international professional journals such that they reach wide audiences of peer scholars. (Book reviews, NEIGC guidebook articles, Antarctic Journal field season reports, and the like shall not be considered as commensurate substitutes although they are desirable: see (iii) below). For major articles with multiple authorship, the individual should be involved in proportionately more articles. For review purposes, faculty should indicate their percentage of effort on multi-author

papers. Refereed chapters in high-level, research-oriented books will be considered equivalent to a refereed article. A book (editorship, sole authorship) shall be the equivalent of two years of scholarly productivity if the book has a high-level research orientation. Textbooks or books for popular audiences will be counted as the equivalent of one year of scholarly activity.

- (ii) (One, two, or three) oral or poster presentations should be made every two years before professional organizations such as GSA, AGU, MSA, AMQUA INQUA, etc. Invited presentations are highly desirable. They represent recognition by the profession of the quality of the individual's work.
- (iii) Syntheses, open-file reports, field-trip guides, etc. are valuable "start-of-the-art" documents and any combination of two of them shall be equated with a single journal article.

VI. Extramural Funding: Research requiring significant funding should be supported largely through extramural sources. This does not imply that such fund-raising is in itself a substitute for scholarly activity. A crucial part of the health of the Department is faculty obtaining funding from graduate student stipends (beyond the limited Teaching Assistantships within the Department) and funds for students to conduct their thesis research. All faculty members shall attempt to procure such funding on a regular basis. There is a wide variation in the amounts and frequency of submissions required for fundraising activity, but this shall be documented, provided to the peer committee, and will be evaluated.

The above criteria for measuring scholarly activity (research teaching, advising) along with professional service and public service will be the basis for reappointment of untenured faculty and promotion to Associate Professor with Tenure. Promotion to Professor shall be based on consistent and long-term quality and productivity that complies with (III)-(VI), and national recognition as indicated by participation in national-level professional organizations, invited papers, etc. Promotion to Professor will normally be first considered six years after promotion to Associate Professor at the University of Maine. It is expected that Professors will maintain the same or higher level of activity in (III)-(VI) that is commensurate with the percentage level of their research appointment.

VII. Professional Service: Individuals must participate in such valuable service efforts as:

- (a) Proposal reviews (NSF, EPA, etc.)
- (b) Peer review of papers
- (c) Convening and/or chairing professional sessions
- (d) Serving on agency boards (NSF, National Academy of Science, etc.)
- (e) Sustained service to the State, such as membership on advisory committees

VIII. Public Service: Each faculty member is expected to contribute to our exchange with the public at the Departmental level. This could involve answering letters (inquiries) and phone calls, giving tours of the facilities, etc. Additionally, the individual should be willing to donate several days a year to the Maine community in the form of public lectures, (non-paying) consultation with State governmental organizations, etc.

## **DEPARTMENT OF ELECTRICAL ENGINEERING EVALUATION CRITERIA AND PROCEDURES**

### A. Peer Evaluation Committee

The peer evaluation committee shall consist of all members of the department of the same or higher academic rank than that of the individual being evaluated, except that the latter shall not be a member.

### B. Evaluation Criteria

The primary mission of the Department of Electrical Engineering is to sustain and strive to improve the total educational program of the department. This includes effective teaching, research, and service to the University, the community and the profession. The level of performance in, and balance between, these three areas will be judged by the peer evaluation committee in accordance with the following guidelines.

Evaluation of teaching will be based on the judgements of peers and of the chairman of the department. Items to be considered shall include, but not be limited to, the results of the "Student Evaluation of Teaching" process; interaction of the individual with students outside the classroom; development of courses and course materials; effectiveness in advising students.

Evaluation of research shall include, but not be limited to, consideration of the rate and quality of publication; technical reports and monographs; papers presented at professional meetings; effort toward and success in obtaining funding; quality of research performed by students under the individual's supervision.

Evaluation of other professional activities to be evaluated shall include, but not be limited to, services to the University, the profession and the community; recognition as a consultant; development of workshops; offices held and committee work in technical and academic societies; participation in government boards and panels; reviewing of papers, proposals and textbooks.

In addition it is expected that the individual shall have shown support for and helped implement the stated goals of the department. This implies sharing in the planning of courses and curricula; acceptance of departmental assignments, and participation in co-operative research and educational proposals.

### C. The Peer Review Committee

In consideration of a promotion, the peer review committee shall consist of all tenured faculty of the department of higher rank than the candidate, except that for recommendation of promotion to assistant professor, the committee shall consist of all faculty of higher rank. In the consideration of a recommendation for tenure or continuing contract, the peer review committee shall consist of all tenured faculty of the same or higher academic rank than that of the candidate, except that the latter shall not be a member.

D. Promotion, Tenure and Continuing Contract Procedures

Promotion, tenure and continuing contract recommendations by the peer review committee will be made in accordance with the criteria established in part B of this document. The candidate may, if he or she wishes, submit references from former students, or other individuals, organizations or departments of the University.

Promotion to assistant professor presumes that the individual possesses potential which, when developed, will merit further promotion in rank, or the granting of tenure. The individual must have demonstrated an effort to maintain and improve his or her professional competence.

Promotion from assistant to associate professor implies that the individual has demonstrated high achievement in those areas required by the mission of the department, and shows high promise for continued development. The evaluation will be based upon information supplied by the individual, the peer committee, and sources within and outside the University.

Promotion from associate professor to professor requires a sustained record of significant accomplishment, a high level of recognition and maturity, and a professional reputation of more than local dimension. Information obtained from knowledgeable individuals outside the University will be evaluated, in addition to that supplied by the candidate, the peer committee, and other sources within the University.

University of Maine  
Department of English

GUIDELINES FOR REAPPOINTMENT, PROMOTION,  
TENURE, ANNUAL EVALUATION, and POST-TENURE  
REVIEW

(revised 2006)

**I. Definitions of Faculty Ranks**

**Instructor**

Effective September 1, 1996, the department will not normally make appointments at the rank of Instructor. Individuals who hold this title at the time this policy is initiated may choose to retain that title and will be subject to the same job description as for Lecturer.

**Lecturer**

Appointments of full-time Lecturers in the Department of English occur when the department has enrollment needs which cannot be met by tenured or tenure-track faculty. The minimum requirement for appointment as Lecturer is, normally, an M.A. degree and teaching experience in composition and/or introductory literature courses. The position of full-time Lecturer is normally a full-time teaching position. Lecturers are evaluated annually by the Peer Committee, in consultation with the course coordinators of the courses in which these lecturers are teaching. Lecturers are not eligible for tenure.

**Assistant Professor**

Appointments to Assistant Professor of English occur when the department has openings in positions necessary for the accomplishment of departmental missions. In selecting candidates for such positions the department chooses individuals whose credentials best qualify them for the duties of those positions. Except in unusual cases (such as specialties for which the applicant pool is very small and the competition with other hiring departments, therefore, very strong; or when, as in the case of a published writer, experience and accomplishment are more important than academic degrees), individuals appointed to this rank must have earned the highest degree traditional to the discipline and/ or area of specialization. The department will not recommend tenure at the assistant professor rank.

### **Associate Professor**

To be recommended for promotion to Associate Professor of English with tenure, assistant professors must, in the over-all review made no later than the sixth year of their probationary periods, rank high in intellectual work and academic/professional citizenship. Their scholarly or creative work after initial appointment should be significant contributions, as evaluated by experts in the field. Moreover, they must have demonstrated, excellence in accomplishing those duties for which they were hired, and they must show high promise for continued development consistent with the long-range missions of the department.

### **Early Tenure**

Faculty members wishing to apply for early tenure and promotion must meet all usual criteria for teaching, research, and service. In addition, they must demonstrate exceptionally broad national and/or international recognition of their work, as substantiated by measures that may include significant national awards, invitations to speak at prestigious conferences or institutions, frequent citation of their work, well-placed favorable reviews, or a publishing record beyond that required of a typical applicant.

### **Professor**

Recommendation for promotion from Associate to Professor depends not on length of time in rank but on quality of work. Candidates for Professor must demonstrate excellence in intellectual work and academic/professional citizenship. Through their work, they should have established a national reputation, as validated by experts in the field. Appointment to the rank of Professor from outside the university will not ordinarily be made; in the unusual case when it is, these same criteria will be used.

## **II. The Probationary Period**

University policy on the probationary period for faculty on a tenure track is established by the *Agreement of the University of Maine with Associated Faculties of the University of Maine—i.e.*, the university contract. This document varies from one contract period to another, and all faculty members should regularly consult the current contract. All faculty, especially probationary faculty, should clearly understand (1) what probationary status is, (2) what the criteria--departmental and university--for promotion to the various ranks are, and (3) what the evaluative procedures used by the department, college, and university are. Very early in the first year, new faculty members should meet with the department chair to discuss these policies. No new member of this department should be reappointed for a second year without knowing the policies and procedures that govern reappointment, promotion, and the granting of tenure.

The probationary period is a time of testing and trying-out: new colleagues must be allowed time to show how they can contribute to the department's missions in teaching, scholarship, and service. During this time, the department's Peer Committee evaluates as fully as possible the quality of the faculty member's progress toward a permanent, tenured position within the department. Because these evaluations are, especially at the beginning of the probationary period, limited to short-term performance, and because performance may in subsequent years vary positively or negatively, and because the mission and needs of the department may change, satisfactory annual evaluation during the early years of the probationary period cannot be considered as a promise of (or the equivalent of) tenure. Annual evaluation during the first two years of the probationary period is both judgmental and developmental: criticism should be tempered with constructive advice. Later on in the probationary period, the accumulating evaluation process must yield a final judgment; the entire probationary period is reviewed carefully and thoroughly and it is on the basis of the entire accumulated record that the Peer Committee makes its final judgment: to recommend for promotion and tenure, or to terminate.

### **III. Peer Committee**

Under the terms of the AFUM contract, a peer committee is responsible for evaluating all faculty and for recommending faculty members for reappointment, promotion, and tenure. Additionally, the Peer Committee conducts post-tenure reviews, and it uses the evaluation criteria detailed below for this review. In the English department, the Peer Committee is composed of all tenured members of the department. For cases of promotion to Professor, the Peer Committee is restricted to the full professors.

### **IV. External Evaluation**

For promotion to Associate Professor and to Professor, UM System policy stipulates external letters of evaluation from experts in the candidate's discipline. Such letters are solicited by the department chair in accordance with College of Liberal Arts and Sciences procedures.

### **V. Evaluation Criteria**

The department of English sees *intellectual work* and *academic and professional citizenship* as the primary components of faculty work. *Research, scholarship, teaching, and service* are the activities through which intellectual work and academic/professional citizenship are accomplished. The department believes that the quality, significance, and impact of faculty work are more important than the category to which the work belongs. Intellectual work is not restricted to research and scholarship but is also a component of teaching and service. And just as research is not the exclusive site of intellectual work, service is not the exclusive site for academic and professional citizenship. Therefore, to achieve the standard of overall excellence in intellectual work and academic/professional citizenship, a faculty member's accomplishments need not be uniformly spread among research/ scholarship, teaching, and service, though continuing satisfactory performance is required of every faculty member in all three activities.



## **Intellectual Work**

### *Teaching*

Faculty holding tenure and tenure-track appointments must be able to teach service courses, undergraduate major courses, and graduate courses. The department expects its faculty to be able to translate disciplinary expertise into meaningful and accessible models for learners at different stages. Teaching includes such additional intellectual work as course development and/ or . pedagogical innovation. Because teaching resists reductive analysis and quantitative measurement, the Department of English is not committed to any single method of evaluating teaching effectiveness. The department does, however, endorse the following guidelines:

- (1) The Peer Committee evaluates teaching practices, including student evaluations, course materials, and classroom performance, of all faculty under consideration for reappointment or promotion.
- (2) Every faculty member must submit student evaluations of all courses taught each semester.
- (3) Unsolicited letters from students, alumni, and other faculty, along with any special recognition such as an award for good teaching, should be added to the record.

Signed commendations or complaints in writing to the department become part of the faculty member's personnel file. The department chairperson must supply the faculty member with a copy of such a document. The faculty member may respond in writing to any such document, and the written response also becomes part of the personnel file. All materials placed in the Personnel File fall under the provisions of Article 6 of the current AFUM contract.

### *Research/ Scholarship*

Tenured and tenure-track faculty in the department spend a portion of their professional time in scholarly work and, in accord with the University's research responsibilities as a land-grant/ sea-grant institution, are expected to show an appropriate record of research and scholarship. By its nature, scholarship is cosmopolitan and Tran institutional rather than local. Significant intellectual work is an outgrowth of professional expertise and is legitimated in accordance with the standards of at least one disciplinary or professional community. Faculty may receive additional time, reassigned from teaching, for this purpose. The department defines research/ scholarship as encompassing the following activities:

- (1) Refereed publications within the discipline. "Refereed" means that the scholarly work is evaluated by another expert in the field, whether it be an editor or editorial board for a journal, or a distinguished scholar asked to pass judgment at the request of a journal's editor or of the contributor. Publications can take a variety of forms: for example, publication or acceptance for publication of scholarly articles and books; of textbooks on literature or composition; of bibliographies and biographies on literary figures; of poetry,

fiction, drama, and essays; and of reports and reviews.

(2) Editorial work for a scholarly journal or press.

(3) Formal presentation (invited or refereed) delivered at professional or academic venues (international, national, regional, state, or local).

(4) External grants designed to elicit support for scholarly research or for curricular development.

The Peer Committee may include in its evaluation of scholarship works submitted for publication and/ or grant proposals submitted but not funded.

### *Service*

Intellectual work is accomplished in service when faculty use their specialized knowledge in activities that sustain academic institutions as intellectual centers and enable them to carry out academic goals. Structuring a new program or contributing one's disciplinary expertise to college or university committees, for example, involves more than the general knowledge or skills that most educated people possess. That academic knowledge may also benefit government, industry, the law, the arts, and not-for-profit organizations; examples would be serving on a state or local humanities council, helping a school system revamp its curriculum, working on a community literacy project, writing a script for public television, and consulting on expert testimony for Congress.

### **Academic/Professional Citizenship**

Academic and professional citizenship encompasses the activities required to create, maintain, and improve the infrastructure that sustains the academy as a societal institution. Such activities are not dependent on disciplinary expertise but on one's commitment to the academic and professional community. The Department recognizes the significance of faculty work in support of the institution at all levels.

### *Teaching*

Citizenship in teaching is demonstrated through contributions to student advising and retention, as well as service in faculty recruitment and on college or university curriculum committees

### *Research/ Scholarship*

Citizenship activities within research and scholarship include participating in promotion and tenure reviews, evaluating manuscripts for a journal or publisher, and serving on committees in professional organizations in one's discipline.

### *Service*

Activities that constitute citizenship in service include participation in department, college, and university governance, activities, and committee work (standing or ad hoc); representing one's institution on an external task force or in a public forum; and contributions to the administrative work of the department and the university.

PROMOTION AND EVALUATION CRITERIA  
DEPARTMENT OF FOOD SCIENCE & HUMAN NUTRITION  
COLLEGE OF NATURAL SCIENCES, FORESTRY & AGRICULTURE  
UNIVERSITY OF MAINE

7/7/99

I. Criteria for Recommendation for Reappointment, Tenure /Promotion, and Post Tenure Evaluation

All faculty in the Department of Food Science & Human Nutrition are evaluated for reappointment, tenure, promotion, or post tenure evaluation on the basis of teaching, research/scholarship and service. Faculty member's evaluations are weighted on the percentage time basis of appointment, as stated on the individual's current Personnel Action Form. The Associated Faculties of the University of Maine (A.F.U.M.) contract guidelines and criteria will be followed (see current contract agreement).

Performance standards for reappointment, promotion, tenure, or post tenure evaluation should not be rigid, as individual strengths may be weighted in certain areas and changing environmental patterns may dictate new emphases.

A person considered for promotion to Associate Professor and for tenure in the Department must demonstrate research creativity, ability to carry projects to completion and an excellent publication record. The candidate must demonstrate professional competence in teaching and the ability to advise both graduate and undergraduate students (as evidenced by successful completion of degrees). Furthermore the faculty member should be rated as either superior or highly satisfactory in his or her highest percentage appointment area and at least, satisfactory in the other two areas.

For promotion to Professor the faculty member must have demonstrated ability and scholarship of superior level in his or her primary area of responsibility with a highly satisfactory rating in the other area and a satisfactory mark in service.

Post tenure faculty should strive to set an example for the other faculty members in the Department and achieve to obtain above satisfactory ratings in all categories. Improvement needed marks after receiving tenure will not be acceptable and the faculty member along with others should strive to correct the problem.

II. Definition of Academic Ranks and Criteria

Academic ranks and the criteria for these are stated in the current issue of the University of Maine publication, *Handbook for the Faculty of Instruction University of Maine* or the A.F.U.M. contract.

III. Policy Advisory Committee/Peer Review Committee

The Policy Advisory Committee/Peer Review Committee (PAC/PRC) will consist of tenured faculty members in the Department of Food Science and Human Nutrition.

IV. Faculty Report for Policy Advisory Committee Evaluation

Prior to the evaluation by the PAC/PRC, the faculty member will complete the *Annual Faculty Evaluation* document. Items that a faculty member might want to include in his or her *Annual Faculty Evaluation* are as follows: research (terminating, in progress and proposed), publications, papers, and other scholarly writing, grant proposals (submitted/funded); courses taught or shared (new/proposed), student evaluations and summarizing statements, guidance of graduate and undergraduate students, guest lecturing (on and off campus), committee activity (department, college, university), public service activities, consulting, and other professional activities. Once completed, which should be at least one week prior to his or her evaluation, sufficient copies should be made so each PAC/PRC member receives one.

This completed document will serve as a basis for the evaluation and will describe and document the faculty member's activities on teaching, research/scholarship and service for the period for which he/she is being evaluated.

Statements indicating the faculty member's progress toward reappointment, tenure and/or promotion along with the post tenure evaluation will be included in the narrative comments section by the PAC/PRC (Last page of the document). Recommendations as to what must be achieved by the faculty member in order to be reappointed, tenured, and/or promoted will be included in the statement and presented to the faculty member along with other evaluation comments such as ones for post tenure faculty.

## V. Criteria for Annual Evaluations

The Department of Food Science and Human Nutrition will use the following criteria for the annual evaluation of its faculty. The standards, for evaluation, reflecting scholarly activity in creative and productive research, effective teaching and contributions to the department, college and university and citizenry, are organized under headings of teaching, research, and service. To assist faculty and the PAC/PRC, the following definitions will be used as guidelines in rating faculty as "superior", "highly satisfactory", "satisfactory", or "improvement needed" in relation to teaching, research/scholarly activity and public service.

### A. Teaching

#### 1. Instruction and Advising

The faculty member must demonstrate success in teaching at the undergraduate and graduate levels. Effective teaching includes setting and achieving course goals, success in communicating with and instilling students with the desire to learn. Evaluation will be made on the basis of student evaluations, verifiable opinions of peers known for their teaching, and self evaluation which all are indicators of the effectiveness of the faculty's teaching methods and course content.

Faculty members in this department will be asked to engage in student advising at the undergraduate level. Advising students in this changing world is an important task for faculty members. Each faculty willing to advise undergraduate students will be rewarded with a 5% reduction in their teaching load. Advisors will be evaluated by their advisees using the form developed by our College.

#### 2. Course and Curricular Development

Teaching is a dynamic field whereby changes are always occurring such as course information and teaching methods. This aspect of teaching is important in meeting the needs of the undergraduate and graduate students in the Department. The curriculum must be reevaluated on a continuing basis to reflect changes and advancements in the discipline. Faculty members are expected to contribute to curriculum review and development, update their courses, syllabus, and teaching methods and when appropriate, offer new courses or change methods. Evidence of such activity should be presented to the PAC/PRC and will be evaluated by the committee.

#### Ratings

##### Superior:

Teaching is rated superior if the faculty member is an outstanding and effective teacher and advisor based on documented evidence in the teaching/advising section of the *Annual Faculty Evaluation*. This information will come from student evaluations and other documentation such as awards and letters along with course, curriculum and teaching development. Student evaluations should show a consistent pattern of high scores on items #13, #22, and L4 on the current student course evaluation forms or their equivalent if other forms are used. (Furthermore, positive student and peer comments if available).

##### Highly Satisfactory

Teaching is rated highly satisfactory if the faculty member is above average but not superior in the department based on documented information in the teaching/advising section of the *Annual Faculty Evaluation*. The same documentation as stated above in the superior category will be used for the evaluation. To obtain a highly satisfactory rating a faculty member should have above average scores on his or her evaluations and positive comments from the students as well as the peers.

##### Satisfactory

Teaching is rated satisfactory as being average in the department based on documented information in the teaching/advising section of the *Annual Faculty Evaluation*. One would expect to have average scores and comments on student evaluations.

##### Improvement Needed

A faculty member obtains an improvement needed rating if there is consistent evidence of unsatisfactory teaching and/or advising as evidenced in part, by low scores on student evaluations, particularly test items #13, #22, and L4 or their equivalent if other forms become available. Also if a faculty member is not keeping up with course and curricular development this could be a reason for improvement needed. Any faculty member that obtains an improvement needed must work with his or her peers for future improvement.

#### B. Research/Scholarship

Scholarly activity in the Department of Food Science and Human Nutrition is manifest in creative research projects developed and reviewed by faculty to collect data for submission to refereed journals and Experiment Station publications. Such work as published abstracts in

refereed journals along with books or book chapters comprise quality achievement and deserves careful consideration in the evaluation. Presentation of research at scientific meetings and seminars is also important, with invited and national meeting presentations being weighted more.

The seeking of extramural support for research projects and collaborative activities in addition to the above criteria should also be weighted heavily. However, the lack of financial support is not considered an indication of the lack of competence, nor is financial support an indication of competence. Instead, successful completion of projects undertaken will be viewed positively.

Reviewing and/or being an editor for a journal is indicative of knowledge and prestige within one's field and should be considered in the evaluation process.

With participation in Regional Projects (supported by Station-allotted federal Hatch funding) there is the responsibility to fulfill the annual projected work. The degree to which this is accomplished and the results obtained are observed carefully, Involvement on a Technical Committee for a Regional Project may demand time and expertise, for writing annual meeting minutes and reports, terminal report, and original or revised project proposal.

The number of high quality publications, along with other professional contributions, as mentioned above, will be used to evaluate a faculty member's research contribution.

#### Ratings

##### Superior:

The faculty member is well known and respected at the international and national levels and in Maine in his or her research/scholarship area as evidenced by exceptional productivity which may include numerous publications in refereed journals, invited papers, books, book chapters, manuals, guides, presentations at national or international conferences and symposia, grants and awards. Documentation is required by providing the necessary information in the research/scholarly activity section of the *Annual Faculty Evaluation*.

##### Highly Satisfactory:

The faculty member is well known and respected for his or her research/scholarship in Maine and the United States as evidenced by refereed/invited publications, books, book chapters, presentations at national meetings, grant applications and awards. Documentation is required by providing the necessary information in the research/scholarly activity section of the *Annual Faculty Evaluation*.

##### Satisfactory:

The faculty member is known and respected for his or her research/scholarship on campus and in Maine as evidenced by publications, books, book chapters, presentations at local or State meetings, and grant applications. Documentation is required by providing the necessary information in the research/scholarly activity section of the *Annual Faculty Evaluation*.

##### Improvement Needed:

The faculty member fails to meet the criteria for satisfactory performance as defined above. Any faculty member obtaining an improvement needed will be mentored by a Departmental faculty member to try to improve his or her standing.

C. Service

1. Department college, campus and university assignments and service

Faculty are expected to willingly contribute to activities of the department. These contributions may include coordination of any of its programs (e.g. graduate program, seminar presentations, building manager, safety coordinator, inventories, departmental publicity and expansion), committee activity (e.g. ad hoc., peer or policy advisory) or representation of the department on the college or university committees or boards (e.g. selection, curriculum or governance, etc.). Evaluation of these activities will be based upon self appraisals and opinions of associated faculty and administrators.

2. Public service:

There are many opportunities in the Department of Food Science and Human Nutrition for public service activities, responses to citizen inquiries on food and nutrition, or by analysis for determinations requested. All faculty are expected to respond in a responsible professional manner to individual inquiries within their areas of expertise. Individual and/or departmental consultation with an outside party may provide information needed or may lead to research beneficial to the food or health industry. Results generated from research in the department, if not already destined for refereed publication or Experiment Station Bulletin, whenever possible or applicable should be scaled down to an Experiment Station publication of pamphlet size readily understandable by industry or the lay public.

A member's ability to contribute to the maintenance of lively rapport with industry and Professional Associations and personnel is an asset to the Department and should be acknowledged. However, until the University System defines and recognizes the importance of Service to the University an appropriate reward cannot be given.

3. Professional activities:

Membership and active participation (attendance and membership on boards and/or committees) in the relevant professional societies will vary greatly among individuals and from year to year for a particular faculty member. An invitation to deliver a guest lecture on a topic of a member's area of expertise, on or off campus, is a coveted opportunity not to be overlooked. Consideration will be given to these and other activities and evidence of such participation should be presented at the time of review.

Ratings

Superior:

Faculty member demonstrates leadership and extensive contributions of professional expertise in university and public service through such activities as committee work (including offices held and frequency of meetings), presentations such as seminars, workshops, colloquia, and contributions through public media. Documentation required by providing the necessary information in the service section of the *Annual Faculty Evaluation*.

**Highly Satisfactory:**

Faculty member demonstrates extensive contributions of professional expertise to the University and the public through such activities as committee work (including offices held and frequency of meetings), presentations such as seminars, workshops, colloquia, and contributions through public media. Documentation required by providing the necessary information in the service section of the *Annual Faculty Evaluation*.

**Satisfactory:**

Faculty member presents evidence of sustained contributions of expertise to the University and the public. Documentation required by providing the necessary information in the service section of the *Annual Faculty Evaluation*.

**Improvement Needed:**

The faculty fails to meet the criteria for satisfactory performance as defined above. Mentoring by a Departmental faculty member will be tried to help the faculty member.



# **Honors College Promotion and Tenure Criteria**

## **MISSION OF THE HONORS COLLEGE**

The mission (adopted in 2001) of the Honors College is to provide an enriching environment for students who are among the most academically motivated and talented at the University. The Honors College seeks to involve students, faculty members, and staff members from across the University in a community of scholars who together explore questions both within and beyond their various disciplines. Therefore, the principal responsibility of faculty is to critically engage students in a shared intellectual experience based on active learning.

## **STATEMENT OF PURPOSE**

This document, and the expectations laid out within, apply to regular faculty positions with full contractual obligations to Honors. It should also inform the construction of “memoranda of understanding” (MOU) between departments/units and the Honors College in the event of a joint appointment with a partial contractual obligation to Honors. This document may be amended through a vote of the full faculty of the Honors College.

While satisfactory performance in research, teaching, and service is expected, promotion and tenure decisions in the Honors College will be most heavily influenced by the sum of an individual’s contributions in the area of undergraduate instruction, defined broadly to include not only in-classroom instruction but also the types of activity articulated below.

## **PEDAGOGY**

Pedagogy includes Honors teaching, curriculum coordination and development, advising, and working with thesis students, both as an advisor and a committee member. With respect to classroom teaching, successful pedagogy should foster an environment that emphasizes careful and critical reading of texts, thoughtful discussion-based learning, and an environment in which student writing and creative projects reflect insight and careful preparation. The evaluation of pedagogy on these criteria will include:

- Student evaluations.
- Syllabi and other materials provided by the faculty member.
- Classroom visits and peer and/or supervisor evaluations of teaching.

Other activities that may be included in the evaluation of teaching quality include:

- Awards and prizes in recognition of teaching excellence.
- Innovative curriculum development and pedagogical approaches.
- Service learning, community engaged teaching, and pedagogical approaches which bridge the learning objectives of students with the needs and concerns of community partners.
- Participation in team teaching.
- Supervision of independent study, research, and undergraduate theses.
- Supervision of students for teaching and experiential learning projects.
- Group or individual student projects which foster undergraduate scholarship and/or creative activity.

- Successful grant applications in support of curriculum and pedagogical development.
- Workshops or seminars on teaching to Honors College faculty.
- Workshops or seminars on teaching outside the Honors College.
- Organization of and participation in study abroad activities.
- Coordination of active language learning and/or reading groups.
- Participation in, or planning of, events related to the pedagogical mission of Honors.
- Guest lectures in Honors Civilizations Series or another professor's class.

## **SERVICE**

Service to the Honors College may include administrative duties, committee assignments, and involvement in College events while maintaining collegiality with Honors administration, staff, and colleagues. Service to the University may include membership on University committees and participation in shared governance. Service to the profession may include involvement with state, regional, and national Honors organizations and disciplinary organizations. Additional service should reflect Honors or disciplinary involvement.

Additionally, service may include broader outreach and engagement with one's community or work that aims to build connections between the university and the community characterized by reciprocity and mutuality.

## **SCHOLARSHIP & PROFESSIONAL DEVELOPMENT**

The Honors College recognizes the importance of various forms of scholarship and professional development. This includes research and scholarship that engages undergraduate students, work aimed at enhancing Honors pedagogy, scholarship focusing on Honors education, and work within one's own discipline.

The Honors College values scholarship, research, and creative activity conducted in collaboration with undergraduate students at all levels. Evidence of student engagement and success in this domain may include thesis advising and committee membership, or teaching and research mentoring that leads to:

- students attending state, regional, national and international conferences.
- students presenting work at UMaine, Honors and disciplinary conferences.
- student participation in creative exhibitions and public performances.
- students publishing in undergraduate journals or as co-authors and co-collaborators in scholarship or creative activity.
- student awards from UMaine or external sources for accomplishments in scholarly or creative activity.

The Honors College values and recognizes the importance of scholarship and creative output in other forms. For promotion and tenure, faculty are expected to conduct scholarly activity within Honors and/or related to their areas of specialization and expertise. Other materials documenting scholarly and/or creative achievements in this sense may include:

- The publication of scholarly or creative works in peer-reviewed and regionally, nationally or internationally distributed journals, including traditional and electronic formats.
- Publication of Honors articles in national refereed Honors journals, such as the *NCHC Journal* or *Honors in Practice*.
- Research or creative activity that engages community needs or concerns, and/or that is developed and executed in collaboration with community partners.
- The publication of scholarly books or textbooks.
- The publication of peer-reviewed scholarly or creative works in edited collections.
- Completed manuscripts of any of the above that have been accepted for publication.
- Presentations at professional conferences in the candidate's field or in Honors.
- Invited keynote speeches or lectures.
- Exhibitions or performances of peer-reviewed creative work at the national or international level, or the curatorship of such events.
- Editorship of books accepted by contract for publication.
- Editorship of a journal or book series.
- Frequent citations of the candidate's work by other scholars.
- Pattern of success in obtaining significant extramural research funding through grants, awards, or fellowships.
- Grants, awards and prizes received in competitions for research or creative activity.
- Patent awarded.
- Works produced or made publicly available in formats such as digital media, works of a creative or literary nature, journalistic works, opinion pieces, or other forms of writing and creative work that align with the mission of the Honors College.

### **CRITERIA FOR RANKS**

These criteria will generally follow the 1983 Faculty Handbook, Sections 2.2 and 2.3, entitled "Academic Titles and Criteria for Ranks" and "Criteria for Regular Academic Titles at Orono." However, consistent with the Honors College mission of undergraduate education it should be emphasized that teaching, broadly defined, constitutes the most significant factor in decisions concerning promotion and tenure within the Honors College.

#### ***Lecturer***

Those appointed as a lecturer must have satisfactory academic preparation in the relevant field to be taught and successful experience in the classroom or field. To be considered for reappointment, the individual must have demonstrated success in teaching. In addition, the individual must have demonstrated a commitment to service and scholarship as part of the mission of the University and the Honors College. For review and reappointment purposes, primary emphasis will be placed upon teaching.

#### ***Assistant Professor***

Appointment or promotion to the rank of assistant professor presumes that the individual possesses potentiality which, when developed further, will merit promotion in rank or the granting of tenure. The individual must have advanced training and a demonstrated

interest in maintaining his or her professional competence. Except in unusual cases, the assistant professor should have the highest earned degree traditional to the discipline or should have made substantial progress towards its attainment. This individual is expected to contribute to the teaching mission of the Honors College, both in a direct capacity and more broadly defined, outlined above. In addition, the individual is expected to participate in scholarship and service, with a particular emphasis on activities that promote and foster undergraduate creative activity and scholarship.

***Associate Professor***

The associate professor shall normally hold the highest earned degree traditional to their discipline or should have professional experience of an equivalent nature. An individual holding the rank of associate professor must have demonstrated creative performance in those areas required by the mission of the Honors College. The associate professor must show high promise for continued development in the broad teaching mission of the college, as well as a demonstrated record of service and scholarship, with a high premium placed on activities which promote undergraduate creative activity and scholarship. Appointment to the rank of associate professor is accompanied by the granting of tenure.

***Professor***

The professor must have demonstrated ability and scholarship of an exceptionally high order. As a teacher, he or she should show an extraordinary ability to stimulate in students a genuine desire for scholarly work. A professor should have a reputation for making creative contributions to scholarship to Honors and their disciplinary field. He or she should possess the demonstrated ability to direct the creative activity and scholarship of undergraduate students, with a sustained record of excellence in this capacity. The professor's record of individual service should demonstrate a sustained commitment to activities which align with, and enrich, the mission of the Honors College. The professor's professional performance and accomplishments should enhance the reputation of the Honors College and the University of Maine.

**REVIEW**

Reviews shall be conducted in accordance with university procedures and contractual guidelines and shall be conducted by the Peer Committee of the Honors College. The Peer Committee shall be responsible for conducting post-tenure reviews in accordance with the guidelines and criteria noted above, as well as University policies.

(Approved and adopted by Honors College faculty, March 22, 2013)

#### **IV. GUIDELINES FOR REAPPOINTMENT, PROMOTION, TENURE, AND POST-TENURE REVIEW**

The purpose of these guidelines is to articulate basic standards of research, teaching, and service that will be applied to members of the Department of History when they seek reappointment, promotion, tenure, and post-tenure evaluations. They are to be applied within the context of Articles 7, 9 and 10 of the Agreement between the University of Maine System and AFUM (hereafter referred to as the Contract).

##### **A. Peer Committee**

###### **1. Task and Composition**

The Peer Committee shall consist of all tenured members of the Department. It shall evaluate applications for reappointment, promotion, tenure, and consider other work-related issues. In addition, Peer Committee members are encouraged to play active roles as mentors, particularly in the case of untenured faculty. The chair shall be present at peer committee meetings, except those where he/she is being evaluated as a faculty member, but shall not vote. A three-person subcommittee of the Peer Committee, the Annual Review Committee, shall be responsible for post-tenure review.

###### **2. Procedures**

The formal, required stages for reappointment, promotion, and/or tenure begin during the month of October and continue well into the Spring term, with deadlines for specific stages set by the Office of Human Resources in accordance with the Contract and established administrative procedures. However, during the spring of the year in which a decision on tenure and/or promotion is to be made, the candidate, in consultation with the chair, normally will choose an "advocate" from the ranks of the tenured members of the Department. The candidate will assemble the documentation necessary to substantiate his/her record; the advocate will summarize and present the candidate's case to the committee. All supporting documents will be made available to Peer Committee members, all of whom should be familiar with the candidate's record in advance of the meeting. Following the meeting, the Peer Committee's assessment shall be forwarded through the chair to the applicant. The applicant will have an opportunity to meet with the committee to discuss any concerns, after which the applicant may choose to make a formal response. After considering the Peer Committee's recommendations and the applicant's response, the chair shall then write a separate evaluation. The entire reappointment, promotion, and/or tenure package then shall be forwarded to the dean.

##### **B. Standards of Research**

Scholarship is understood as the advancement of knowledge and understanding and consists of original research or interpretation. The central result of scholarship is publication which may take various forms. The Department of History requires such publication as an important way of extending knowledge and of sharing scholarly thought and investigation with a wider audience that can be both critical and appreciative. The Department of History emphasizes peer-reviewed publications in evaluating a faculty member for tenure and promotion, but it also recognizes non-

traditional forms of scholarship as new ways to communicate the results of original research. The Department insists on regarding quality of publication as more important than quantity. Rank-specific criteria appear below.

The Department of History recognizes that faculty may participate in collaborative research and publication. The Department commits to reviewing collaborative work according to the same standards applied to other scholarship. Candidates for tenure and promotion should articulate their contributions to any collaborative research or publications that are to be considered as part their application for tenure or promotion.

Engaged scholarship refers to collaborative research with community partners outside the university. Engaged scholarship differs from service in that the faculty member is participating in a two-way exchange of ideas, information, and expertise. Engagement is critical to this type of research, not supplemental to it. In order to demonstrate engaged scholarship, the faculty member's work must meet rigorous standards of original research and have the potential for others to build upon it. In the Department of History, the criteria for evaluating the quality of engaged scholarship include external competitive funding, publication of findings in peer-reviewed journals or books, and evaluations by experts in the field. At the same time, the faculty member must explicate the value of the work for the public good and show an ability to reflect critically on the challenges that arise from such partnerships.

The Department of History recognizes the value of digital scholarship and its continuing evolution. Digital work must be peer reviewed. Examples of digital work might include, but are not limited to, creating a scholarly website, a born-digital article or book, and a well-documented digital database.

### **C. Standards of Teaching**

Effective teachers engage their students, stimulate their interests, broaden their perspectives and improve their thinking. They will also grade all work fairly and base what they teach on evidence and sound method. In addition, where appropriate, such teachers conscientiously provide advice and guidance to both graduate and undergraduate students on an individual basis, direct theses and dissertations, and serve on committees that critically examine and evaluate such research projects. The Department recognizes the value of pedagogical innovation and interdisciplinary teaching.

Advising is also considered part of the Department of History's teaching mission. Faculty will be assigned an equitable number of undergraduate advisees by the Department Chair and will offer support and advice to students as they navigate the requirements of the University, College, and Department. The Department regards the quality of advising to be as important as the quantity of advisees. It also expects that faculty will agree to advise graduate students by acting as chair and/or serving on graduate committees.

## D. Standards of Service

Service assignments should be pursued diligently, imaginatively, and responsibly, with concern for deadlines and appropriate results. Conscientious and efficient performance combined with collegiality, tact, and resourcefulness bring credit to the individual and the Department and will be recognized.

Assistant professors are expected to undertake those service functions the Department Chair may assign. Although they should focus primarily on teaching and research, untenured members of the Department may be called upon to perform a number of service activities, including some outside the department. Associate professors with tenure and professors may be expected to undertake a wider range of service functions.

Faculty service involving digital communication and engagement will be recognized as contributions to academic life and to communities outside the University. Digital activity, such as blog articles, listserv postings, and dialogue with the public and/or the larger scholarly community in online forums, may be presented as evidence of service to the profession and other communities. Candidates for promotion or tenure should help articulate the nature of their contribution in this area.

## E. Criteria

### 1. Assistant Professor/Reappointments

The Department of History hires or promotes individuals to the rank of assistant professor who have the requisite graduate training, degrees, and experience to build successful careers as scholars and teachers at the University of Maine. The reappointment schedule of assistant professors is determined by University guidelines, which currently call for an initial two-year appointment of an assistant professor from outside the University. **Annual** reappointment will be based on a review of the candidate's scholarship, teaching, and service records compiled to date.

### 2. Associate Professor/Tenure

Promotion to associate professor will normally be accompanied by tenure. In cases where an associate professor is hired from outside the University without tenure, the following will also be used as guidelines when the faculty member applies for tenure. Promotion to associate professor with tenure is based on the following four criteria:

#### a. Time

The candidate shall have completed a minimum of five years at the University of Maine, or been awarded equivalent credit for service at another institution.

#### b. Scholarship

Publications comprise the principal measure of one's scholarship in the historical profession. Evidence of sustained, high quality research will be required, including a book or manuscript accepted for publication by a reputable press, following peer review,

or peer-reviewed articles in professional journals which, by their number, quality, and scope, provide comparable evidence of one's productivity, originality, and competence as an historian. Other evidence of scholarly promise and productivity may include, but is not necessarily limited to, chapters in collective works, edited works, textbooks, critical editions, presentations at professional meetings, book reviews, evaluations of manuscripts for publication, electronic or computer publications, applications for research grants, and types of research as noted above in B. Standards of Research.

c. Teaching

The candidate shall have demonstrated a commitment to excellence in teaching by developing and delivering undergraduate and graduate courses that enhance the Department's and University's teaching missions. This includes the construction of courses with clearly articulated goals and expectations; consistent and responsible examination and grading standards; an ability to attract and sustain student interest; creation of new courses, adoption of new techniques, and incorporation of recent scholarly developments; a commitment to promoting students' intellectual growth; and an openness to students and their ideas. Indicators of teaching performance include, but are not restricted to, student evaluations, peer assessments, syllabi, and examples of students' work. The Department also expects the candidate to be a diligent, informed, and accessible undergraduate and graduate advisor.

d. Service

Service includes the performance of tasks and committee membership that are normally expected of Department members. Service also includes participation on college and/or university committees, holding office and/or serving on committees of professional organizations, service on editorial boards of journals, and community activities related to one's professional expertise. The Department also recognizes that there are other types of service than those listed here.

3. Professor

Candidates to the rank of professor must demonstrate significant and sustained contributions to scholarship, teaching, and the profession. Promotion to professor is based on the following four criteria:

a. Time

Candidates normally shall be in their third year in rank at this University as a minimum.

b. Scholarship

The candidate for the rank of professor shall have compiled a record of scholarship that is of high quality, with a demonstrated impact upon one's field, as indicated by favorable reviews in professional journals and citations in the works of other scholars. It must include the publication of at least one significant book involving substantial original research. The candidate's overall record should also demonstrate that research and publication are an integral and regular part of one's professional life. In particular, the candidate shall have conducted significant scholarship, including either a book or equivalent scholarship in the form of peer-reviewed articles in professional journals or



other work based on research comparable in scope to, but clearly distinguishable from, the scholarship presented for promotion to associate professor.

Other evidence of scholarship for promotion to professor may include, but is not necessarily limited to, chapters in collective works, edited works, textbooks, critical editions, presentations at professional meetings, book reviews, evaluations of manuscripts for publication, electronic or computer publications, applications for research grants, and types of research as noted above in B. Standards of Research.

c. Teaching

A sustained commitment to teaching courses at both the undergraduate and graduate levels, as well as the appropriate mentoring of graduate students, shall be requisites for promotion to professor. The expectations and measurements for teaching effectiveness and advising shall be similar to the requirements for associate professor/tenure (see above), except that candidates for professor should also display a mastery of the craft of teaching that reflects their years of dedication and experience.

d. Service

Continued service to the Department, University, profession, and community shall be considered essential criteria for a candidate's promotion to professor. The measures of service for professor mirror those of associate professor/tenure (see above).

4. Post-Tenure Review

The Annual Review Committee, a three-person subcommittee of the Peer Committee, has primary responsibility for reviewing every four years all tenured Professors and Associate Professors and Lecturers with over 6 years of continuous service. (See AFUM Contract Administrative Guidelines Evaluation and Evaluation Criteria 10.C.1.). As appropriate to a person's rank, the criteria for post-tenure review include an enduring commitment to effective teaching and advising, evidence of an ongoing program of scholarship, and service. A faculty member who exceeds one or more of the teaching, research, or service criteria may be evaluated as above satisfactory.

5. Lecturer/Reappointments

The Department of History hires individuals to the rank of lecturer when the department has teaching needs that cannot be met by tenured or tenure-track faculty. The position is primarily a teaching position and will include service responsibilities. During the probationary period, lecturers are evaluated annually by the Annual Review Committee. Reappointment will be based on a review of the candidate's fulfillment of their job responsibilities. Though not eligible for tenure, lecturers may achieve "just cause" status after six years of satisfactory performance. After this point they will be evaluated by the Peer Committee every four years, in accord with the UMS-AFUM Agreement.

Teaching

The lecturer shall have demonstrated a commitment to excellence in teaching by

developing and delivering undergraduate and graduate courses, when applicable, that enhance the Department's and University's teaching missions. This includes the construction of courses with clearly articulated goals and expectations; consistent and responsible examination and grading standards; an ability to attract and sustain student interest; creation of new courses, adoption of new techniques, and incorporation of recent scholarly developments; a commitment to promoting students' intellectual growth; and an openness to students and their ideas. Indicators of teaching performance include, but are not restricted to, student evaluations, peer assessments, syllabi, and examples of students' work. The Department also expects the candidate to be a diligent, informed, and accessible undergraduate and, when applicable, graduate advisor.

#### Service

Service includes the performance of tasks and committee membership that are normally expected of Department members. Service may also include participation on college and/or university committees, holding office and/or serving on committees of professional organizations, service on editorial boards of journals, and community activities related to one's professional expertise.

#### Research

Scholarship is not required of lecturers. However, the department looks favorably upon lecturers engaged in research and will recognize those endeavors in evaluation.

Approved by the History Department Faculty  
October 2000  
Most recent revisions – September 2019

Approved by Interim Executive Vice President for Academic Affairs and Provost on April 13, 2020

5/20/2014

INTENSIVE ENGLISH INSTITUTE  
UNIVERSITY OF MAINE

IEI Departmental Guidelines for Teachers

TABLE OF CONTENTS	PAGE
0. INTENSIVE ENGLISH INSTITUTE: MISSION AND ROLE AT THE UNIVERSITY OF MAINE	
1. Brief Description	3
2. Statement of Purpose	3
3. The Mission	3
4. Our Values	4
5. Statement of Goals	4
I. TEACHING POSITIONS; DEFINITIONS, RESPONSIBILITIES, QUALIFICATIONS	4
1. IEI Teacher	4
2. IEI Director/Lecturer	5
II. CONDITIONS OF APPOINTMENTS	6
1. Contract Status	6
2. Academic and Fiscal Year Appointments	6
3. Workload	6
4. Faculty Development	7
5. Mentoring Support	7
6. Lay off Policy	7
III. STANDARDS OF PROFESSIONAL CONDUCT	7
IV. STANDARDS OF PERFORMANCE-TEACHING	7
1. General Class Standard	7
2. The Student-Instructor Relationship	7
3. Syllabi and Course Outlines	8
4. Class Periods and Teaching Obligations	8
5. Homework and Examinations	8
6. Records of Student Performance	9
7. Meeting Student Needs	9
8. Materials	9
9. Class Activities	10
10. Effective Teaching Practices	10

5/20/2014

V. STANDARDS OF PERFORMANCE-PROGRAM DEVELOPMENT	11
1. Curriculum Development and Instructional Development	11
2. Student Testing for Placement, Performance and Proficiency	11
3. Student Advising and Counseling	12
4. Media, Resources, and Learning Center Development	12
VI. EVALUATION MEASURES	12
Student evaluation forms	12
VII. REAPPOINTMENT: CRITERIA AND PROCEDURES	12
Definitions of Terms	12
• Criteria for Instructors and Lecturers	13
• Teaching	
• Other instructor duties	
• University service	

5/20/2014

## 0. IEI MISSION AND ROLE AT THE UNIVERSITY OF MAINE

### 1. A Brief Description

The Intensive English Institute offers half-semester-length intensive English study (integrated skills courses, language focus courses in grammar and vocabulary development, content elective courses (in development), self-study, language and computer labs to develop and improve English language proficiency of foreign students and professionals. False beginner to advanced levels of study are provided and the primary emphasis is on preparing international students for university study at the University of Maine and other American universities and colleges. Most students, after a period of full time study at IEI and an advanced level of English proficiency, will work out an approved “bridge program” of university courses in combination with ESL courses. Students are non-degree, conditional admission, or matriculated undergraduate and graduate. The Institute offers academic advising, cross-cultural counseling, tutoring and self-study opportunities in a variety of content and skill areas, and the individual attention that comes with a small program.

### 2. Statement of Purpose

The Intensive English Institute, as a representative unit of the University of Maine and as a member of a national community of Intensive English Programs, subscribes to the standards of professional organizations such as the National Association for Foreign Student Advisors (NAFSA), the Universities and College Intensive English Programs (UCIEP), the American Association of Intensive English Programs (AAIEP), the American Council for Continuing Education and Training (ACCET) and Teachers of English to Speakers of Other Languages (TESOL). Their standards have been developed in recognition of the need for clear communication among individuals of diverse linguistic and cultural backgrounds in a field whose professional goal is to educate participants from all parts of the world and help them become communicatively and cross-culturally competent. There are standards for administration, student services, marketing and recruitment, program assessment, admissions policies and procedures, program curricula, and faculty. This manual for the faculty of the Intensive English Institute is part of the written documentation required by the organizations above and the University of Maine and is accompanied by administrative policies and procedures and a curriculum guide.

The Intensive English Institute is accredited by the Commission on English Language Program Accreditation (CEA).

### 3. The Mission:

The University of Maine Intensive English Institute’s mission is to prepare students for success in academic study and offer opportunities for positive cross-cultural experiences in Maine and the U.S.A. The IEI bridges students for whom English is not a first language into UMaine or prepares them for admission to other institutes of higher learning. For students not wishing to matriculate into

5/20/2014

degree programs, the IEI is to provide the language support and cultural knowledge to achieve students' educational or professional goals.

#### 4. Our Values

We will be known for consistent high quality academic programs and services, and develop leadership in our field. We anticipate and respond to the changing needs of our community and the individual students and participants in our programs. We will conduct our activities and relationships in an ethical manner. We seek to create a learning and work environment for our students, instructors, and staff, which encourages and rewards initiative, creativity, and responsible risk-taking and respects the individual differences, and accepts and values diversity.

#### 5. Statement of Goals

The IEI has set a number of goals for its development into a quality, financially sound institute known for its excellence in teaching, service and programming. It is expected that the goals of the institute will be refined, and objectives developed, as a continuous process. As a working document, the following goals are proposed:

##### Programming Goals:

0. A research based pedagogy for beginning to advanced levels
1. A learning center for international students for self-study and individualized instruction
2. Academic advising
3. Short term summer programs
4. Contract courses and teacher training courses

##### Organizational Goals:

1. Build productive relationships with the campus academic community to evaluate and improve the preparation that the IEI provides to international students
2. Gain greater understanding of and support for IEI on campus

##### Fiscal goals:

1. To generate sufficient net income each year to reinvest into the program to develop and provide the services and instruction necessary to ensure program survival and stability.

## I. TEACHING POSITIONS: DEFINITIONS, RESPONSIBILITIES, QUALIFICATIONS

### 1. IEI Teacher: Qualifications for Employment:

The minimum qualification for IEI full-time contract faculty is a Master's Degree. If the degree is not in ESL or a closely related field, teachers must have had training or taken courses in subject matter such as; language teaching

5/20/2014

methodology, linguistics, second language acquisition. TESOL certificate courses, and practicum experience are also highly valued.

Other considerations include fluency in other languages, experience living overseas, familiarity with the Focal Skills Approach, and a willingness to be mentored in the Focal Skills Approach. Traits such as flexibility, empathy, and cultural sensitivity are also highly valued.

All teachers must have excellent English language proficiency both orally and in writing. A potential faculty member's proficiency both orally and in writing is established during the application process.

Teachers will play an essential role in the IEI to fulfill its mission in providing quality instruction for its students. Teachers are expected to develop expertise and excellence in teaching at all levels and skill areas, and are encouraged to develop an area of expertise within the program.

Teachers normally teach four courses per semester, in other words, 20 hours per week or its equivalent. Other duties include participation in student testing, placement, evaluating, advising and intercultural orientation activities; developing new course materials in response to changing needs of students; maintenance and adherence to program goals and objectives; attendance at faculty meetings, staff development, and in-service training meetings which may take place outside regular working hours. Teachers are expected to do service work for the department and the university.

Teachers are normally appointed for one academic year terms. These appointments are renewable in accordance with teaching performance and service and availability of funding. A teacher must meet the criteria for reappointment, including maintaining the standards of performance and professional conduct, to be recommended for reappointment.

## **2. IEI Director/Lecturer: Qualifications for Employment:**

The Director of the IEI is classified as a full-time faculty member (lecturer) who has been placed in an administrative position. The minimum education requirement for a Director/lecturer is a Master's Degree and he/she must be an experienced and trained teacher of English to Speakers of Other Languages.

The Director is responsible for all aspects of the English language program. This includes program design, curriculum development, student assessment, program promotion and recruitment, as well as the hiring of all full-time and part-time faculty. The Director is also responsible for overseeing the financial management and logistical operations of the program, the hiring of all full-time and part-time support staff. The Director represents the IEI at the College level, attending all monthly Chairs and Directors meetings. The Director meets monthly with the Dean of the College of Liberal Arts and Sciences to update the Dean on any changes, developments, or issues that impact the IEI and/or UMaine. The Director is in regular contact with both the Director of the Office of International Programs and the International Student Advisor to discuss matters of mutual

5/20/2014

concern and interest. The Director teaches two classes per day, the rest of the time being allocated to administrative duties.

This position helps the program achieve its mission as the Director must be an experienced and trained teacher of English to Speakers of Other Languages. This background requires sensitivity to the needs and expectations of international students. The initial and ongoing training with regard to administrative responsibilities combined with this experience helps the program to achieve its mission.

## II. CONDITIONS OF APPOINTMENTS

### 1. Contract Status

Teachers are normally appointed for one-year Academic terms. These appointments are renewable and based on overall performance in teaching and service, and program enrollments/funding. As all IEI appointments are soft-money appointments, all positions are contingent upon funding. Teachers with a fair or unsatisfactory evaluation may have the option to renew their contract in order to demonstrate more satisfactory performance. A teacher with consistent unsatisfactory evaluations may not be recommended for reappointment. Teachers are not eligible for tenure. All Teachers are considered UMaine Professional Staff and subject to the terms and conditions defined by the UMaine Office of Human Resources.

### 2. Academic and Fiscal Year Appointments

Appointments for teacher may be either academic or fiscal year appointments. Typically, director/lecturer and senior positions will be fiscal year appointments. UM policies and/or collective bargaining agreements regarding annual leave, disability, etc. will follow. The scheduling of annual leave for fiscal year appointments will be determined by program need and subject to the director's approval. It is expected that program development responsibilities will be ongoing in nature, and extend beyond the academic schedule; hence, the work year for faculty with fiscal year appointments is July 1 through June 30, including academic breaks.

### 3. Workload

The normal full time workload for teachers is four courses per semester or 20 classroom hours. Individual workload assignments are made by the director, in consultation with the individual faculty member. Depending on program need and individual competencies, faculty may have a reduced teaching load with compensatory non-teaching duties (for example, program administration in the summer.)



5/20/2014

4. Faculty Development

UMaine provides a tuition waiver program for employees and teachers are encouraged to take classes that will further their professional development.

Classes should be scheduled outside of IEI teaching hours.

UMaine also provides opportunities for professional development through The Center for Excellence in Teaching and Assessment and the Faculty Development Center. Announcements for workshops, presentations and conferences are posted both on the UMaine website and sent by email to FirstClass. The IEI will promote lectures, workshops, and presentations particularly advantageous to its' Faculty.

5. Mentoring Support:

New teachers are given only teaching duties at the outset in order for them to be able to focus on class preparation and other teaching responsibilities. New teachers are only given classes they feel comfortable teaching. The Director works with new teachers who need guidance and support in their teaching. If and when necessary the Director provides professional reading and in-house training, and workshops when necessary.

6. Lay off Policy

All IEI appointments are on "soft money"; hence, there may be "bonafide financial or program reasons" for the non-reappointment of contracts. In these cases, decisions will be based on program need, length of service, and type of contract. In addition, if budgetary reasons force the scaling back of services and program development in IEI, lecturers may be asked to teach an additional fourth class.

### III. STANDARDS OF PROFESSIONAL CONDUCT

To keep the program operating smoothly, it is necessary for teachers to adhere to stated IEI policies and procedures. In addition, teachers are expected to cooperate with and support all IEI staff members, other teachers, and the program management both within and outside of the classroom, in all matters relating to the operation of the program.

### IV. STANDARDS OF PERFORMANCE TEACHING

1. General Class Standard

Teachers are expected to be well prepared and on time for all classes, to maintain a high level of student participation and interest, and to teach effectively towards the goals and objectives of the program, the specific level, and the specific class as defined in the curriculum. The program expects excellence in the application of linguistic, methodological and organizational knowledge and skills, as well as maintenance of a good working relationship with the students.

5/20/2014

## 2. The Student-Teacher Relationship

Students' success in coping with the cultural differences and in language learning is significantly influenced by the atmosphere of their classes. A good rapport can be established by being friendly and helpful and never "talking down" to students, by treating all students respectfully and fairly, without bias or favoritism, while requiring respect from every student for the teacher's position and professional qualifications. Teachers need to remember that, although the student is in their class, the real "customer" is often the student's parent or other sponsor; decisions need to be guided by what is in the best interest of the student and his/her success in our program, not by the student's momentary likes or dislikes.

The less teacher-centered the classroom is, and the more the teacher involves the students in the language learning process on a conscious level, the more likely it will be that students accept the challenge and do not regress to a stereotypical "classroom" behavior. Students at all levels need to be equipped with skills and tricks that help them acquire and practice language inside and outside the classroom and after their time at the IEI; the responsibility for doing it needs to be firmly placed with them.

Teachers need to remember that they are the representatives of the Intensive English Institute and the University of Maine. They must deal with students in a professional manner at all times, inside and outside of classes. If a student brings personal problems to a teacher's attention, it is most effective to refer them to the appropriate staff person or UMaine resource for resolution. If a teacher suspects that a student might have personal problems, this should be reported to his/her OIP advisor, who then will decide what action will be taken. All action should be viewed as confidential.

## 3. Syllabi and Course Outlines

Teachers will develop their own syllabi, following the curriculum guidelines. Careful designing of classes is important for their smooth functioning; it will also be helpful in the coordination of different skills and levels. The goals or plan of a course also need to be communicated to the students in the class and shared with other teachers at the same or different levels, and documented in IEI files.

## 4. Class Periods and Teaching Obligations

Each teacher is assigned to teach a specified number of classes at certain levels throughout the quarter. Assignments will be made according to program needs, and as early as enrollment figures allow. Teachers are responsible for teaching every hour that has been assigned to them unless arrangements have been made with the Director in advance for an approved substitute from the teaching staff or substitute list. Classes need to begin and end on time.

## 5. Homework

5/20/2014

The length and difficulty of homework assignments should be appropriate to the level of the majority of students in a given class. Teachers will differentiate homework and coordinate their efforts by level. Assignments may include self-study materials.

Homework need not be assigned every day; assignments will be interesting, useful and relevant both to class materials and to the students' life outside of English classes, and they will let students practice techniques for acquiring language productively. Teachers will regularly solicit feedback from students to ensure that the stated goals are met.

## 6. Records of Student Performance

### Attendance:

Students, in order to maintain lawful status, must attend classes as outlined by the Larger Institution's Office of International Programs. The IEI, however, has a zero attendance policy. If students cannot attend courses because of illness or circumstances beyond their control, they must inform their teachers in order to receive any work missed and send an email directly to the Program Coordinator so a report can be filed in their student record.

### Grades:

Students are graded on a Pass/Low Pass/Fail system. Grading will vary slightly from teacher to teacher, but grades in all courses are determined by Attendance and class participation. Students are expected to complete all their assignments. Any incomplete assignments will negatively affect their grade.

## 7. Meeting Student Needs

In order to succeed at the task of learning English in the program, students have to participate fully and regularly in class. Therefore, it is an important part of the English as a Second Language teaching job to ensure that all students are active participants in every class; that no student dominates or is uninvolved. For the students to accomplish this goal, the teacher must act as a facilitator and guide in class activities, so that the majority of class time is spent in appropriate practice of the language involving *all* students, even if that is at different levels.

To gauge whether the levels of difficulty are appropriate, the teacher will collect and review direct and indirect evidence gathered for each course. Quizzes and homework assignments will provide teacher and students feedback on progress towards course objectives and curricular goals. This process is continual and ongoing adjustments are made to ensure appropriate instructional level. Forms of assessment are discussed in the IEI Curriculum Guide.

## 8. Materials

Currently no class has required texts, but other materials are often selected to reflect the goals of that level and to form a sequence with previous and subsequent levels. Teachers are encouraged to communicate with other teachers about their classes and to share activities and resources, as long as this does not result in repetition, or interfere with the goals of another class. Specifically, teachers may not use materials designated for different language skill areas or other class levels. Detailed information is provided in the IEI Curriculum Guide.

5/20/2014

Development of materials is encouraged; all materials are to be filed in class and level files. Copyright for materials developed on paid non-teaching time lies with the UM IEI.

#### 9. Class Activities

Class activities need to be varied, purposeful, and appropriate to the goal of the lesson and the program. Appropriate activities are those that facilitate the acquisition of language and cultural awareness, and are geared to a university-level or professional audience. Innovation in techniques of presentation is encouraged. To ensure adequate coverage of every language skill area at every level, the majority of class time should be devoted to activities involving the skill and content area designated for that class period, following the class outline. As a general rule, not more than a fifth of any class period should be spent in “free” discussion, unplanned activities, or the screening of videos unless these activities are specifically related to the materials and goals of that class. A few minutes spent in simply talking to students and exchanging ideas is useful for class rapport and morale, but too much of this will be perceived by students as wasting time. Lectures can be visits to lectures/special talks/etc. on campus or in-class visits from guest speakers from campus or community organizations, persons representing professions of interest to our students, or explorations of the immediate vicinity. Tours must be very carefully prepared, as there is often little opportunity for effective language learning. Further examples of appropriate activities for each level can be found in the Curriculum Guide.

#### 10. Effective Teaching Practices

The IEI endorses the Focal Skills Approach but recognizes that other effective teaching practices can be identified. The effective ESL teaching practices stated below were written and endorsed by the director and faculty in FY 2006.

1. The teacher determines an appropriate objective(s) and teaches to that goal.
2. The teacher ensures that the learning objectives and activities are at the best possible level of difficulty for the learners.
3. The teacher continually monitors learning during the lesson and adjusts the learning activity or objective as appropriate.
4. The teacher helps the learners to understand the purpose of the lesson and relates it to the learner’s wants and needs when possible.
5. The teacher helps the learner to be successful and to recognize his or her accomplishments.
6. The teacher gives the learners critical feedback. This may be positive or negative feedback. It should promote learning and should, in no way, be intended to mislead, stigmatize, or embarrass.
7. The teacher considers the learning styles of the class and provides a variety of learning activities and modes of input.
8. The teacher helps provide meaning for the content to be learned.

5/20/2014

9. The teacher provides for and encourages the active participation of all the learners.
10. The teacher provides opportunities for learners to use and experiment with what they are learning.
11. The teacher provides guidance as appropriate during the lesson.
12. The teacher draws from the experiences and backgrounds of the students to make the lesson meaningful.
13. The teacher respects the learner as individuals and helps the learners identify their own learning strategies.
14. The teacher respects the values, attitudes, and beliefs of the learners and recognizes the fact of diversity and the value of diversity in American culture.
15. The teacher is consistent and equitable in his or her demand and expectations of the students. At the same time, the teacher recognizes individual differences.
16. The teacher makes use of the learners' own abilities to learn language from natural interaction.
17. The teacher maximizes the learners' exposure to natural language.
18. The teacher encourages the learners to use English in real and realistic situations.
19. The teacher is aware that learners may be at different developmental stages in the target language.
20. The teacher expects that errors will occur, accepts them, and uses them.
21. The teacher realizes the risk factor in language learning and tries to reduce learner anxiety.
22. The teacher makes optimum use of class time.

## V. STANDARDS OF PERFORMANCE-PROGRAM DEVELOPMENT

### 1. Curriculum Development and Instructional Development

The IEI has a mission to provide training to international students to prepare them for academic study at the college level, and more generally, for personal and professional activities in the medium of English. To this end, the curricula and instructional materials of the IEI will be in a continuous process of development, assessment, evaluation, revision and renewal to ensure that the needs of the students are met as effectively as possible. Curriculum development will include work for existing programs, as well as proposed programs, generally under the direction and initiation of the director. Curricula will be appropriate to the students' needs, academically sound and incorporate the current understanding and knowledge of second language pedagogy

### 2. Student Testing for Placement, Performance and Proficiency

Teachers will take a leadership role in developing and/or adapting instruments for appropriate measures of student performance in individual courses.

5/20/2014

Expertise in the administration of a variety of testing materials such as the GLES Focal Skills testing system, TOEFL and IELTS, and familiarity with the ESL//EFL literature in the testing field is required, and changes to the IEI testing measures will reflect current information and practices in the field.

### 3. Student Advising and Counseling

As the majority of IEI students intend to study at the University of Maine as matriculated students or exchange students, student advising and counseling to ensure a successful transition from full time IEI status to part time IEI/UM study to full time UM study is a necessary and important service that the IEI provides to its students and the university. The work requires detailed understanding of the rules and regulations related to admissions and study of UM; skill at assessing and evaluating student proficiency in English and the requirements of the UM courses and communicating that assessment to the student and other campus advisors, staff, etc.; counseling skills to advise students who need to develop successful strategies to negotiate in a foreign university culture; strong organizational and administrative skills to develop, implement and monitor tracking of the student, a broad and deep understanding of the IEI in order to develop and recommend policy changes to the director and implement such changes; and ability to understand, articulate and uphold the policies of the IEI and the University of Maine in the advising of the student. The student advisor is an important representative of the IEI within the campus community and will assume a leadership role in this area.

### 4. Media, Resources, and Learning Center Development

The IEI in its goal to provide the optimal learning environment for international students, recognizes that not all learning will take place in the classroom, under the direction of the teacher. The IEI recognizes that motivated learners can profit from self-study, and will assist the students by providing access and structure for independent learning.

## VI. EVALUATION MEASURES

### 1. Documents of Evaluations

- Student evaluation forms - student evaluation of courses and instructors are viewed by the IEI as one of several important criteria for evaluation, and therefore can be used by the Peer committee as a partial basis for evaluation. It is expected that the IEI will develop its own student evaluation forms that are consistent with the philosophy and standards of the IEI. Any changes in the student evaluation form will follow UM procedures for approval and implementation.

## VII. REAPPOINTMENT: CRITERIA AND PROCEDURES

The standard for performance at the IEI is excellence in teaching, other instructional duties, university service, and program development. The

5/20/2014

importance each of these areas has in the evaluation will reflect the duties and responsibilities an individual teacher has in these areas. So, a teacher will normally be evaluated on teaching, instructional duties and university service and a lecturer will normally be evaluated on teaching, instructional duties, university service, program development.

The standard allows for a range of outstanding to unsatisfactory overall in the evaluation. "Unsatisfactory" evaluations in these areas are not acceptable. Teachers with annual appointments receiving an unsatisfactory rating will have the following year to demonstrate improvement to the satisfactory or outstanding level. Teachers failing to reach the satisfactory level within the annual reappointment will not be renewed.

1. Criteria for Instructors and Lecturers

a. Teaching (including knowledge base, adaptability, flexibility in assignment, levels and skills)

All faculty members will be evaluated on the basis of how well their teaching practices match up to the standards of performance in this document. Faculty members will also be evaluated on their ability to provide valid, in depth reasons for doing what they do in the classroom in the post session curriculum meetings. Faculty will be evaluated on the appropriateness and interest of the materials they create for instruction.

b. Other instructor duties (including record keeping, student advising, meetings, professional relations) and orientation, testing, placement when assigned.

All faculty members will be evaluated on their ability to perform, in a timely fashion and in a courteous, professional manner, standard and routine duties such as accurate record keeping (attendance, class work, etc.), prompt submission of grade reports and attendance records, participation at meetings, and maintenance of regular office hours. They will also be evaluated on their ability to participate in and develop workshop and activities for students and student orientation, their ability to test and place students in the program promptly and consistent with the program curriculum (after an opportunity to become acquainted with the program) and their ability to communicate to their students well- prepared, clear and reasonable expectations, and accurate feedback on progress made, and to provide comprehensive, consistent and fair grade reports which reflect valid assessment.

All faculty members will be evaluated on their performance in upholding other general standards listed above, including the standards for professional conduct.

c. University Service

Service is expected of all full-time faculty in the department. Participation in department, college, and campus service is assumed to be part of the job, and includes service on committees and special projects, occasional participation in IEI receptions for new students and cultural events, and activities to increase enrollment and campus visibility such as Open Houses, panel discussions and so on.

**COHEN INSTITUTE FOR LEADERSHIP & PUBLIC SERVICE**  
**Criteria for Evaluation of Lecturer in Leadership Studies**

- I. The following criteria relate to the position of Lecturer in Leadership Studies. The criteria are divided into teaching, service, and research. These three categories are exhaustive but not mutually exclusive; activities in each category are assessed in the context of their relationship to the interdisciplinary, liberal arts-based study and teaching of Leadership. The principal responsibility is to critically engage students in a shared intellectual experience based on active learning with academic and co-curricular components. As such, *teaching* is the primary responsibility of this position and, therefore, the greatest weight will be given to teaching activities when evaluating the holder of this position. Evidence will be drawn from any or all of the following sources:

1. Teaching:

- a. Student evaluations;
- b. Course and curriculum development, including revisions to existing courses and the creation of new courses;
- c. Supervision of independent studies and internships, and thesis advising;
- d. Course syllabi;
- e. Classroom visits and peer and/or supervisor evaluations of teaching;
- f. Awards and prizes in recognition of teaching excellence;
- g. Innovative curriculum development and pedagogical approaches;
- h. Service learning, community engaged teaching, and pedagogical approaches which bridge the learning objectives of students with the needs and concerns of community partners;
- i. Participation in team teaching, as assigned;
- j. Supervision of students for experiential learning projects;
- k. Group or individual student projects which foster undergraduate scholarship and/or creative activity;
- l. Successful grant applications in support of curriculum and pedagogical development;
- m. Participation in workshops or seminars on teaching;
- n. Other teaching-related activities that the candidate proposes for consideration.

2. Service:

- (1) Service to the Leadership Studies program, Cohen Institute, and University, including administrative duties, committee assignments, and involvement in unit events, while maintaining collegiality with administration, staff, and colleagues:
  - a. service on unit and university committees;
  - b. service contributing to the development and growth of programs, both academic and co-curricular, within the unit



and university; these efforts within the unit include promotion of course offerings;

- c. participation in, or planning of, events related to the mission of the unit and university;
- d. student advising and mentoring at the undergraduate levels, which may include special advising efforts, attendance at advising workshops, or other indices of commitment to advising;
- e. other service-related activity that the candidate proposes for consideration.

(2) Service to the Profession and the Public

- a. community engagement that aims to build connections between the university and external communities characterized by reciprocity and mutuality;
- b. membership and active participation in professional associations including: holding office in a professional association; service as a meeting organizer, section chair, or discussant; and attendance at association meetings;
- c. service on editorial boards of professional journals;
- d. professional review of scholarly manuscripts, including books, book chapters, articles, and other service related to grant and fellowship proposals;
- e. service as a professional commentator in the electronic or print media that derives from the candidate's scholarly expertise;
- f. other service-related activity that the candidate proposes for consideration.

3. Research and Publication:

- a. Peer-reviewed professional books and monographs published or accepted for publication;
- b. Peer-reviewed articles and book chapters published or accepted for publication;
- c. Editorships or collections of professional papers that have come under peer review, published or accepted for publication;
- d. Book review essays in professional journals, published or accepted for publication;
- e. Book reviews in professional journals, published or accepted for publication;
- f. Paper presentations at meetings of professional associations who paper proposals are refereed;
- g. Pattern of success in obtaining significant extramural funding through grants, awards, or fellowships;

- h. Grants, awards, and prizes received in competitions for research and creative activity;
- i. Patent(s) awarded;
- j. Peer recognition of outstanding research endeavors, including awards for competitive grants and prizes for published work;
- k. Research with undergraduate students conducted for publication or presentation at professional conferences;
- l. Invited keynote speeches or lectures;
- m. Frequent citations of the candidate's work by other scholars;
- n. Other research and/or publication-related activity that the candidate proposes for consideration.

II. Criteria for Reappointment:

- a. Should normally hold a doctoral degree in Leadership Studies or a comparable degree in a related field or be finishing that degree;
- b. To be considered for reappointment, must have demonstrated success in teaching (see I.1)
- c. To be considered for reappointment must have a demonstrated success in service (see I.2);
- d. To be considered for reappointment must have a demonstrated commitment to research (see I.3);
- e. For review and reappointment purposes, particular emphasis will be placed on the categories I.1 (Teaching) and I.2 (Service), in that order.

III. Reviews

- a. Reviews and consideration for reappointment will be conducted in accordance with university procedures and contractual guidelines, and shall be conducted by the Peer Committee in Leadership Studies.

*Approved*  
*JM 5/6*  
*11/17/2018*

## FACULTY EVALUATION STANDARDS

Maine Business School  
University of Maine  
April 9, 2014

The Tenure and Reappointment Committee conducts periodic reviews of all faculty to assess their contributions to the mission of the Maine Business School (MBS). This document and the Agreement of the University of Maine System with the Associated Faculties of the University of Maine System establish the criteria for these evaluations of professional performance. The University of Maine System is a public institution of higher education committed to excellence in teaching, research, and public service. Together, the students, faculty, and staff form our statewide University community. The quality of life on and about the member Universities is best served by courteous and dignified interaction between all individuals. Therefore the MBS shares with the UMS and AFUM the expectation that all members of the campus community will work to develop and maintain professional relationships that reflect courtesy and mutual respect.

The MBS is comprised of a faculty as a whole - it is not merely a group of individuals. All faculty are expected to act in a socially responsible and ethical way. They should have a physical presence beyond their teaching and office hours and should be available for meetings and other activities on teaching and non-teaching days. Guided by the general approach adopted by the university, peer judgments are determined by performance in scholarship, teaching, and service.

Collegial behavior, cooperative attitude, and acceptance of personal responsibility for one's actions are all valuable qualities of a unit member. Extreme cases of behavior, clearly and consistently disruptive to departmental affairs, as determined by 80% of the tenured members in a meeting, may result in a negative recommendation for reappointment, tenure, or promotion

The MBS is accredited by the Association to Advance Collegiate Schools of Business (hereafter AACSB). The maintenance of that accreditation is critical to the MBS and the University of Maine, hence faculty must contribute to it as required.

The Tenure and Reappointment Committee is currently a committee of the whole—all tenured faculty in the Business School are members. If it is decided by the faculty that the Committee should be reduced in size, the faculty will be involved in the development of a process by which this will occur, including, but not limited to agreement on its final size, the terms of office for members, how the members will be elected by the faculty and the distribution of faculty expertise across disciplines. Members with a conflict of interest relative to a specific candidate should recuse themselves during those deliberations.

### **CONTRIBUTIONS TO THE MISSION**

The Maine Business School serves as the primary source of management research, education, and service in the state of Maine. Through the integration of research, teaching and extensive interactions with the business community the MBS develops and communicates knowledge, prepares students for successful careers in a global economy, and contributes to the economic development of the region. Each faculty member has a professional responsibility to contribute to the mission of the MBS.

**Research and Other Intellectual Contributions:** The faculty of the MBS undertake original research, communicate results to other educators, researchers and practitioners, and are encouraged to incorporate research findings in their teaching. The evaluation of the quality of such research is necessarily an imprecise task. However, certain objective criteria are important to the evaluation process. Work that has been subjected to external evaluation will be weighted more heavily. Similarly, works which have been published usually represent a more substantial contribution than those which have received more limited circulation. Greater emphasis is placed on original scholarly work than upon texts or editorships of collections of readings. We recognize the special significance of invited contributions. In the case of jointly conducted research and scholarly activities and co-authored publications, the Committee will assess, to the degree possible, the relative contribution of the MBS faculty member. Professional recognition is reflected by the standards of review imposed by the publishers of a faculty member's materials (double-blind review, editorial review etc.). The Committee utilizes these implicit evaluations in its own evaluation process. Specific attention is paid to the generally acknowledged ratings of professional journals and to the editorial standards (such as acceptance rates and impact factors) of journals. Each journal is evaluated on its own merits and will be checked by the Committee. The proliferation of pay-to-publish (as distinct from a submission, reprint or review fee) and of marginal outlets is of concern and candidates should avoid them and not expect to receive credit for those publications. The mere appearance of a journal in Cabells does not assure quality. The Committee supports interdisciplinary work including that published outside of one's field. Significant weight will be given to the written evaluations of external reviewers required when the candidate prepares the tenure document. The Committee considers the following factors in evaluating the contributions of faculty to the research mission of the MBS.

#### Primary factors

- Publications in refereed journals with preference for quality journals
  - At least one sole-authored article is encouraged
  - Articles published with many coauthors may carry less weight
  - Assessment of 'quality' depends a variety of factors: the candidate must provide some measures
- Assessment of work by external reviewers
- Publications in editorially reviewed journals
- Research grants awarded
- Publication of a scholarly book
- Publication of an original textbook (not a customized textbook)
- Publication of case studies, instructional resource (course software, study guide, etc.), or chapter in scholarly book

#### Secondary factors

- Editor of scholarly journal
- Editor of proceedings, editor of a special issue, associate/assistant editor of scholarly journal (provide evidence of work required)
- Proceedings or presentations at scholarly conferences
- Review of article for a refereed journal
- Published review of a book
- Publication of new edition of textbook

- Candidates may include other evidence of research activity not listed above (e.g. work in progress)

**Teaching:** The MBS faculty provides each student with the intellectual foundation for a productive professional career in a world-wide economic system. Student input is essential to the improvement of instruction and an important consideration in the evaluation of teaching. Faculty members are required to conduct student evaluations in all classes. The Committee considers several factors in assessing the contributions of faculty to the teaching mission of the MBS. Factors that may be considered, among others, include:

#### Primary factors

- Student evaluations (must be considered)
- Course and curriculum development
- Currency and impact in the instructional field as demonstrated by course materials and content
- Accessibility to students including holding scheduled classes, maintaining office hours, and providing prompt and thorough feedback
- Responsiveness to Assurance of Learning or other activities needed to meet AACSB accreditation standards

#### Secondary factors

- Professional development activities for instructional improvement
- Innovations in instructional processes including creative use of technology
- Consideration of required versus elective courses and large versus small class sizes
- Student advising
- Peer classroom visits
- Candidates may include any other evidence they deem important

**Service:** As an integral part of the land-grant mission of the University of Maine, the MBS has a special responsibility to contribute to the economic development of the State. In addition, faculty contribute to their profession through service activities. The Committee considers many factors when judging the contributions of faculty to the service mission of the MBS. The following is not meant to be an all-inclusive list of service activities.

- School, College and University committee assignments and other service
- Involvement with student organizations
- Public service activities that require professional expertise performed as a faculty member as distinct from service rendered in the role of citizen
- Participation in the business community and contributions to the economic development of the State
- Business-related publication or appearances in newspapers, magazines, radio, television or other media outlets
- Management development seminars and consultation on business problems
- Other participation in professional associations and one's discipline
- Development of workshops or conferences for external constituencies

All faculty should be familiar with accreditation standards and must contribute to the School's maintenance of accreditation. The tenured faculty have a special responsibility to assume a leadership role in the accreditation process and to represent the MBS within the University and business communities. In addition, the tenured faculty should provide guidance and support for junior faculty.

### **REAPPOINTMENT RECOMMENDATIONS**

The Committee advises the Dean regarding the reappointment of probationary faculty, both tenure-track and lecturers without just cause protection. All are evaluated annually using the same criteria except that lecturers have no research requirements (although research is welcomed). The University and the Committee require probationary faculty to report their activities on a yearly basis. These reports are cumulative in nature. At the third year, the member must use the *Third and Subsequent Year Reappointment Format* available from the Human Resources Department's website (Google: Human Resources University of Maine). This format will facilitate the final format the member must use when applying for tenure or just cause.

Under ordinary circumstances, holding a terminal degree in the tenure track faculty member's discipline is necessary for a favorable tenure recommendation. This requirement can be waived by the Committee at the time of hiring if a faculty candidate has exceptional professional experience and qualifications. Lecturers normally hold a master's degree in their field.

During the first two years, faculty are expected to work developing their teaching skills. By the end of two years, they should also have enough of a portfolio of scholarly work (see Secondary factors above) to provide evidence that publications will ensue. They should provide service but not so much as to impinge on their research and teaching development.

Over the next three years, faculty should continue to improve teaching and to build a library of publications. It is recommended that some publications be directed towards known, quality journals with impact factors. Pay-to-publish (see page 2) and marginal outlets are of concern and candidates should avoid them. It is also recommended that one or more publications be single authored. Ideally, a candidate for tenure will have at least five refereed articles by the time of the tenure decision (usually at the beginning of the 6th year). Service should increase during this period. The faculty may take on a leadership role in some service capacity during these latter years but it is not required.

Committee members will rate the candidate on each of the performance criteria as excellent, satisfactory or unsatisfactory. These ratings, as a whole, should be viewed as assessments of 'progress towards tenure' and not an assessment of that year's work and not an early vote for or against tenure. For example, a first year faculty member might receive an 'excellent' vote on research without having any publications because of – for example – several works in progress and conference presentations. Clearly, that is not a vote for tenure, but rather, progress towards it. A simple majority vote in favor of reappointment constitutes a recommendation to reappoint.

### **PROMOTION TO ASSOCIATE PROFESSOR WITH TENURE (LECTURER WITH JUST CAUSE)**

The Committee advises the Dean concerning the tenure application of probationary faculty. A favorable tenure recommendation by the Committee must be justified by evidence that the faculty member has made important contributions to the mission of the MBS. A favorable tenure recommendation requires

an evaluation of “excellent” in research or teaching and “satisfactory” in the other two areas although such a vote does not ensure a favorable recommendation. A split vote averaging a low ‘excellent’ rating plus a barely satisfactory rating in another area may well result in a vote not to recommend tenure. The following definitions are guidelines for judging “excellent” and “satisfactory” performance in research, teaching, and service but this is not meant to be an all-inclusive listing of those activities that can result in an a particular evaluation. The primary and secondary factors listed earlier should help solidify judgment.

- Satisfactory performance in research: Continued and sustained effort in scholarly research beyond the doctoral dissertation resulting in articles in refereed journals and other quality publications and good evaluations by external reviewers. Typically, at least five publications in peer-reviewed journals of which one is recommended to be sole-authored, will be required for a candidate to be considered for a satisfactory or higher evaluation. The committee considers progression and continuity of scholarly effort and evidence of the likelihood of future publication. Evidence for this is provided through a portfolio of other scholarly work (as noted on page 2).
- Excellent performance in research: Excellence is manifested through numerous publications in refereed journals and other quality publications and excellent evaluations by external reviewers. The committee considers the quality of the journals as well as the impact on the profession. The committee considers progression and continuity of scholarly effort and evidence of the likelihood of future publication. Evidence for this is provided by a significant portfolio of supporting scholarly work (as noted on page 2).
- Satisfactory performance in teaching: Conscientious and dedicated attitude in the classroom which leads to a reputation among colleagues and students as a competent and effective teacher and advisor.
- Excellent performance in teaching: Demonstrated outstanding and distinctive reputation as an accomplished teacher and advisor among both students and colleagues.
- Satisfactory performance in service: Continuing cooperative participation in the business School, college, university, community, and/or professional organizations through activities such as committee work, special assignments, mentorship of student organizations, consulting, executive development programs, development of workshops or conferences, etc.
- Excellent performance in service: Conspicuous leadership or extensive contributions in the business School, college, university, community, and/or professional organizations through activities as listed above.

A vote for tenure implies that the committee believes that the candidate has met the criteria for promotion and will continue to be active in these areas as his or her career progresses. A majority of those serving on the Tenure and Promotion Committee must vote in favor of granting tenure in order to forward a favorable recommendation. A faculty member must review the candidate’s materials and participate in committee deliberations in order to vote on a tenure decision.

*Note that the criteria for classification of faculty for AACSB accreditation purposes are unrelated to promotion and tenure criteria; therefore such a classification does not in any way ensure a satisfactory or excellent evaluation in any area of the tenure assessment.*

## **PROMOTION TO FULL PROFESSOR**

The Professors of the Tenure and Reappointment Committee advise the Dean concerning applications for promotion from Associate Professor to Professor. To earn promotion, an Associate Professor must demonstrate teaching ability, research productivity and service of a high order. The candidate must, at minimum, be voted as excellent in two of the categories of research, teaching and service and satisfactory otherwise.

A reasonable expectation for applying for the rank of Professor is that the candidate has served at least five years in the rank of Associate Professor. The candidate will have a substantial post-tenure publishing record and receive excellent assessments of that record from external reviewers. Without suggesting that specific numbers of publications are required, recent successful candidates have averaged one or more peer reviewed articles per year since achieving tenure. This period is one in which the tenured candidate might choose to produce higher impact pieces in better established journals, resulting in fewer total publications than if other outlets had been targeted. Emphasis on quality is sought. There should be evidence of an increased national, and even, international recognition. Of course, evidence that scholarly activity will continue should be present.

It is expected that service to the University, Maine Business School, or profession has increased. The candidate should have demonstrated a greater emphasis on service and leadership than would be expected from an untenured faculty member. While leadership can be difficult to define, the candidate should be known for taking on leadership roles. The committee also looks for extensive interactions with the business community. The following examples are illustrative:

- organizing events for the benefit of the MBS and business community
- chairing major committees
- editing journals
- expanding one's scholarly reputation
- holding positions in professional organizations
- initiating and championing major curricular changes

A majority of the Professors holding that rank must participate in deliberations for promotion to full Professor. While the document format is undefined by AFUM and the University, care should be taken to present a professional document. Using the same format as that used for tenure is advised.

## **POST TENURE (JUST CAUSE) REVIEW**

There are two purposes for the periodic evaluation of tenured and just cause faculty

- 1) To encourage all faculty to remain productive, participative and collaborative
- 2) To reward those faculty who achieve the standards stated in 1.

The Professors of the Tenure and Reappointment Committee conduct the reviews of all tenured and just cause faculty. A Professor will not, of course, review him or herself.



The faculty member will submit documentation to the committee attesting to his/her research, teaching, and service over the prior four years. Document format is undefined by AFUM and the University but care should be taken to present a professional document. Using the same format as used for tenure is advised. The committee will use the same criteria for assessing performance as indicated above for tenure. However, it is expected that the faculty member demonstrate a greater emphasis on service and leadership as noted in the section on "Promotion of Tenured Faculty" than would be expected from an untenured faculty member. An overall assessment of satisfactory or excellent will be made.

According to the AFUM Agreement, Article 20, G: Any unit member (with tenure), or any Lecturer, with over six (6) years of continuous full-time regular service...shall be eligible for consideration for the award of compensation at the time of his / her post tenure review. Such eligibility occurs every four years. A raise of 3.5% is recommended if the faculty member earns a vote of satisfactory or better from the peer committee. An administrative review (by the dean or appropriate administrator) may result in overturning the committee's recommendation and the committee will be informed of the reasons for this. An additional award of up to but no more than 3.5% is also possible upon administrative review of the committee's recommendation due to stellar performance, salary compression and/or equity.

This document supersedes the **Evaluation Policy for Tenure Faculty** of November 10, 1988 and the **Evaluation of Full-Time and Part-Time Non-Tenure Track Faculty** of January 14, 1991, the **Reappointment and Tenure Policy** of March 20, 1992, and the Faculty Evaluation Standards of 1998.

---

<sup>1</sup> Peer-reviewed published cases are categorized as "publications in refereed journals." Cases published in textbooks or study guides contribute to the faculty member's overall portfolio.

# CRITERIA FOR EVALUATION, REAPPOINTMENT, TENURE & PROMOTION

## DEPARTMENT OF MATHEMATICS & STATISTICS UNIVERSITY OF MAINE

### 1. MISSION STATEMENT

The role of the Department of Mathematics and Statistics at the University of Maine encompasses all areas of the mathematical sciences: pure mathematics, statistics, applied and interdisciplinary mathematics, and mathematics education. The Mission of the Department of Mathematics & Statistics is to provide:

- effective teaching and maintain competitive and intellectually challenging curricula in the mathematical sciences to the students of the University of Maine;
- professionally recognized scholarship in the mathematical sciences; and,
- effective professional support – as mathematicians, statisticians, and educators – to the University, the State of Maine, regional, national, and international organizations.

### 2. EVALUATION

2.1. **Introduction.** Individual members of the department shall be evaluated in accordance with the Mission. In assessing the merit of a member's record, teaching and scholarship are weighted more heavily than service. It is essential that all tenure track and tenured faculty maintain a record of effective teaching and recognized scholarship and that all Lecturer rank faculty maintain a record of effective teaching. All tenured and continuing contract faculty shall be evaluated by a peer committee in accordance with union contract. This evaluation shall be based on these criteria.

#### 2.2. **Definition of Levels of Performance and Evaluation Criteria.**

2.2.1. *Teaching.* A faculty member's performance is rated as *effective* or *excellent* as follows. A rating of *ineffective* will be given if a faculty member's teaching performance does not meet these criteria.

**Effective:** The Department of Mathematics & Statistics expects conscientious promotion of learning and an appreciation of ideas in the mathematical sciences. The primary criterion is performance in the classroom. To be effective a faculty member must exhibit a record of positive course and instructor evaluations by students. Additional support may come from written comments by students and written evaluations of classroom visits by peers. It is further expected that participation in course and/or curriculum development occur. Additional evidence for an evaluation rating of effective may include activities listed below as evaluation factors.

**Excellent:** In addition to the above, the rating of excellent in teaching is granted if the faculty member consistently presents challenging material in an engaging learning environment and is a role model for effective teaching practices. This criteria can be met through, e.g., scholarly activity in teaching and learning, documented self evaluation and improvement of one's

teaching technique and its effect on student learning, and/or development and use of assessment tools in student learning.

#### Additional Evaluation Factors

- Stimulation of students to scholarly work.
- Supervision, mentoring and advising of students' mathematical program.
- Participation in conferences and workshops relating to teaching.
- Speaking or writing on topics related to teaching and learning.
- Designing and teaching special purpose, advanced courses and seminars for other departments.
- Teaching awards.

2.2.2. *Scholarship.* The Department of Mathematics & Statistics accepts Boyer's<sup>1</sup> framework of scholarship via the four defining categories: scholarship of discovery, scholarship of integration, scholarship of application, and scholarship of pedagogy with the following refinements appropriate to the discipline.

- Scholarship of discovery shall mean formulating and establishing new results in the mathematical sciences.
- Scholarship of integration shall mean formulating and establishing interconnections between different areas of the mathematical sciences.
- Scholarship of application shall fall under scholarship of discovery or shall take the form of using the mathematical sciences to establish new results in another discipline.
- Scholarship of pedagogy shall mean original work related to effective teaching and learning in the mathematical sciences.

The expected outlet for faculty members is contributions to the advancement of knowledge by the publication of their work in recognized journals. A faculty member's performance is rated *recognized* or *excellent* as follows. A rating of *unrecognized* will be given if a faculty member's scholarship does not meet these criteria.

**Recognized:** Mathematical scholarship of high quality as recognized by peers both in the University and in the professional community outside the University. Evidence of recognized scholarship must include activity as listed under the primary factors and can be supported by activities listed under secondary evaluation factors.

**Excellent:** Creative mathematical scholarship of high quality as recognized by peers both in the University and in the professional community outside the University. This scholarship shall be recognized nationally and internationally. Evidence of excellent scholarship goes beyond recognized scholarship by the inclusion of substantial activity from the primary evaluation factors given below.

<sup>1</sup> E. L. Boyer, *Scholarship Reconsidered*, The Carnegie Foundation(1990).

### Primary Evaluation Factors

- Publication in peer refereed journals in the mathematical sciences as recognized by experts in the field.
- Publication of advanced surveys and/or monographs or upper level textbooks in the mathematical sciences through well-respected national/international publishing companies.
- Innovative, refereed published work regarding effective delivery of content in the mathematical sciences.
- Receiving external funding to support scholarly work.

### Secondary Evaluation Factors

- Presentations at conferences/workshops/meetings.
- Scholarly colloquia.
- Research awards.
- Submitting grants for external funding to support scholarly work.
- Refereed publication of problems/solutions.
- Published expository texts/articles.
- Thesis direction and/or service on thesis committees.
- Non-refereed articles/reports in the mathematical sciences.
- Active participation (organization and/or lecturing) in seminars/conferences.

2.2.3. *Service*. One form of service expected of all faculty is participation in departmental projects. A faculty member's performance in this component is rated effective or excellent as follows. The rating of ineffective will be given if a faculty member's service does not meet these criteria.

**Effective:** Conscientious and effective professional involvement in support of the academic and non-academic roles of the Department and University with recognition of high quality and value by peers at the University. Evidence of effective service shall include activity as listed under the evaluation factors below.

**Excellent:** Professional involvement of high quality and value both within the University and in the public domain in the promotion of educational and scholarly activities as recognized by peers at the national and/or international level. Evidence of excellent service shall include substantial activity as listed under the evaluation factors below.

### Evaluation Factors

- Consulting of a professional nature.
- Lectures to public forums.
- Service Awards.
- Professional service rendered outside the University.
- Reviewing, Refereeing, Editorship of journals.
- Activities in professional societies and conferences.
- Academic advising of non-major students.
- Course coordination.
- Participation in peer review.
- Support and training of teaching assistants.
- Assistance to academic programs outside the Department.
- Department/College/University assignments and activities.

### 3. REAPPOINTMENT, TENURE, OR PROMOTION

3.1. **Introduction.** For reappointment, tenure or promotion all members shall maintain an effective/recognized level of performance and participation in the appropriate areas of the Departmental Mission. Each member shall exhibit personal growth and improvement in her/his performance in each area.

3.1.1. *Lecturer.* For appointment and reappointment as an Lecturer in the mathematical sciences, an individual shall have the credentials and/or experience to indicate effectiveness in teaching. Activity should be focused on effective teaching and effective service that relate to the performance of his/her duties.

3.1.2. *Assistant Professor.* For appointment or reappointment to Assistant Professor in the mathematical sciences, an individual shall have a Ph.D. or equivalent or shall have obtained such within one year of initial appointment which indicates their ability to carry out the Mission and the potential for growth and promotion. Activities should be focused on effective teaching, recognized scholarship, and effective service.

3.1.3. *Associate Professor.* For promotion to Associate Professor with tenure in the mathematical sciences, an individual shall have the credentials, ability, and demonstrated performance appropriate to the rank. An effective level of performance in the teaching and service components and a recognized level of scholarship are required. Furthermore, the individual shall have demonstrated the necessary growth toward becoming excellent in scholarship and teaching as recognized by peers at the University (teaching and scholarship) and in the academic, mathematical or professional communities outside the University (scholarship).

3.1.4. *Professor.* For promotion to Full Professor in the mathematical sciences, an individual shall have the credentials, ability, and demonstrated performance appropriate to the rank in all areas of the Mission. The performance, since promotion to Associate Professor, in the areas of scholarship and teaching shall be excellent as recognized by peers at the University (scholarship and teaching) and in academic, mathematical or professional communities outside the University (scholarship). The Professor's reputation among peers will be national and/or international and, moreover, enhance the reputation of the University of Maine.

### 4. PEER COMMITTEE STRUCTURE

The Peer Committee consists of all tenured faculty and Lecturers with six continuous full-time years of service in the Department. Subdivision of the Peer Committee for particular tasks is as follows.

- Peer I. Membership consists of the entire Peer Committee. Its charge is to serve as the Evaluation committee and reappointment committee for Lecturers.
- Peer II. A subcommittee consisting of all full-time tenured members of the Department. The charge is to serve as promotion and tenure committee to Associate Professor with tenure,

reappointment committee for Assistant Professors, and evaluation committee for Associate Professors.

- Peer III. A subcommittee consisting of all full-time tenured Full Professors. The charge is to serve as promotion committee to Full Professor and evaluation committee of Full Professors. Special peer subcommittees can be formed as needed to handle particular circumstances, e.g., evaluation and/or reappointment of faculty with joint appointments.

Accepted by the Department: May 20, 2004

**Margaret Chase Smith Policy Center  
Criteria for Re-Appointment, Promotion, Tenure, and Peer Review  
of Staff with Faculty Appointments**

PREFACE

The following criteria guide the Policy Center's Peer Committee and should not prevent hiring or promoting an exceptional individual who possesses unusual talents that contribute to the Policy Center's mission. When such cases are made, the nature of the exception and any variation in the following criteria will be carefully evaluated and documented prior to forwarding a recommendation.

These review processes will be jointly conducted by a four-person Joint Peer Committee. The Joint Peer Committee shall consist of two members selected by the individual's home department and two members of the Policy Center or other appropriate department or unit agreed upon by the individual, Center, and home department. Other members of the Policy Center and home department may participate in the deliberations of the Joint Peer Committee but cannot vote.

I. EMPLOYMENT POLICY

Under normal circumstances, a candidate must have earned the terminal academic degree appropriate to the position to be hired at the Assistant Professor or Assistant Research Professor level or higher. In exceptional cases, significant professional or academic experience may substitute for the terminal degree.

II. GENERAL GUIDELINES

The Policy Center will generally emphasize three broad categories for performance evaluation: (A) Research, Publication, and Professional Activity; (B) Public, Professional, and University Service; and (C) External Funding. These categories will be used for reappointment, promotion, and tenure, and in conducting reviews as mandated by the union contract. Ideally, research, public service, and external funding would represent an integrated set of activities, with each informing and improving the other. Working cooperatively and productively with colleagues is expected.

A. RESEARCH, PUBLICATION, AND PROFESSIONAL ACTIVITY

This category includes the following: articles in refereed professional journals; articles in refereed scholarly books and monographs; grants and contracts; texts and non-refereed books; invited articles in journals and chapters in monographs or other professional literature; refereed comments, notes, and replies in professional journals and encyclopedia entries; editorship of monographs; book reviews in professional journals; grant reports; scholarly participation in professional meetings, including presenting papers, organizing and/or chairing sessions, and serving as a discussant; submission of grant applications; unpublished papers; invited presentations at other institutions; and

professional/creative activity appropriate to the faculty member's duties within the Policy Center.

In evaluating these items prime consideration must be given to qualitative differences. The evaluation of the qualitative content by the Policy Center is necessarily an imprecise task. However, there are some objective criteria which are important to the evaluation process. There are two guiding criteria in this evaluation process: informing public policy debate and decision making; and the creation of professional status within the faculty member's field. Given the Center's public policy mission, work that informs important public policy issues should tend to be viewed more favorably than work without a public policy emphasis. Work which has been subjected to external evaluation, such as refereed journal articles should tend to be weighed more heavily than non-refereed publications. Similarly, the wider the circulation of a publication should represent a greater contribution, all else the equal. Somewhat greater emphasis should be placed on original scholarly work than upon texts or editorships of collections of readings. Jointly conducted research and co-authored publications should count somewhat less than sole work, *ceteris paribus*. Publication in more selective and prestigious outlets in the profession should represent a greater contribution.

#### B. PUBLIC, PROFESSIONAL, AND UNIVERSITY SERVICE

As in University teaching units, faculty in the Policy Center are expected to provide service to the profession, the Center, and the University. Such activities carried are an extension of the University's mission to the community and the State. Faculty members are expected to demonstrate a willingness and ability to work constructively and cooperatively in matters related to Center and University service.

Given the Center's public-policy mission, faculty are also particularly encouraged to provide public service. These activities should be directly related to the professional expertise of the faculty member.

Service to the public is through activities such as: membership in state and federal committees and task forces; advising or consulting with state and federal agencies/officials and with non-profit organizations; testifying at public hearings; arranging or participating in public-policy conferences and events; publication of analyses of public policy issues; publication of articles, columns, and op-eds in newspapers and magazines; and interviews with the news media. Although the Policy Center does not have a direct teaching mission, mentoring and training students and junior staff in public policy research is considered an important type of public service for the Center. Coordinating public-policy research within the University is also an important public service of the Center.

Service to the Policy Center and University may include, but not be limited to, faculty governance activities, student advising, membership on thesis and dissertation committees, activities with student or faculty associations, arranging seminars and workshops, and professional consulting services within the University.



Service to the profession consists of such activities as: leadership positions in professional associations; membership on editorial boards of professional journals; service on federal grant review committees and boards, and editorial work for journals or publishers.

### C. EXTERNAL FUNDING

Faculty in the Policy Center are expected to seek external funding to help support their research and to help support the activities of the Policy Center.

## III. CRITERIA FOR RANKS

### A. ASSISTANT PROFESSOR/ASSISTANT RESEARCH PROFESSOR

An assistant should normally hold the doctoral degree in the appropriate field or possess equivalent experience as a professional.

To be recommended for second-year reappointment, the faculty member must provide evidence of:

- a. progress toward earning the terminal degree if hired while still ABD;
- b. a developed program of scholarly activity (see II. A.);
- c. some public, university, or professional service (see II. B.);

To be recommended for reappointment in the third through sixth years, the faculty member must provide evidence of:

- a. completion of the terminal degree, or possess the requisite professional experience to be considered for this rank;
- b. active research and professional activity (see II. A.) and that the faculty member's work has begun to achieve recognition at the state, regional, national, or international level;
- c. an established record of public, university, and professional service (see II. B.);
- d. efforts to secure external funding support of their applied public policy activities.

### B. ASSOCIATE PROFESSOR/ASSOCIATE RESEARCH PROFESSOR

To be recommended for promotion to Associate Professor with tenure or Associate Research Professor, the faculty member must provide evidence of:

- a. demonstrated ability as a scholar through significant research publication in the five years preceding consideration for this rank (peer-reviewed publications are expected as part of one's overall research productivity). Such activity must be supported by substantial recognition from either scholars or professionals such that the faculty member is seen as obtaining recognition over time for work completed;
- b. a substantial record of public and university service appropriate to the faculty member's role. As part of this role, it is expected that the faculty member will have

indicated willingness and ability to participate in Center and University governance, to be active in appropriate state, regional, and/or national associations, and to maintain professional relationships with colleagues in the Center, the University, and beyond;

c. demonstrated ability to secure external funding support of their applied public policy research and outreach.

### C. PROFESSOR/RESEARCH PROFESSOR

To be recommended for promotion to Professor, the faculty member must demonstrate high-quality research and service as detailed in the requirements for Assistant and Associate Professor. In particular, the faculty member must demonstrate:

a. continuing commitment to scholarly or professional activities since the last promotion;

b. a leadership role within the University as part of an overall response to public, university, and professional service;

c. continuing commitment to secure external funding.

The establishment of a state, national, or international reputation as a scholar (and as appropriate, a practicing professional) is of primary importance in considering promotion to this level.

**University of Maine**  
**Department of Modern Languages and Classics**

**Criteria For Tenure and Promotion**

Promotion to the rank of **Associate Professor** requires the following qualifications.

1. The candidate must have a Ph.D. or other recognized doctorate in the field. The candidate also must demonstrate excellence in teaching as evidenced through performance, enthusiasm, University of Maine student evaluations, peer review of teaching, and course syllabi. Coordination of multiple language section courses and administration, and/or teaching Study Abroad courses is an integral part of the teaching mission of the department. Evidence of competent and efficient advising of students is expected.
2. In the area of research and scholarly activity, the candidate for the rank of Associate Professor shows evidence of high quality independent programmatic research and/or creativity as demonstrated by peer-refereed publications, editorships, reviews, creative writing, invited talks, papers delivered, externally funded grants, and other relevant vehicles pertaining to the University language teaching profession, including the areas of literature, pedagogy, translation, linguistics, and cultural or area studies. Quality will be determined by the fact that the work is refereed and the journal is nationally or internationally recognized in the field. The Department expects a minimum of 4 refereed articles or equivalent refereed research activities such as externally funded grants, for promotion at this level.
3. The candidate for promotion demonstrates evidence of public and community service and service to the University.
  - Public service includes a broad range of activities aimed at the general community such as, but not limited to business, educational, and civic organizations. Some examples are:
    - i. Partnerships with K-12 public school teachers in the state of Maine to enhance the teaching and learning of language and culture and to aid in preparing Maine students for success in such state and national initiatives as Maine Learning Results. Such service may involve working with school districts in the area of materials development and methodology, running workshops and institutes for teachers, serving on state and /or local education committees, and giving presentations at local and regional meetings of elementary and secondary teachers.
    - ii. Uncompensated translation and interpretation services for linguistic and cultural communities or persons in the area in the fields of medicine, law and social services, and aid to service organizations. Service to professional organizations and societies, such as the Maine International

Trade Center, historical societies, Chambers of Commerce, museums, art galleries, etc.

iii. Community outreach initiatives and programming in modern and classical languages and cultures. This could entail, for example, working with the diverse communities in Maine, including Franco-American and French Canadian groups, and migrant and immigrant communities for which English is not the primary language.

- Regular institutional service takes many forms, such as memberships on committees from departmental to system levels, task forces, newspaper editorials, and the like. We identify such work as a critical dimension of the faculty member's ongoing development, and an important aspect of our mission as language educators at the University of Maine.

**Post-tenure Review** for the rank of Associate Professor shall consist of promotion criteria for the rank plus progressive work leading to the next level or promotion. The Peer Committee, as per the AFUM contract, will evaluate individuals.

Promotion to the rank of **Full Professor** requires the following:

1. The candidate must have a Ph.D. or other recognized doctorate in the field. The candidate also must demonstrate excellence in teaching as evidenced through performance documented on the University of Maine student evaluation forms, peer reviews, and course syllabi. Activities such as the coordination of multiple language section courses, administration, and/or teaching Study Abroad courses are an integral part of the teaching mission of the department. The candidate must also show evidence of competent and efficient advising of students. The candidate for the rank of Full Professor must demonstrate consistent and continued evidence of excellence in teaching and the ability to stimulate, inspire, and guide students in undergraduate research, capstone projects, and Honors theses. He or she may, as appropriate, direct the research of graduate students working on the Certificate of Advanced Study (CAAS), the Masters of Arts in Liberal Studies (M.A.L.S.), the Master of Arts in Teaching (M.A.T.), the Masters of Arts (M.A.), the Independent Ph.D. (I.Ph.D.), and the Ph.D.

2. In the candidate's research program, there must be evidence of professional reputation and activity that enhances the visibility of the University. The candidate shows continued independent programmatic scholarly research, evidenced in the publication of peer-refereed articles, books, monographs or other scholarly activity and accomplishments. These efforts must be illustrative of a national or international scholarly reputation. Quality will be determined by the fact that the work is peer refereed. The candidate normally will have published a minimum of 10 articles over the span of his/her career in nationally or internationally recognized publications. Books or monographs will have been peer reviewed and published through an appropriate and

reputable press. Grant writing and obtaining extramural funds is an important measure of national or international prominence, as determined by the departmental Peer Committee.

3. A high level of service is expected of the candidate for promotion to Full Professor. In addition to the requirements for public and University service outlined above, he or she is also expected to engage in and show an ability to serve in a policy planning capacity and by assuming responsibility for supervision in carrying out such policy. Participation on the local, regional, or state level in educational initiatives is highly desirable. Additional activities may include, but are not limited to, service on editorial boards of scholarly journals, holding office on executive committees of national organizations and evaluating grants.

In sum, the candidate for promotion to the rank of Full Professor must show excellence, creativity and leadership in teaching, advising students, ongoing and responsive curriculum review, and research. The candidate must have established and maintained a national and/or international reputation as a scholar. A high level of administrative and public service completes the expectations for this rank.

**Post-tenure Review** for the rank of Full Professor shall consist of promotion criteria for the rank. The Peer Committee, as per the AFUM contract, will evaluate individuals.

Revised and approved on 5/26/04 by the Faculty of the Department of Modern Languages and Classics.

Cathleen Bauschatz, Professor of French, Chair of Peer Committee  
Gisela Hoecherl-Alden, Assistant Professor of German  
Kathleen March, Professor of Spanish  
Kristina Passman, Assoc. Prof. of Classical Languages and Literature  
Raymond Pelletier, Associate Professor of French  
Kathryn Slott, Associate Professor of French  
James Troiano, Professor of Spanish

New Media Department  
Promotion and Tenure Guidelines  
**Criteria by Category and Rational**

Version 2.9

**ABSTRACT:** This document provides concrete guidance for evaluating faculty in the University of Maine's New Media Program. The outline follows the official University of Maine template for promotion and tenure activity reports, citing examples of the kinds of new media accomplishments that qualify for each category. Because of the rapid pace of innovation in electronic formats, this list must remain partial, since it is impossible to predict what new recognition mechanisms may be relevant a few years from now.

**FACULTY EVALUATION GUIDELINES**

Each faculty member will be evaluated as provided for in the University contract. The Peer committee as well as the administrative evaluation will consist of a complete and thorough evaluation of: 1) teaching, including course effectiveness and advising; 2) creative and/or research activity; and 3) service, including institutional and professional activities. In general, to gather material for examination, the Peer Committee may visit classes, examine course materials, assess student evaluations with regard to teaching and advising, read publications, and survey annual activity reports with regard to service and outreach activities as defined by the institution.

**TEACHING AND INSTRUCTIONAL ACTIVITIES**

New media pedagogy must be light on its feet to stay relevant. Below are some instructional activities that serve as important supplements to regular courses on the new media curriculum.

**CRITERIA FOR FACULTY EVALUATION**

Evidence of dedicated contributions to the mission of the New Media Program - subject to periodic review as stipulated by the AFUM contract:

Dedicated and Creative Teaching.

Setting and achieving course goals as presented in well-crafted and clear syllabi.

Course and curriculum development.

Commitment to advising, informing, evaluating, communicating with, and inspiring students.

Directing honors students, graduate theses, and/or independent studies.

Documentation used to assist in the evaluation process as deemed appropriate by the New Media Program could include: syllabi, course materials, student evaluations, classroom visitation feedback, record of student success in entering graduate programs or professional life, awards, etc.

A. Course Load:

B. Other Teaching Activities:

1. Independent Study, directed research, etc. (list by course number)

Because new media's tools and topics proliferate too quickly to be captured by any one curriculum, faculty are encouraged to teach independent studies when students want to explore research areas not on a current syllabus.

In addition, New Media student and faculty projects often reach beyond the walls of the classroom into the real world. The new media program recognizes the value of directed research in which faculty involve students in outside collaborations for artistic or commercial purposes, as well as faculty members who facilitate students exposure to or participation in national and international exhibitions, conferences, and other venues.

## 2. Rehearsals, Coaching, etc.

### C. Curriculum and Course Development:

#### 1. Curriculum

During its building years, the new media program expects its faculty to contribute more to curriculum development than expected in other departments. This work may take the form of course proposals, curriculum proposals, or curriculum subcommittee membership.

#### 2. Courses

Given the quick pace of new media evolution, the program recognizes exceptional value in developing courses that explore new pedagogies or emerging technologies.

It is understood that New Media faculty may spend a significant portion of their research or course preparation time learning an emerging technology, such as a new programming language, with the understanding that such knowledge may lay the groundwork for future research or new courses. This groundwork is not "brushing up on skills," but experimenting with promising yet unproven systems, codes, or devices.

### D. Advising

#### 1. Undergraduate Advising (describe contact, contact hours, how many did you see this semester, how did you initiate contact, etc. Other pertinent data, concerns):

Advising is a central concern to the New Media Department and it is a central element in our ability to work productively with our diverse student body. It is expected that all faculty maintain an ongoing and serious commitment to their advisees, meeting with them regularly, keeping their degree requirement sheets filled out and up to date, advising for class registration, as well as acting as mentors in the academic and creative environments.

#### 2. Graduate Advising (please list student names):

##### a. Committee memberships:

###### i. Doctoral

###### ii. Masters

###### iii. Other

##### b. Committee Chair:

###### i. Doctoral

ii. Masters

iii. Other

## **RESEARCH AND SCHOLARLY ACTIVITIES**

Creative and/or research activity. It is recognized that faculty in New Media may be active in a wide range of creative activity for which a single set of criteria for evaluation may be inappropriate. We can identify two principal aspects, although they often are intertwined and not easily separable:

Applied: Success with production or presentation in New Media. Level of participation, ability to develop significant projects, and the quality and effectiveness of the work and the venues in which it is presented will be considered.

Research and publication: As a new academic discipline, the procedures and venues for publication of research are not well-established as in older areas of academia. It is the responsibility of each faculty member submitting evidence of research and publication to provide information demonstrating its value (e.g. peer-review, prestigious publishing house, etc).

Other activity supporting creative activity in New Media will also be evaluated, e.g. internal and external grant writing, professional contracts for special projects, fellowships, etc. A faculty member should consult with his or her peer committee regarding the status of any creative activity vis-à-vis evaluation.

All written work accepted for publication during academic year but not yet published. Do not list items that have been reported in previous years.

### A. Publications this academic year

#### 1. Books/Monographs:

Networked or rich-media publications such as extended blogs, DVDs, or CD-ROMS should be included if they constitute a sustained investigation of a particular topic. An electronic work should only be listed in this category if online citations, inclusion in syllabi, or other measures show it is used as a significant resource in the new media community.

#### 2. Refereed Journal Articles:

In a new media context, a "closed peer-review" article includes invited contributions to edited print journals and networked journals. The format of these contributions may go beyond the form of a written essay to include podcasts, videoblogs, and other forms of archival media.

An "open peer-review" article includes contributions to self-policing publication networks, where the quality or relevance of contributions are subject to community debate and evaluation.

#### 3. Chapters of Books/Monographs (please indicate if invited or juried):

Essays or chapters in edited volumes are more important in new media than the sciences, for these edited volumes establish standards for discourse in emergent subdisciplines of new media.



This category should also include invited contributions to edited, single-issue networked publications.

4. Edited Volumes:

This category includes coordinating or managing a multi-user discussion list, whether accessible via email or Web. Candidates should list the url, dates, geographic range, institutional affiliations, and number of participants when known.

This category also includes the conception, design, engineering, and/or editing of organized media collections, including film festivals, networked databases, and publications.

5. Technical Reports/Book Reviews:

This category includes networked reports and reviews

6. Other Publications (e.g. editorials, working papers, etc.):

This category includes essays published to email lists, including all contributions to discussions sparked by the publication of that essay. Such exchanges should be listed in chronological order along with each message's subject, respondent name and email, and date.

B. Creative Activities, Exhibitions, and Performance Related Activities (please indicate whether regional, international, national, solo, group, invited or juried):

1. Exhibitions:

This category includes networked exhibitions hosted by brick-and-mortar institutions or independent organizations, and can include online exhibitions as well as physical installations.

a Participating

b. Curated

2. Performance Related Activities:

This category includes political design, social software, and interactive performance. Documentation should include the development team, the target community, and urls as appropriate.

3. Creative Writing and Poetry:

This category includes literature in all its forms, both analogue and digital, in print or online. Besides traditional literary forms like novel, story, essay, and poetry, digital literature also includes but is not limited to such new forms as interactive fiction, visual poetry, distributed journalism, text-based virtual environments, and code poetry on Web sites or email lists. Documentation should include dates, urls, participants (when known).

This category also includes collaborative writing experiments, MOO-based improvisatory theater, and interventions in networked computer games and online environments. Documentation should include dates, urls, and participants (when known).

C. Professional Presentations and Posters (please indicate if regional, national, or international):

1. Conferences and Discussions organized

Researchers in new media at this point in its development are actively filling in gaps in the awareness of new media's own history, a critical vocabulary, and other intellectual frameworks already in place in other fields. The new media program recognizes the value that organizing private and public events have for the field as a whole and, when local, for our students.

## 2. Presentations

As studies of new media have argued, presenting research at prestigious conferences can be more important than publishing it. Measures of prestige include the reputation of other speakers, the range (national or international) of participants, the number of registered attenders, and the affiliated sponsors or institutions represented.

While there is no substitute for in-person gatherings, teleconferences are gradually becoming an important venue for conference presentations, though they vary in degree of formality and organization.

## D. Professional Meetings Attended:

## E. Proposals/Grants/Contracts/Fellowships

### 1. Submitted:

### 2. Funded:

## **SERVICE**

### A. Service to University (please list)

As a fledgling program with a high student-to-teacher ratio, the new media program requires an unusual amount of innovation and labor from its faculty, which should be taken into consideration when evaluating faculty contributions in service especially service outside the Departmental unit. Because new media promise to change the methods of many academic disciplines, faculty are encouraged to lend their voice to interdisciplinary committees and work with other departments to envision and develop programs that integrate new media into their own practices.

### 1. Department:

### 2. College:

### 3. University:

### 4. University System:

### B. Service to the Public (e.g. Service on state commissions, public schools, civic groups, consulting, media interviews, public presentations - please describe activities and if repetitive, number of occasions you participated):

New media can be especially effective in transforming local cultures as well as global ones. Faculty research in this area can be distinguished from traditional academic "service" by its innovative, activist, or performative character.

### C. Service to Profession (please list)

1. Committees, panels, officers in organizations, etc.:

2. Journal Editorships:

3. Number of manuscripts reviewed (please indicate journal/publisher names with corresponding number of reviews):

4. Number of proposals reviewed (list agency or publisher):

5. Other service to Profession (e.g. letter of support for tenure review):

**SPECIAL RECOGNITION/AWARDS/HONORS RECEIVED** (List, comment, identify, if on or off campus):

A. Press

Given the limitations of publishing new media research in academic journals, recognition from the press in the form of articles or interviews about a researcher's work can be a valuable indicator of influence.

1. Print and broadcast press

This category includes outside sources such as general-interest newspapers, radio or TV spots, and specialized journals or magazines.

2. Electronic press

This category includes articles in online journals as well as blogs.

3. Campus press

B. Citations

Only general citations go here; citations to document the relevance and achievement of specific projects should accompany the entries on that research above.

1. Print citations

Although they are not as timely as electronic citations, citations in books on new media can suggest a measure of a researcher's influence and relevance to the field.

2. Electronic citations

One measure of influence in academia can be suggested by citations in other university syllabi.

C. Awards

**FULL-TIME INITIAL APPOINTMENT - TENURE TRACK**

A) Normally all new faculty appointed to tenure track positions will possess an earned terminal degree, Master's or Doctorate, appropriate to their areas of teaching and creative activity.

B) In truly exceptional cases of recognized achievement in the area of specialization, an appointment without such a terminal degree may be recommended.

## **CRITERIA BY RANK FOR PROMOTION AND TENURE**

A) Instructor - Instructor is the rank available for qualified non-tenure track faculty. Normally, the instructor will hold a Master's or the terminal degree appropriate to his or her teaching assignments.

B) Assistant Professor - The rank of Assistant Professor presumes that the individual possesses the potential to successfully achieve promotion and tenure according to the New Media Program criteria. Ordinarily the appointee should have the terminal degree appropriate to his or her area of responsibility. A faculty member at the rank of Assistant Professor is expected to demonstrate sustained activity in the areas of teaching, advising, creative/research activity and service throughout the probationary period.

C) Associate Professor - The candidate must have demonstrated significant achievement in the areas of teaching, advising, scholarship/creative activity and service, which includes active efforts to recruit and retain quality students. They must show promise of continuing development, and should have established productive professional working relationships with their peers. A person appointed at the rank of Associate Professor without tenure will be evaluated for tenure on the basis of the criteria for promotion to Associate Professor.

D) Professor - The faculty member must have demonstrated exceptionally high achievement within the New Media Program criteria for faculty. In addition to the expectations of an Associate Professor, a full Professor will have established:

- 1) a sustained and unequivocal record of excellence in teaching and advising, including work with advanced students;
- 2) a sustained and distinguished record of creative activity/scholarship;
- 3) a reputation as a leader in advancing new media's contributions to the public, the community, or the university. Promotion to Professor will be enhanced by exceptionally high quality contributions to public/community service;
- 4) a reputation among his or her peers that extends beyond the boundaries of the state.

A person appointed at the rank of Professor without tenure will be evaluated for tenure on the basis of the criteria for promotion to Professor.

## **PEER COMMITTEE COMPOSITION**

Peer Committees shall be composed of tenured members of the university of Maine Faculty. The committee must be comprised of a minimum of three faculty members (One chair and two members) although it may include a larger number as appropriate to the faculty member. Whenever possible the committee shall include at least one member of the New Media department, as well as other members drawn from across campus as appropriate to the research specialization of the faculty member. At all levels of review Peer committee members must hold the rank being reviewed to be included as a member of the committee.

## **POST-TENURE REVIEW**

The post-tenure review process will follow the criteria previously outlined according to rank. The frequency of review is governed by the active AFUM/UMaine contract.

**University of Maine  
School of Nursing  
College of Natural Sciences, Forestry & Agriculture**

**PEER REVIEW CRITERIA**

**I. Introduction**

**A. Background**

The purpose of this document is to articulate the goals of the Peer Review Committee through description of the Peer Review process, within the context of the School of Nursing and the University of Maine. The Peer Review Committee (hereinafter referred to as the PRC) seeks to provide a sound educational environment in the School of Nursing through appointment of faculty who carry out the mission of the School of Nursing and the University of Maine. The ranks of non-tenure track faculty Instructor, and tenure track Assistant Professor, Associate Professor, and Professor are described, with criteria for evaluation at each rank.

Because nursing is a professional practice as well as a scholarly discipline, faculty skills and responsibilities differ from those that may be required in other departments. Boyer (1990) has suggested that academics move toward viewing teaching, scholarship, and research as integrated activities. He defines scholarship in terms of four functions: teaching, discovery, application, and integration. This definition is supported by the American Association of Colleges of Nursing (AACN, 1999), and the Commission on Collegiate Nursing Education, the accrediting body for the University of Maine School of Nursing. We believe that the four functions described by Boyer are necessary functions for an academically sound and robust program, and that individuals within the School of Nursing may serve different roles, with quite different emphasis on each of the four functions. The faculty of the School of Nursing concurs with this broader definition of scholarship as a basis for its promotion and tenure criteria. Leadership and clinical practice may be key elements in judging the value of a faculty member's scholarly contributions to the mission of the School.

Professional activity of faculty occurs in several equally valued domains—teaching, service and scholarship. All should be evaluated within the School, the discipline, and broader national academic context. The balance of professional responsibilities will vary according to the faculty assignment and the individual.

Professional schools are the primary source of leadership for the profession of nursing. Directors and faculty of schools of nursing maintain the integrity of the profession by leading and participating in the continuing development of standards of practice, standards and means for education and regulation, and close attention to ethical codes which are affected by changing technology, new practice, policy, and research. These responsibilities may be carried out via faculty leadership in state and national organizations as well as other formal and informal venues. Leadership may also be demonstrated within the academic environment, from the School of Nursing to the broader University community.

State licensure to the School of Nursing gives authority to the faculty to educate students who, upon completion of the program requirements, will be eligible to take the national licensing/certification examinations. The teaching, discovery, application, and integration functions described by Boyer (1990) may be directly enabled by competence in clinical practice, which is one of the criteria necessary for schools of nursing to be licensed. Because of the emphasis on practice in the discipline of nursing, there is a stronger role for nursing faculty members that is external to the academic setting.

Nursing faculties recognize, appreciate, and encourage diversity of talent as a necessity for creating a balance that will ensure a program that is responsive to professional norms. The development of strong faculty is seen as a process that takes place within a dynamic system. With that understanding, the definition of each rank is intentionally broad. More precise criteria follow, including examples that may be used to describe the faculty member at that rank.

#### B. Process: Faculty Reappointment, Promotion, and Tenure

Faculty members are reviewed on a rotating basis in accordance with the provisions of the University of Maine System and the Associated Faculties of the University of the University of Maine System contract—annually for non-tenured faculty and every four years for tenured associate and full professors.

New faculty will be invited to an informational meeting hosted by the Peer Committee in early fall, outlining the review process. Sample review dossiers will be shown to give new faculty a sense of how to organize materials, and questions about tenure and promotion will be answered.

The first reappointment review for new faculty takes place in accord with deadlines appearing on the Human Resources website, updated annually (see Appendix B). New faculty submits a vita, their summary document, and teaching evaluations from fall if available.

The second review for new faculty takes place during their second year at the University of Maine, following the same format as in the first year. The review materials should fit easily into a small binder or folio. The Peer Committee will also check the written comments in the personnel file, and ask for additional review materials if needed.

A major review of tenure track faculty takes place during the spring of the third year. This evaluation will be comprehensive—the “pre-tenure” evaluation. The expectation is that this review would give the candidate a clear sense if she or he appears to be meeting the requirements for eventual tenure and promotion in the School. If the third year review is satisfactory, the candidate will be released from six credits of teaching at some point during the following year (either one course per semester, or two courses during one semester, to be negotiated with College administration). The purpose of this release is to prepare for the application for promotion and tenure. After the third year review, the written recommendation from the Peer Committee will be detailed, comparable to the letter written during a promotion and tenure

review. The candidate will also have a meeting with the dean after the pre-tenure evaluation, to discuss progress and performance to date.

In the fourth and fifth years, tenure-track candidates will undergo additional reviews, submitting their summary documents and teaching evaluations. Late in the spring semester of each year, third year faculty and beyond are reviewed. Likewise, tenured associate and full professors will be reviewed in the late spring, every four years.

A great deal of information pertaining to regulation by AFUM and the process for faculty reappointment, promotion, and tenure can be found on the Website for Human Resources: [hrweb@umit.maine.edu](mailto:hrweb@umit.maine.edu). Selected portions from that website that are of more general interest have been included in this document as Appendix B. Candidates for reappointment, promotion, and tenure are strongly encouraged to visit the website at least annually, for updated procedures as well as current deadlines. Faculty who are being reviewed by the PRC who were appointed under previous criteria may ask to be evaluated under the criteria used at the time of the previous appointment. They may also opt to be evaluated by the newer criteria, if they wish.

Application for tenure, without promotion: in the event that the Peer Review Committee deems it appropriate for a faculty member to seek tenure without promotion (for example, in the case of a faculty member hired as associate professor without tenure who seeks tenure at that rank), the Peer Committee will justify that recommendation in the letter to the Director.

Application for early tenure: in the event that the Peer Review Committee deems it appropriate for a faculty member to seek early promotion and tenure, the Peer Committee will justify that recommendation in the letter to the Director.

### C. Purpose, function, composition of the Peer Review Committee (PRC).

According to the Bylaws of the School of Nursing, the Peer Review Committee is a standing committee. An excerpt from the Bylaws of the School of Nursing that pertains to the purpose, function and composition of the PRC is included in this document as Appendix A.

### II. Faculty Rank(s) considered by the Peer Review Committee.

The review process for the following ranks of appointment takes place under the purview of the PRC. Specific criteria for each rank in the areas of teaching, scholarship, and service, are in section III of this document and labeled accordingly.

#### A. Non-Tenure Track Faculty Lecturer

This rank is open to individuals who are employed in a nontenure track faculty position. Peer review criteria for this position include demonstrated clinical proficiency in nursing and success as an educator of nursing students. Teaching and service criteria are addressed at this rank. Nontenure track faculty positions include no requirement for scholarship; however, nontenure track faculty who wish to include such information may certainly do so.

## B. Assistant Professor

This rank is open to individuals who have completed a doctoral degree or are doctoral candidates. Appointment to the rank of assistant professor assumes that the individual possesses potential which, when developed further, will merit promotion in rank or the granting of tenure. The Assistant Professor will have progressed beyond the level of clinical proficiency and teaching success at the rank of instructor. The Assistant Professor is developing an area of expertise and is successful in meeting the mission of the School of Nursing.

Appointment or promotion to the rank of assistant professor may also be possible for individuals in a pre-tenure position who are in the early stages of doctoral education. Except in unusual cases, the assistant professor, whose duties include teaching upper division courses, should have the highest earned degree traditional to the discipline or should have made substantial progress toward its attainment. The initial appointment of an assistant professor from outside the University is for one year. Reappointment may be for a one or two-year term, repeatable providing the probationary period, including any credit for prior service, does not exceed seven years. Tenure will not ordinarily be granted at the assistant professor level.

## C. Associate Professor

This rank is open to individuals who have completed a doctoral degree. An exception may exist in the case of a faculty member who was awarded promotion and tenure prior to the adoption of these criteria (2006). The Associate Professor is distinguished by steady progress in achieving excellence as a faculty member in the role that has been developed for that person to meet the mission of the School of Nursing. Progress may be demonstrated through research, publication, and dissemination of knowledge critical to the discipline, clinical excellence, and/or teaching achievement. The associate professor shall normally hold the highest earned degree traditional to the discipline or have professional experience of an equivalent nature.

## D. Professor

This rank is open to individuals who have attained a record of academic accomplishment comparable to outstanding nurse educators, nurse scholars, or nurse leaders and practitioners within this and/or other land grant universities. Candidates for full professor have a stable record of contributions to the mission of the School of Nursing, and are active as leaders in the profession. The Professor demonstrates the functions of teaching, discovery, application, and integration.

## E. Graduate Faculty

The Peer Review criteria for the University of Maine School of Nursing also address the specific criteria necessary for qualification to serve in each of the four functional categories of Graduate Faculty membership: Full Graduate Faculty, Associate Graduate Faculty, External Graduate



Faculty, or Graduate Instructor. Article III of the Graduate Faculty Constitution is appended for a full description of these categories (Appendix C). School of Nursing criteria for appointment at each level follow.

1. Full Graduate Faculty: Full members of the Graduate Faculty must hold formal faculty appointments at the University of Maine or must be a full member of an established, multi-institutional graduate faculty group. Full members of the Graduate Faculty who possess doctoral degrees may serve on University of Maine master's and doctoral committees, either as the chair or as a committee member. A full member of the Graduate Faculty possessing a master's degree may not chair a doctoral committee, but on the recommendation of the unit graduate committee and with the permission of the Graduate School, may serve as a member of a doctoral committee, if the individual possesses a specific area of expertise essential to the makeup of the committee. Full members of the Graduate Faculty may also advise graduate students in non-thesis programs.

Although it is expected that Full members of the Graduate Faculty shall possess the highest level of achievement in scholarship, graduate teaching, and public service, this appointment is reserved for those who are actively engaged in research and/or knowledge development as demonstrated through dissemination of findings, e.g. publication of at least one article in the previous 5 years.

2. Associate Graduate Faculty: Members of the Associate Graduate Faculty are individuals at the University of Maine, who do not meet all the criteria for appointment as Full Graduate Faculty but who have significant qualifications for graduate instruction. Associate members of the Graduate Faculty possess all the privileges of Full Graduate Faculty members with the exception of chairing student committees, although Associate members may serve as co-chairs of committees. Associate members of the Graduate Faculty who do not hold doctoral degrees may serve on doctoral committees only on the recommendation of the School of Nursing Graduate Committee and with the permission of the Graduate School.
3. External Graduate Faculty: Members of the External Graduate Faculty are individuals who do not hold appointments at the University of Maine. External members of the Graduate Faculty possess all the privileges of Full Graduate Faculty members with the exception of chairing student committees, although External members may serve as co-chairs of committees. External members of the Graduate Faculty who do not hold doctoral degrees may serve on doctoral committees only with permission of the Graduate School.

Individuals who qualify for External Graduate Faculty status but who were previously appointed as Associate Graduate Faculty shall be automatically reappointed as External Graduate Faculty for the duration of their current appointments. Thereafter, such individuals shall be eligible for reappointment as External Graduate Faculty.

Associate Graduate Faculty who qualifies for Full Graduate Faculty status as full members of an established graduate faculty group shall be automatically reappointed as Full Graduate Faculty for the duration of their current appointments. Thereafter, such individuals shall be eligible for reappointment as Full Graduate Faculty.

4. Graduate Instructor: Must have earned at least a master's degree. Graduate instructors may teach graduate-level (500 and 600) courses but may not advise graduate students, or serve on graduate student committees.
5. Ex officio members: The CAO of the Graduate School may appoint appropriate persons holding administrative positions as ex officio Graduate Faculty members. The Graduate School's administrative leadership and all department chairpersons and graduate coordinators shall be ex officio members unless holding a different category of graduate faculty appointment.

### III. GUIDELINES FOR EVALUATING TEACHING, SCHOLARSHIP AND SERVICE

The Guidelines and Criteria for Evaluating Teaching, Scholarship, and Service are not intended to be exhaustive regarding the ways in which faculty may demonstrate development, quality, and achievement. Every candidate or faculty appointment, reappointment, and/or promotion is reviewed in the context of the academic position. The criteria are intended to provide broad guidelines to evaluate faculty members' contributions to the tripartite mission of the University. The faculty of the School of Nursing have incorporated the work of Boyer (1990) in formulating these criteria, integrating teaching, discovery, application, and integration into the language at each rank.

#### A. Teaching.

A major responsibility for faculty in the School of Nursing is teaching, which may include classroom, clinical, laboratory, and continuing education settings. The quality of teaching is determined through evaluation of the candidate's command of an area and his/her ability to convey knowledge. The standard is excellence. The PRC considers that evaluation of teaching is reflected in peer and student evaluations as well as in the candidate's description and documentation of teaching. Faculty preparing review documents are asked to include the following supporting materials for teaching:

- a. Narrative summary reflecting on your teaching from the last review period
- b. List of courses taught by semester
- c. Current course syllabi
- d. Computer printouts of student evaluations for each course
- e. Summary of computer printout in both chart form and as a written narrative, including the number of students per course (include item #13 and #22, and at least three other items in the summary)
- f. A sample of written comments from signed student evaluations
- g. Documentation of second form of evaluation for each course (e.g. narrative by students, mid-semester evaluation, observation by other faculty)

#### **Guidelines for Evaluating Teaching (by rank)**

The criteria for evaluating teaching vary with the career stage of each faculty member. The peer review committee may request that a candidate for tenure be evaluated in the classroom by a tenured faculty. In this case the candidate for tenure may select the tenured faculty for the classroom visit/s. The faculty who made the classroom visit/s will be expected to write a report of the classroom visit/s to be placed in the candidates tenure file. Online courses will be evaluated in an appropriate manner.

1. Nontenure track faculty will:
  - a. Convey knowledge of the subject areas inclusive of current literature.
  - b. Teach and update course content using effective methods, as appropriate to the teaching assignment.
  - c. Work effectively as a team member with faculty and other instructors.
  - d. Attend course orientations, course coordinator meetings, and regular faculty meetings.
  - e. Select appropriate student assignments within the educational setting.
  - f. Create appropriate student assessment activities or exam items.
  - g. Maintain effective communication with the program coordinator and/or course coordinator.
  - h. Advise students at the undergraduate level demonstrating knowledge of curriculum requirements and university resources.
  - i. Demonstrate respect for students in the teaching-learning relationship and serve as student advocate as appropriate.
  - j. Serve as a role model of professionalism for students.
  - k. Maintain professional competence
  - l. Engage students effectively in the educational setting.
  - m. Collaborate with students, colleagues, and patients/clients/families.
  
2. Faculty at the rank of Assistant Professor will demonstrate a higher level of teaching effectiveness through the addition of some although not necessarily all of the following:
  - a. Convey knowledge of the subject area inclusive of classic literature
  - b. Design, teach, and evaluate learning of course content using appropriate educational methods
  - c. Develop course syllabi that reflect currency in topics
  - d. Coordinate course, didactic, and/or lab for effective learning
  - e. Supervise adjunct faculty
  - f. Advise students at the graduate level, demonstrating knowledge of curriculum requirements and university resources as needed.
  - g. Coordinate and collaborate with clinical agencies
  - h. Apply creative teaching strategies
  
3. Faculty at the rank of Associate Professor will demonstrate a higher level of teaching effectiveness through the addition of some although not necessarily all of the following:
  - a. Mastery of the subject area in depth and breadth
  - b. Success as an educator in the implementation of a variety of teaching strategies
  - c. Participation, as appropriate, in course development, administration, evaluation, and curriculum planning.

- d. Integration of theory and practice
  - e. Evaluation of cognitive, affective, and psychomotor learning
  - f. Engagement of students outside the classroom in scholarly endeavors that encourage critical thinking, higher order reasoning, and problem solving
  - g. Mentorship of junior faculty in the academic role
  - h. Conduct of classroom or instructional data analysis on regular or special educational instructional strategies or curricula
4. Faculty at the rank of Professor will demonstrate a higher level of excellence in teaching through the addition of some although not necessarily all of the following:
- a. Mentorship of other faculty members
  - b. Evaluation of colleagues' teaching
  - c. Expertise in a variety of teaching modes
  - d. Development of theory and/or curriculum innovation
  - e. Advancement of the discipline of nursing through leadership in education
  - f. Recognition as an expert in a subject area

## **B. Scholarship**

The quality of scholarship is determined through appraisal of the candidate's involvement in the investigation of knowledge. This may be knowledge within the domain of the discipline of nursing as well as knowledge relevant to nursing which is outside the discipline, including but not limited to physiological, psychological, spiritual, philosophical, sociological, historical, organizational, or epidemiological phenomena. Scholarship is also demonstrated by involvement in developing standards for education, practice, and regulation. The PRC is responsible for evaluating both the significance and the quality of work. Opinions of experts outside the School of Nursing are valued in the peer review process. Scholarship may include roles in leadership and clinical practice, consistent with the mission of the School of Nursing.

### **Guidelines for Evaluating Scholarship**

Evidence of excellence includes, for example, the preparation and submission of training, equipment, and/or research grants; participation in ongoing research as a principle investigator, member of a research team, advisor or consultant; supervision of graduate scholarly projects or theses, or significant curriculum revision in response to the demands of the practice and changing health care systems. Further evidence of excellence in scholarship includes development and/or refinement of concepts, theories, and paradigms relevant for nursing. Evidence includes presentation and/or publication of research and scholarly work, as well as application of such scholarship to improve education and/or health care. Faculty preparing review documents are asked to include the following supporting materials for scholarship, as appropriate:

- a. Narrative summary describing scholarship
- b. List of all manuscripts for that review time period; indicate the status of each (i.e.

- published, accepted, sent, in progress)
  - c. Copies of all manuscripts in progress and those published since the last review, with narrative explanation
  - d. Brief description of your current fields of scholarly work
  - e. List of refereed presentations, indicating the name and level (local, state, etc.) of the sponsoring organization and including an abstract where possible
  - f. List of professional organization memberships and activities, including office held and committee memberships
  - g. List of national/regional meetings attended and sessions chaired
  - h. List of service in reviewing papers submitted for publication, grant proposals, and or service as a member of a review panel
  - i. Documentation of research/training grants
  - j. List of media and/or technological innovation(s)
1. Faculty at the rank of Assistant Professor will demonstrate some although not necessarily all of the following:
    - a. Utilization of research in practice
    - b. Dissemination of research findings within the classroom setting
    - c. Invitation as a guest lecturer
    - d. Command of literature in an area of study
    - e. Development of a plan for the accomplishment of scholarly work
    - f. Development in an area of scholarly work through involvement in research
    - g. Development of new research based on previous findings
    - h. Dissemination of research findings through presentation at professional meetings
  2. Faculty at the rank of Associate Professor will demonstrate a higher level of professional scholarship through the addition of some although not necessarily all of the following:
    - a. Publication in non-refereed journals
    - b. Publication in refereed venues
    - c. Presentation of scholarly work or creative achievement in a professional venue
    - d. Mastery of literature in an area of study
    - e. Demonstration of expertise in one's field
    - f. Supervision of graduate theses and/or scholarly projects.
    - g. Participation on doctoral committees
    - h. Creation of curricula to reflect and transform the evolving health care system
    - i. Participation in the development of health care policy and other regulation affecting the profession
    - j. Analyses of research with application to nursing education
    - k. Reviewer or editor of professional journal

- l. Honoree or recipient of award for professional distinction
  - m. Revision of curricula based on knowledge development
  - n. Development and analysis of concepts
  - o. Advancement of nursing theory
  - p. Grant-writing
  - q. Management of ongoing research
  - r. Participation in developing standards for nursing education and practice
3. Faculty at the rank of Professor will demonstrate a higher level of professional scholarship through the addition of some although not necessarily all of the following:
- a. Recognition as an expert in one's field
  - b. Dissemination of scholarly work at national/international levels
  - c. Leadership on doctoral committees
  - d. Leadership in the area of regulation of health care policy and/or regulation of the profession
  - e. Providing mentoring and guidance to the profession, through educational leadership
  - f. Citation rate of published work
  - g. Leadership in developing standards for nursing education and practice
  - h. Leadership in the promotion of scholarship in nursing education or practice

### **C. Service**

Commitment to service includes engagement in the health of the people of Maine, reflecting a distinct feature of the Land Grant Mission of the University of Maine. As the largest professional school in the Flagship campus, the School of Nursing is dedicated to helping to create an educated and engaged nursing workforce, making better health care accessible to the citizens of Maine. Since the University of Maine is a land-grant institution, the faculty as a whole must respond to requests for service when they arise and should develop appropriate public service activities, as they perceive a need for them.

Professional service as described by Elman and Smock (1985) includes three categories of activities. The first is service rendered to professional associations and organizations, such as service on committees or as an officer of a professional society. This type of service is within the faculty member's discipline, and therefore, clearly merits university support and recognition.

The second category is consulting, or those professional services for which the faculty member is compensated at the "market" rate. Consulting is viewed as employment in which faculty engage for extra compensation. It is additional work that is conducted by faculty, over and above the work required to fulfill the faculty member's responsibility to the University. Consulting enhances the visibility of the faculty member and the University, and is acknowledged for its contribution to the mission of the University.

The third category of professional service includes the professional services that faculty perform for no fee, a minimal fee, or on a cost-recovery only basis, i.e. public service. Such service takes a variety of forms, ranging from conducting workshops and in-service nursing education, to providing expert advice and counsel to individuals and agencies. Faculty are expected to make themselves actively available for service activities (paid and unpaid) and to carry such activities through with diligence and according to the highest ethical and professional standard.

A fourth and final category of service has been added for the discipline of nursing, i.e. service to the community as an expert nurse. Expertise in practice is often indicated by certification in a specialty area in nursing. Certification may depend upon a minimum number of practice hours. Service to the community as an expert in one's field, whether for compensation or not, brings a broader dimension of practice expertise to teaching and scholarship. Thus, maintenance of professional certification and continuation of practice are not only indicators of service, but venues for achieving excellence in teaching and scholarship. Faculty in the clinical setting influence practice and policy by sharing their expertise with health care practitioners and administrators.

1. Faculty at the rank of Assistant Professor will demonstrate:
  - a. Participation in School of Nursing committee(s)
  - b. Participation in local or state professional organizations
  - c. Participation in health related community activities
  
2. Faculty at the rank of Associate Professor will demonstrate a higher level of professional service through the addition of some although not necessarily all of the following:
  - a. Leadership in School of Nursing committees
  - b. Participation in University and/or College committees
  - c. Leadership in local professional organizations
  - d. Involvement in the community that integrates scholarship and service
  - e. Participation in activities promoting health care at local, regional or state levels
  - f. Membership in professional organizations at the national level
  - g. Leadership in health related community activities
  - h. Invited juror for a professional activity
  
3. Faculty at the rank of Professor will demonstrate a higher level of professional service through the addition of some although not necessarily all of the following:
  - a. Leadership in College or University Committees
  - b. Leadership in national professional organizations, e.g. member or leader of an accreditation team
  - c. Acknowledgment as an expert within an area of scholarship that results in



- service (e.g. testimony as an expert witness)
- d. Leadership in creating ways to increase access to health care through education, outreach, or service
  - e. Leadership in the development of programs that increase opportunities for mentorship, excellence in nursing, or engagement with broader communities
  - f. Innovative integration of teaching, scholarship and service.
  - g. Advisement related to health policy at state, national, or international levels
  - h. Recipient of state or national leadership or service award
  - i. Consultation and/or expert testimony that affects the legislative and regulatory process
  - j. Reappointment or reelection to a leadership position at the state or national level

Revised Summer 06

**Appendix A  
Excerpt from Bylaws  
University of Maine School of Nursing**

**Peer Review Committee**

**A. Purpose:**

To provide a comprehensive evaluation of Faculty performance in the areas of teaching, scholarship, and public service within the context of the University of Maine and School of Nursing criteria. The resultant recommendations furnish a foundation for administrative decisions regarding review, reappointment, promotion, tenure, and merit salary increases.

**B. Function:**

1. To provide Faculty with a focus toward successful fulfillment of the criteria for reappointment, promotion, and tenure, and for continued development in the Faculty role.
2. To offer Faculty support and guidance in the preparation of materials for submission to the Committee, and in the revision of materials which will be forwarded to the Director and others in the University of Maine Faculty evaluation process.
3. To formulate, based on the School of Nursing tenure and promotion criteria, recommendations for Faculty members being considered for internal review, reappointment, promotion, and tenure.
4. To formulate recommendations for discretionary salary increases according to criteria established by the Dean.

**C. Composition:**

1. The Committee is composed of five (5) full-time Faculty members.
2. The majority of the five slots are reserved for Tenured Faculty
3. Committee members are elected for two (2) years terms.
4. All members of the committee and Faculty who participate in the election of committee members are members of the bargaining unit represented by the Associated Faculties of the University of Maine.

- 5. Committee members are elected in the spring. A Chairperson is elected by Committee members after the Committee is selected.**
- 6. Faculty who are not members of the Committee may submit to the Committee written materials regarding a candidate scheduled for review. These materials must be submitted one week prior to the scheduled review to the candidate and Chairperson of the Committee. This written commentary is presented to the Committee for consideration; it is not entered in the candidate's personnel file.**
- 7. Faculty who are not members of the Committee may attend Committee meetings, and participate when recognized by the chairperson.**

**Appendix B: Reappointment/Non-Reappointment of AFUM Unit Faculty**  
Excerpts from Human Resources website: [hrweb@umit.maine.edu](mailto:hrweb@umit.maine.edu)

**A. Faculty Reappointment Cycle**

Guidelines for the reappointment/non-reappointment of AFUM unit faculty are available at <http://www.umaine.edu/hr/relations/faculty/appoint.html>. These guidelines include the contractual and administrative deadlines for official notice of unit faculty who do not hold tenure or continuing contracts as well as other procedures provided by the collective bargaining agreement.

Faculty should be evaluated **prior** to consideration for reappointment. The faculty member must have an opportunity to meet with the committee, upon request, and must also have a one week period in which to submit a written response to the Committee's recommendation. The faculty member's response must then go forward with the peer committee's recommendation to the next step. The agreement defines the limited circumstances under which additional material may be added to the recommendation packet. Recommendations for reappointment at each administrative step should indicate that a copy was sent to the faculty member **and** a copy placed in the faculty member's official personnel file.

**B. Faculty Reappointment Cycle General Information**

The AFUM agreement bases the reappointment cycle (notice of reappointment/non-reappointment) on the years of service in a **probationary** (tenure track or continuing contract eligible) appointment. The reappointment cycle for soft money faculty or instructors/lecturers with on-going (non fixed-length) appointments is based on the number of years of **regular** University service unless otherwise noted in the faculty member's personnel file.

*How long may a department recommend for a reappointment term?*

- Following the first year, based on performance, tenure track/continuing contract eligible faculty may be reappointed for a one year term. Second or third and subsequent year faculty may be reappointed for a one or two year term; however, the reappointment of a 2nd or 3rd and subsequent year faculty member, which is not for a terminal year, will guarantee employment for a year beyond the stated term.
- First year faculty are not normally reappointed for terms greater than one year.
- Ongoing lecturers/instructors may be reappointed for up to three years.
- Soft money faculty may be reappointed for a duration which extends beyond the time for which funding is currently available. The recommendation should clearly distinguish between the term of the reappointment and the duration of funding that is currently available for the position.

- Tenure track faculty should not be reappointed beyond the year of mandatory tenure/continuing contract consideration. For example, a faculty member who is to be considered for tenure/continuing contract in 2006-07 should not be reappointed beyond the end of that academic/fiscal year.
- The recommendation concerning reappointment should be to reappoint for a specific term or to reappoint for a terminal year. The recommendation is for the coming year, beginning July 1 or September 1, although reappointment of 2nd or 3rd and subsequent year faculty, which is not for a terminal year, will also guarantee employment for the subsequent year.

Current information about deadline and issues specific to a particular year can be found on the Human Resources website and all faculty members are encouraged to consult updated information periodically. Faculty and Peer Committee deadlines will change yearly, so current deadlines must be confirmed with dates posted on the HR website.

### C. Peer Committee

The Chairperson (Dean or Director in units without Chairpersons) must instruct the Peer committee as to its responsibilities following the enclosed time table.

These instructions to the Peer Committee should include the following points:

- (in writing) the names of faculty who must be considered,
- the date by which the committee must make a recommendation,
- the faculty member must have an opportunity to meet with and address the committee prior to preparation of the written recommendation,
- the committee has access to the personnel file of the faculty member being considered,
- the committee should evaluate the faculty member before considering reappointment. Refer to guidelines on faculty evaluation.

No administrator to whom a Peer Committee makes recommendations can be a voting member of that committee. The Chairperson should not chair the Peer Committee, nor act as its secretary. It is, however, important that the Chairperson convene the Committee and be present during the Committee's deliberations.

All reports of the Peer Committee must be signed by all members participating in the report. The names of all Peer Committee members must be listed and a tally of the vote must be recorded.

The written Peer Committee recommendation is forwarded to the Chairperson and to the faculty member. The faculty member has an opportunity to respond, in writing, within one week of receipt of the Peer Committee recommendation by the Chairperson. (The Chairperson should make sure that the faculty member receives the Peer Committee recommendation and is aware of the right to respond to that recommendation in writing.)

Once the faculty member has had an opportunity to respond to the Peer Committee recommendation, materials may be added to the file being reviewed for reappointment consideration only in very limited circumstances. Please call Catherine Pease or John Kidder at x1-1581 if you have questions concerning additional file materials.

- D. Unit members must apply in writing in order to be considered for tenure or continuing contract prior to the sixth year of service or for promotion. Unit members who are in tenure track or continuing contract slots and are in their sixth year of service must be considered unless they indicate in writing their intent to resign at the end of the current appointment or they have been granted an extension to their probationary period by the Provost.

Chairpersons (deans or directors) may convene the Peer Committee on or before September 15 to identify unit members who should be encouraged to apply for tenure, continuing contract or promotion.

Chairpersons (dean or directors) should, as soon as possible, distribute the formats and instructions concerning the application for tenure, promotion, or continuing contract to sixth year unit members who must be considered and to other unit members who formally request consideration. These unit members should also be informed of the deadline for submission of materials to the Peer Committee.

- \*2. September 25 is the deadline for the chairperson (dean or director) to instruct the Peer Committee as to its responsibilities regarding promotion/tenure/continuing contract recommendations. The chairperson should inform the Committee in writing of the names of unit members in their sixth year of service who must be considered for tenure, of the names of other faculty members who have requested consideration for promotion/tenure/continuing contract, and of the date (November 10) by which the Committee's recommendations must be submitted.

The chairperson should also inform the Committee that the unit member must have an opportunity to meet with and address the Committee and should give the Committee access to the personnel file. If a Peer Committee has been properly instructed, failure of the committee to comply with its responsibilities is not grievable. The department chairperson should not chair the Peer Committee nor act as its secretary. The department chairperson should convene the Committee and be present during its deliberations, BUT MAY NOT BE A VOTING MEMBER OF THE COMMITTEE. ALL REPORTS OF THE PEER COMMITTEE MUST BE SIGNED BY ALL MEMBERS PARTICIPATING IN THE REPORT. THE NAMES OF ALL PEER COMMITTEE MEMBERS MUST BE LISTED AND A TALLY OF THE VOTE MUST BE RECORDED.

## **E. Procedure**

The department chairperson is responsible for convening the peer evaluation committee. The chairperson may be an observer of the deliberations of the committee evaluation. The chairperson will provide the peer committee access to the personnel file, including student evaluation results. The peer committee or the chairperson of the peer committee must meet with the faculty member who is being evaluated for a frank discussion of the faculty member=s performance, if such a meeting is requested by the faculty member. This meeting should occur before the peer committee puts its evaluation in writing. Once the evaluation is in writing, the faculty member has one week in which to comment, also in writing, if he/she so desires. The response must be attached to the evaluation and both placed in the personnel file.

## **F. Suggestions to Faculty for Preparing an Effective Application**

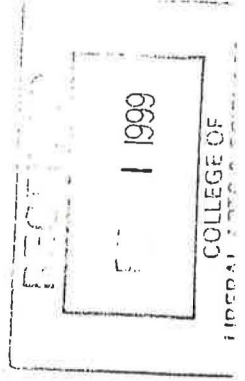
- (5) S The promotion and tenure committee has access to your personnel file. Review it to make sure it is complete and up-to-date.**
- (6) S Be concise and observe all page limits noted in the attached application format. Longer applications are NOT more impressive. Evaluators read many applications and appreciate direct, well-focused writing.**
- (7) S Check your writing for grammar and punctuation. Simple errors make a very poor impression on readers. It is good practice to lay work aside for a couple of days before final proofing.**
- (8) S Do not compare yourself to other faculty members. You are evaluated against University standards and the specific criteria in your unit 's promotion and tenure guidelines, not against other faculty members.**
- (9) S Follow the format exactly, using all the headings, even if the heading is not applicable, in which case, includes the heading and follows it with the phrase “Not Applicable”. Eliminate from the document all wording printed in Italics in the attached sample document. Wording in Italics is explanatory and not part of the format.**
- (10) S University of Maine System policy limits the period covered by documentation of achievement in the BODY of the application for tenure to the past five years. If you received prior credit toward tenure or are requesting early tenure consideration, material falling within the five year limit, even that which occurred prior to your appointment at UMaine, may be included in your document. Applications not adhering to this five year limitation will be returned to you for correction. Accomplishments prior to**

**that period may be included in an appendix. Evaluators in your unit, college, and the University of Maine's central administration will review such materials, but appendices will be removed from the application when it is forwarded to the Board of Trustees. In general, please keep appendices to a minimum.**



PROCEDURES AND CRITERIA FOR EVALUATION OF FACULTY  
**DEPARTMENT OF PHILOSOPHY**

January 29, 1999



**A. STATEMENT OF PURPOSE**

The Department of Philosophy sees two functions to be served by the evaluation of faculty: 1) to provide an ongoing record for tenure and promotion decisions and for post-tenure review; 2) to encourage self-evaluation by individual faculty members and constructive evaluation of the faculty by the department in order to improve the effectiveness of the departmental programs and services for the University and the community. In preparing evaluations to meet these objectives, the department recognizes its mission in terms of teaching, research, and service. As an undergraduate department, philosophy places a major emphasis on teaching. Each faculty member is expected to evidence a strong commitment to teaching with the need to offer a diverse set of courses that are taught according to standards of excellence. Each faculty member is also expected to be a productive scholar with this research commitment evidenced both through the quality of one's teaching and through publications and other productive scholarly activities. Finally, the department also affirms a commitment to service as evidenced within the department, the university, and, when appropriate, beyond the university community. Faculty members are expected to promote departmental goodwill through active participation in departmental affairs, sharing departmental responsibilities, and acting in ways consistent with promoting the welfare of students and other members of the university community.

**B. PROCEDURE**

All procedures will be consistent with articles of evaluation and promotion in the Agreement: University of Maine System with Associated Faculties of the University of Maine System. Procedures will be brought in line with changes in the AFUM Agreement. In addition to provisions in the AFUM Agreement, the Department of Philosophy recognizes procedures and criteria relative to its specific situation.

1. The department will conduct annual evaluations of faculty except:
  - a) those faculty whose service will cease at the end of the current academic year need not be evaluated;
  - b) any faculty member having the rank of Professor with tenure will be evaluated by the department every four (4) years, or more frequently upon written request of the faculty member;
  - c) any faculty member having the rank of Associate Professor with tenure will be evaluated by the department every two (2) years, or more frequently upon written request of the faculty member.

2. Evaluations will be scheduled to insure that promotion, tenure, continuing contract status, and reappointment schedules and/or deadlines are met.
3. At the written request of an appropriate administrator, the Peer Committee will determine whether to conduct Peer evaluations on a more frequent basis than provided for above.
4. Each member of the department to be evaluated will provide the department with a detailed report of professional activities during the preceding year together with an evaluation of his or her own performance. The purpose of such report and self-evaluation is to assess strengths and weaknesses so as to facilitate the highest quality in the faculty member's activities and of the department as a whole.
5. The Peer Committee, consisting of all tenured faculty, will meet after having read the reports and self-evaluations. The Peer Committee may request supporting documents or other material from faculty members being evaluated. The Peer Committee will carefully discuss the submitted material and any other factors relevant to the faculty evaluation.
6. The Peer Committee will then prepare a written evaluation of each faculty member being evaluated. The evaluation will be guided by concern for how a faculty member's performance relates to the department's mission of teaching, research, and service. The evaluation is primarily intended to facilitate excellence in the individual's and the department's performance.
7. The Peer Committee's evaluation will take the form of a written statement added to the individual faculty member's report. For one week before the evaluation is placed in the faculty member's official personnel file, she or he will have the opportunity to supply written comments which will be attached to the Peer Committee's evaluation.
8. The chairperson will add an independent statement which will be appended to the Peer Committee's report. The individual faculty member will have the opportunity to respond in writing to the chair's assessment within five (5) working days of receipt of the chairperson's letter.
9. The Peer Committee's evaluation and the chairperson's statement, along with the faculty member's written response if any, will be placed in the faculty member's personnel file.
10. As mandated by the Board of Trustees, the chairperson will conduct an annual administrative review of every faculty member.

### C. GENERAL EXPECTATIONS FOR FACULTY RANKS

1. Assistant Professor: A person having the rank of Assistant Professor will have normally attained a Ph.D. in philosophy; placed a high priority on teaching, developing a repertoire of courses in terms of both her or his areas of specialization and the overall needs of the department; shown evidence of high quality in teaching or clear progress toward such quality;

shown evidence of high quality in fulfilling his or her advising responsibilities; developed areas of research specialization, demonstrated promise of scholarly achievement, and begun to become a productive contributor in areas of his or her own research through publications and other scholarly activities; and undertaken her or his share of department responsibilities and shown evidence of a commitment to service activities. Typically, an Assistant Professor will be expected to publish about one scholarly article per year before receiving tenure. Since this is not a rigid, quantitative criterion, there is need for considerable flexibility. An example of such flexibility is the publication of a book or of refereed articles of exceptional quality which may lower the number of publications required for tenure.

2. Associate Professor: A person having the rank of Associate Professor will have normally achieved a repertoire of courses and demonstrated a dedication to and a high level of achievement in teaching; shown flexibility in developing new areas of teaching competence when appropriate to departmental needs; shown evidence of continuing high quality efforts in advising of students; become a productive scholar in his or her chosen areas of research, in terms both of publications and of ongoing growth as a scholar through research projects and scholarly activities; and made important service contributions to the department, the University, and, when appropriate, the community.
3. Professor: A person having the rank of (Full) Professor will have sustained and developed all of the expectations listed for an Associate Professor with regard to teaching, advising, research, and service. For a faculty member to be promoted from Associate Professor to Full Professor, he or she must demonstrate significant scholarly contributions made since achieving the rank of Associate Professor. The rank of Full Professor will be awarded only as a result of evidence of professional distinction and significant contribution to the Department, University, and field of philosophy. The Full Professor must have demonstrated scholarship of an exceptionally high order and a national and/or international reputation in her or his areas of specialization as assessed by departmental and outside evaluators.
4. Post-tenure Review: Tenured Associate and Full Professors are subject to Peer Reviews at two and four year intervals respectively, and they are expected to show evidence of active productive engagement in research, teaching, and service. Standards used for promotion will be continued into the post-tenure period. In general, the review criteria used for promotion to Full Professor are the same criteria used for post-tenure review of Full Professors. At the same time, there will be some flexibility in redefining expectations and criteria of productivity for tenured Full Professors in terms of significant career changes, such as retooling and new directions in teaching or research projects, and in

maximizing the specific productive capacities of individual faculty members.

#### D. CRITERIA FOR EVALUATION

Under the terms of the Union contract, the Peer Committee is responsible for evaluating all faculty and for recommending faculty members for reappointment, promotion, and tenure. In applying criteria for faculty evaluation, the department recognizes the need for considerable flexibility. Criteria must be applied consistent with the different expectations for the different faculty ranks listed above. In addition, while recognizing the overall importance of teaching, research, and service in the department's mission, there must be flexibility in evaluating the mixture of specific components in an individual faculty member's performance. For example, a faculty member who is a remarkably dedicated, creative, and effective teacher will still be expected to be a productive scholar and share in the service commitments of the department, but teaching may count relatively more in this faculty member's overall evaluation. Similarly, a faculty member who is an outstanding researcher with impressive publications will still be expected to be an effective teacher and to fulfill service functions, but research may count relatively more in this faculty member's overall evaluation.

In making evaluations of both tenure-track and tenured faculty members, the Peer Committee will consider the following factors

1. Teaching
  - a. The individual's self-evaluations
  - b. Previous Peer Committee and chairperson evaluations
  - c. Student evaluations from all courses taught every semester
  - d. Observation of teaching by faculty colleagues. This is optional but is strongly recommended for untenured faculty. It is also recommended for tenured faculty who may desire feedback on their teaching.
  - e. Unsolicited letters from students, other faculty, and others. Signed commendations or complaints become part of the faculty member's personnel file. The department chairperson must supply the faculty member with a copy of such a document. The faculty member may respond in writing to any such document, and the written response also becomes part of the personnel file.
  - f. Written evaluations that may be solicited by the department from selected students and others
  - g. Content, structure, and enrollment of courses
  - h. Willingness to be flexible in meeting the department's overall teaching needs
  - i. Other evidence of effective or ineffective teaching: awards or other recognition of outstanding teaching; extent and effectiveness of student contact outside the classroom; how courses relate to other courses within the department in enhancing the department's

curriculum objectives; how courses relate to other courses within the University as a whole in enhancing the department's presence on campus.

- j. The faculty member's self-evaluation of advising activities and initiatives for philosophy majors and undeclared advisees, and other evidence, such as a College-wide advising evaluation process, of effective or ineffective advising. Criteria for evaluating advisors will include whether advisors are knowledgeable or willing to find information about academic requirements or other information needed by advisees; whether advisors are reasonably available during office hours and other mutually agreed upon times for appointments; and whether advisors maintain caring attitudes and open channels of communication with advisees. Advisors are encouraged to use First Class e-mail and other means so that advisees feel welcome to seek help when they need it. Advisors are encouraged to attend advising workshops, especially when there is a need for greater knowledge and for different approaches to advising in order to improve their advising activities.

## 2. Research

- a. The individual's self-evaluations
- b. Previous Peer Committee and chairperson evaluations
- c. Publications of books, articles, and reviews. Highest priority is placed on refereed publications within the field. "Refereed" means that such a contribution has been evaluated positively and recommended for publication by one or more experts in the field.
- d. Editorial work for a scholarly journal or press
- e. Formal papers delivered at professional meetings. These will include refereed papers, invited presentations, and participation on scholarly panels.
- f. External grants designed to elicit support for scholarly research or for curricular development
- g. Professional contributions to national, regional, or local associations, such as chairing panels, acting as a respondent at conferences, or serving as an officer in such an association
- h. Professional meetings attended
- i. The Peer Committee may include in its evaluations of scholarship works submitted for publication and/or grant proposals submitted but not funded.
- j. Other evidence of scholarly growth

## 3. Service

- a. The individual's self-evaluations
- b. Previous Peer Committee and chairperson evaluations
- c. The following service criteria may be divided into 1) "applied scholarship" or "outreach" (as when using one's philosophical training in giving talks, writing articles, and providing consultation

- for a nonphilosophical audience or community) or 2) other activities not involving specific philosophical training (such as serving on various university and community committees and projects).
- d. Contributions to departmental governance, planning, and programs through committee work and by taking on specific tasks
  - e. Contributions to college and university governance, planning, and programs through committee work and by taking on specific tasks
  - f. Serving as faculty advisor and participating in student or other university organizations
  - g. Community service related to one's academic interests. This may take local, regional, national, and international forms.
  - h. Exceptional service for which one does not receive released time from teaching may also be recognized

## **Criteria for the Evaluation and Promotion of the Faculty Department of Physics and Astronomy**

### **Overview**

The Departmental Peer Committee and the Chairperson will evaluate faculty members regularly according to the intervals and procedures specified in the AFUM contract. Each evaluation of a faculty member will be made based on the total contribution of the faculty member to the Department, to the University, and to such other constituencies as may be appropriate in a given instance. It is explicitly recognized that the total contribution of a faculty member results partly from assignments made by the Department Chairperson, partly in response to departmental needs and opportunities, and partly by the individual's self-generated professional goals. It is also explicitly recognized that at different stages in a faculty member's career, the components making up the individual's total contribution may be somewhat different.

In a strong department, each person may have a different role. This role develops over time as faculty members perceive departmental needs and adapt their own strengths and enthusiasms to meet these needs. This process works best when it is spontaneous. In our Department, we want people who have the creative ability and the self-motivation to recognize a need or an opportunity, a job that needs doing, and to do it. We expect this process to continue as faculty mature. It is best cultivated by frequent, full, and uninhibited discussion by the whole faculty of the Department, its needs, its goals, its problems, and its aspirations. Involvement in this process is a quality that can be recognized and appreciated, but not always easily quantified. Nevertheless, it is one of the criteria by which we evaluate our faculty.

We expect all faculty members to participate fully in teaching, advising and curriculum development for the Department. Excellence in teaching is expected and evidence of innovation and improvement of courses is valued. Providing quality advising to our undergraduate and graduate students is an important departmental mission to which all faculty members are expected to contribute.

We also expect all tenure-eligible faculty members to carry on creative scholarly activity of a quality judged sound by their peers. We expect there will be a wide range of interests and styles in this activity. Usually this activity will take the form of scholarly research and publication, including successful pursuit of external funding at a level appropriate for the

individual's area of scholarship. Vigorous, creative, and high-quality scholarly activity is also a major component in determining the rate at which a faculty member advances in rank.

In addition to the faculty member's activities in teaching, advising, and scholarly research, each faculty member's service and outreach contributions will be evaluated. Service to the Department, the College, the University, the State of Maine, the professional community, and the public are all valued.

Thus, the faculty member's total contribution should include activities in teaching, advising, and curriculum development; scholarly work; and service and outreach. As emphasized above, the mix of these activities will vary from person to person and may vary over a faculty member's career. It is the faculty member's total contribution each year that is important, and a faculty member is expected to contribute in all of these areas unless his/her appointment specifies otherwise. The criteria delineated below assume a standard 50% research, 50% teaching appointment, and at all reappointment and promotion points, the Peer Committee will adjust expectations within the criteria for consideration of candidates with appointments that vary from this standard. The Committee will consider that quantities of various types of activities, output and results may vary, according to the research/teaching mix associated with the subject faculty person's appointment, but high quality will be expected in all areas of professional endeavor.

The actual activities carried out by a faculty member in any year are to be summarized in an activity report prepared by the faculty member, which forms the basis for the evaluation. The specific criteria to be used by the Peer Committee for evaluation and promotion are given below.

This document is written to cover the milestones of a faculty member who is on the usual appointment/promotion track in the Department (six years as assistant professor, then consideration for promotion to associate professor, and, if successful at that point, consideration for promotion to full professor a few years later). In case of considering the granting of tenure without promotion, the peer committee will use the criteria for promotion to the applicant's current rank (with tenure), as stated in this document. Early promotion to associate professor with tenure is discussed as one special case below, but other unusual cases will be handled by the Peer Committee in the spirit of the standard criteria herein.

For non-tenure-track faculty, the peer committee review for reappointment will be based on requirements stated in the contract that the faculty member received from the University and the duties assigned by the department chair during the period under review.



### **Composition of the Peer Committee**

For matters of reappointment of tenure-track and non-tenure-track faculty, post-tenure review, appointment (or reappointment) of adjunct or cooperating faculty, and other routine matters, the peer committee will consist of three faculty members elected by the full department faculty to serve three-year, rotating terms. Each member serves as coordinator of the committee's activities during her/his third year on the committee.

For matters involving granting of tenure or promotion of current faculty, the peer committee will consist of all department faculty members at or above the rank/status that is the goal of the application. Thus for consideration of tenure, the peer committee will consist of all department faculty members who are tenured at the time of application. For promotion to Associate Professor, the peer committee will be all current Associate Professors and Professors, and only Professors will sit on the committee for consideration of promotion to Professor. In case of an application for tenure and promotion to Professor, the Peer Committee of all tenured Department faculty must first consider and vote on the granting of tenure. If that vote is in favor of the granting of tenure, then the Peer Committee of Professors will consider the promotion to Professor.

### **Criteria for Peer Committee Evaluation and Recommendation for Promotion**

Faculty members in the Department of Physics and Astronomy are expected to contribute in each of the three areas of scholarship, teaching, and service. While appropriate service can strengthen a faculty member's record, it cannot make up for inadequate scholarship or teaching.

#### **1. Scholarship**

The faculty member must demonstrate development of a significant research program resulting in scholarly contributions to physics, astronomy, or a closely related field and a pattern of obtaining adequate resources to support that research.

#### **Evaluation of Assistant Professors**

The Peer Committee's evaluation will assess the Assistant Professor's progress toward meeting the scholarship requirements for promotion to Associate Professor and the granting of

tenure, except that external letters will not be required. Work in progress and previous Peer Committee and Chairperson evaluations will also be considered.

### Promotion to Associate Professor with Tenure

The Peer Committee must evaluate the extent, quality, and sustainability of the faculty member's scholarly activity. As part of this evaluation, the Peer Committee must obtain at least three letters evaluating the faculty member's scholarly contributions and potential for continued contribution from recognized authorities in the candidate's research area. These authorities must be from outside the University of Maine System. Normally six letters are obtained, three from individuals selected by the Committee and three from individuals selected by the candidate. Additional references (from within or without the University of Maine System) may also be sought at the discretion of the Peer Committee or suggestion of the candidate.

- The candidate will meet the following requirements:
  1. Must have achieved a national reputation and be respected as a researcher in the professional community, as indicated by the external letters and other documentation of scholarly activity. This activity would normally include, at minimum,
    - a. publishing *refereed* scholarly works in which the candidate played a significant role,
    - b. obtaining adequate resources to support research activities, and
    - c. presenting talks at major national or international professional meetings.
  2. Must have, in the external letters and other documentation, indications that the scholarly activity has good likelihood for continued success.
- In support of the case for having met the above requirements, the candidate must submit evidence of scholarly accomplishments. The following are examples:
  1. Authorship or co-authorship of refereed articles, books or book chapters based on work since appointment as an assistant professor.
  2. Colloquia or talks presented at professional meetings or other institutions.
  3. Editorship of one or more scholarly books.
  4. Scholarly research proposals submitted and proposals approved by external funding agencies, including industries.
  5. Editorship or membership of the board of editors of a scholarly journal.
  6. Peer recognition of scholarly activity, including awards and prizes.

7. Organization of professional meetings, symposia, and workshops.
8. Productive research collaborations including technology transfer.
9. Published reviews of books.
10. Patent disclosures and submissions.
11. Other evidence of significant scholarly activity.

#### Early Promotion to Associate Professor with Tenure

To recommend for early promotion, the Peer Committee must determine that a candidate is an unusually productive scholar, in terms of the impact of the applicant's research work on the field. Such impact may be evidenced by, for example, particularly strong external letters, numerous citations in publications of others, recognition from national professional societies, and/or success in competitive funding application pools with national agencies.

#### Evaluation of Associate Professors

The Committee's evaluation will be based on the same scholarship criteria as for promotion to rank except that external letters will not be required. Previous Peer Committee and Chairperson evaluations will also be considered.

#### Promotion to Professor

The candidate must demonstrate outstanding scholarship and be recognized by peers outside the University of Maine System as having made a significant contribution in his/her area of expertise. In addition to meeting the criteria for promotion to Associate Professor, the candidate must demonstrate significant additional scholarly contributions since promotion to Associate Professor. Also, the letters and other documented scholarly activity must indicate that the faculty member is internationally known and has likelihood for continued significant scholarly contributions.

#### Evaluation of Professors

The Committee will use the same scholarship criteria as for promotion to rank except that external letters will not be required. Previous Peer Committee and Chairperson evaluations will also be considered.

## **2. Teaching and Advising**

Each faculty member is expected to contribute to the teaching and advising mission of the Department. Specific responsibilities are assigned by the Chairperson in consultation with the faculty member.

### Evaluation of Assistant Professors

The Peer Committee's evaluation will assess the Assistant Professor's progress toward meeting the teaching and advising requirements for promotion to Associate Professor and the granting of tenure. Documents describing current and planned progress, previous Peer Committee evaluations, and Chairperson evaluations will also be considered.

### Promotion to Associate Professor with Tenure (and Early Promotion to Associate Professor with Tenure)

- In general, the candidate must have chaired at least one M.S. or Ph.D. committee and demonstrated effectiveness as a graduate student advisor. This effectiveness can be demonstrated by student accomplishments, advisory committee meetings, input to defenses, etc.
- The candidate must have established a record as an effective teacher. The effectiveness is evidenced by:
  1. Course evaluations by undergraduate and graduate students.
  2. Written and signed student comments.
  3. Awards and nominations for awards for teaching activities.
- The Peer Committee will also consider other evidence of teaching accomplishments that may include:
  1. Evidence of innovative teaching, including new methods of teaching and institution of new courses, as demonstrated by relevant documentation or publications.
  2. Informed judgements of colleagues.
  3. Measures of student performance by an independent mechanism such as comparative norm tests.
  4. Evidence of effectiveness as an undergraduate advisor, if such duties are assigned.
  5. Participation in teaching workshops.
  6. Presentations and publications on teaching.

7. Supervision of independent senior projects, participation in the Honors Program, development of courses, refereed publications describing new pedagogical approaches, approval of proposals relating to teaching research or acquisition of equipment for teaching.
8. If deemed necessary by the Peer Committee, Committee members may observe the candidate's teaching or review course materials.

#### Evaluation of Associate Professors

The Committee's evaluation of teaching and advising will be based on the same criteria as for promotion to rank. Previous Peer Committee and Chairperson evaluations will also be considered.

#### Promotion to Professor

Promotion to Professor requires a continued high level of teaching and advising performance, evaluated according to the criteria for promotion to Associate Professor. Previous Peer Committee and Chairperson evaluations shall be considered.

#### Evaluation of Professors

Continued high level of performance on teaching and advising criteria for promotion to rank is expected. Previous Peer Committee and Chairperson evaluations shall be considered.

### **3. Service**

Service within the University community can take many forms. Service outside the University is generally limited to activities in the capacity of a professional physicist or astronomer or to activities carried out as a representative of the University.

#### Evaluation of Assistant Professors

The Committee's evaluation will assess the Assistant Professor's progress toward meeting the service-related requirements for promotion to Associate Professor and the granting of tenure. Work in progress and previous Peer Committee and Chairperson evaluations will also be considered.

### Promotion to Associate Professor with Tenure

The case for promotion may be strengthened by a good service record, particularly if it has brought credit to the Department or the University.

- The Peer Committee will recognize achievement in the following areas:
  1. Contributions to College and University governance, planning, and programs through committee work and by taking on specific tasks.
  2. Contributions to Departmental governance, planning, and programs through committee work and by taking on specific tasks.
  3. Service as a faculty advisor to and/or participating in student organizations.
  4. Technology transfer of research and/or consulting for public and private organizations.
  5. Service to professional or scientific organizations as an office holder or committee member.
  6. Reviewing journal articles, grant applications, and books.
  7. Outreach activities involving K-16 education.
  8. Other evidence of significant service.

### Evaluation of Associate Professors

The Committee's evaluation of service will be based on the same criteria as for promotion to rank. Previous Peer Committee and Chairperson evaluations shall be considered.

### Promotion to Professor

Promotion to Professor requires a continued high level of service performance evaluated according to the criteria for promotion to Associate Professor. Previous Peer Committee and Chairperson evaluations shall be considered.

### Evaluation of Professors

The Committee will use the same service-related criteria as for promotion to rank. Previous Peer Committee and Chairperson evaluations shall be considered.

Approved by the Faculty 02/13/2006

Approved by Administration 03/2006

**DEPARTMENT OF POLITICAL SCIENCE**  
**Criteria for Evaluation of Faculty**

- I. The Department of Political Science divides criteria for evaluation of faculty into teaching, research, and public service. We believe these three categories are exhaustive, but not mutually exclusive; we will assess activities within each category in the context of their relationship to the discipline of political science. Evidence will be drawn from any or all of the following sources:
  1. Teaching:
    - a. student evaluations and patterns of course enrollments;
    - b. course and curriculum development, including revisions to existing courses and the creation of new courses;
    - c. supervision of independent studies and internships, teaching of honors courses, and thesis advising;
    - d. other teaching-related activities that the candidate proposes for consideration.
  2. Research and Publication:
    - a. peer-reviewed professional books and monographs published or accepted for publication;
    - b. peer-reviewed articles and book chapters published or accepted for publication;
    - c. editorships or collections of professional papers that have come under peer review, published or accepted for publication;
    - d. book review essays in professional journals, published or accepted for publication;
    - e. book reviews in professional journals, published or accepted for publication;
    - f. paper presentations at meetings of professional associations whose paper proposals are refereed;
    - g. funded research for governments and other public agencies;
    - h. peer recognition of outstanding research endeavors, including awards of competitive grants and prizes for published work;
    - i. other research and/or publication-related activity that the candidate proposes for consideration.
  3. Public Service:
    - (1) Service to the Department, College and University in a constructive, collegial manner:
      - a. service on departmental, college and university committees;
      - b. student advising, which may include special advising efforts, attendance at advising workshops, or other indices of commitment to advising;
      - c. other service-related activity that the candidate proposes for consideration.

- (2) Service to the Profession:
- a. membership and active participation in professional associations, including: holding office in a professional association; service as a meeting organizer, section chair, or discussant; and attendance at association meetings;
  - b. service on editorial boards of professional journals;
  - c. professional review of political science-related manuscripts, including books, book chapters, articles, and other service related to grant and fellowship proposals;
  - d. service as a professional commentator in the electronic or print media that derives from the candidate's political science expertise;
  - e. other service-related activity that the candidate proposes for consideration.

II. CRITERIA FOR RANKS: these criteria will generally follow the 1983 Faculty Handbook, sections 2.2 and 2.3, entitled "Academic Titles and Criteria for Ranks" and "Criteria for Regular Academic Titles at Orono," respectively.

A. INSTRUCTOR

1. Must have satisfactory academic preparation in the relevant sub-field to be taught and successful experience in the classroom or field.
2. To be considered for reappointment, must have demonstrated success in teaching (see I.1).
3. To be considered for reappointment, must have demonstrated a commitment to scholarship or service as part of the university's mission (see I.2 and I.3).
4. For review and reappointment purposes, primary emphasis will be placed on Category I.1 (Teaching).

B. ASSISTANT PROFESSOR

1. Should normally hold the doctoral degree in political science or a comparable degree (e.g., political economy, etc.) or be finishing that degree;
2. To be recommended for reappointment to a Second-year Contract, the faculty member must provide evidence of:
  - a. the terminal degree being finished by the end of the first year if hired while still ABD;
  - b. high quality teaching (see I.1).
  - c. research and/or professional activity completed or underway (see I.2);
  - d. public, university or professional service undertaken or anticipated (see I.3);
  - e. assumption of advising duties.



3. To be recommended for reappointment in the Third-Sixth years, the faculty member must provide evidence of:
  - a. overall high quality teaching (see I.1). In addition, the faculty member should have made contributions to the development and growth of programs within the department, and served as an academic advisor at the undergraduate level and, as appropriate, at the graduate level. As one moves through the sequence of reappointments, the expectation is that teaching will show growth and improvement as appropriate, and that faculty governance and advising activities will become equivalent to that assumed by other faculty;
  - b. active research and/or professional activity (see I.2) and that the faculty member has begun to achieve, or has achieved, professional recognition for work done. As one moves through the sequence of reappointments, the expectation is that the amount of research and/or creative activity will grow in both sophistication and amount. The key consideration during this time is the sense that research and/or creative professional activity is an integral part of the faculty member's accomplishments;
  - c. an established record of university, public and professional service appropriate to the faculty member's role within the department (see I.3).

#### C. ASSOCIATE PROFESSOR

1. To be recommended for promotion to Associate Professor with tenure, the faculty member must provide evidence of:
  - a. completion of the terminal degree to be considered for this rank;
  - b. high quality teaching (see I.1). In addition, must have significant contributions to the planning, development, and growth of programs within the department, and served as a competent advisor of students;
  - c. demonstrated ability as a scholar through significant research publication in the five years preceding consideration for this rank (peer-reviewed publications are expected as part of one's overall research productivity). This activity must be supported by substantial recognition from either scholars or professionals such that the faculty member is seen as obtaining national recognition over time for work completed; (see I.2)
  - d. a substantial record of university or public service appropriate to the faculty member's role. As part of this role, it is expected that the faculty member will have indicated willingness and ability to participate in departmental, college, and university governance, to be active in appropriate regional and/or national associations, and to maintain professional relationships with colleagues in the department, the university, and beyond; (see I.3).

2. Bi-annual reviews, conducted in accordance with the union contract, will follow the above guidelines. The expectation is that a faculty member will continue to develop skills as a teacher and scholar and will continue to provide appropriate service to the public and the university.

D. PROFESSOR

1. To be recommended for promotion to Professor, the faculty member must demonstrate high quality teaching, research, and service as detailed in the requirements for Assistant and Associate Professor. In particular, the faculty member must demonstrate:
    - a. continuing growth as a teacher, a continuing commitment to academic advising and to program development within the department;
    - b. continuing commitment to scholarly or professional activities since the last promotion;
    - c. a leadership role within the university as part of an overall response to university, public and professional service.
  2. The establishment of a national or international reputation as a scholar and demonstration of a high level of quality as a teacher are of primary importance in considering promotion to this level.
  3. Further reviews, as mandated by the union contract, will consider these criteria in assessing the faculty member's contribution.
- III. Reviews shall be conducted in accordance with university procedures and contractual guidelines, and shall be conducted by the Peer Committee, which shall normally consist of the tenured members of the Department.
- IV. The entire faculty of the Department shall make a recommendation and/or determination whether a person brought into the faculty at the rank of Associate Professor or Full Professor meets the stated criteria above, and therefore warrants tenure.
- V. The Peer Committee shall be responsible for conducting post-tenure reviews in accordance with Departmental guidelines and criteria as noted above, as well as University policies.

Voted: November 14, 2001

**DEPARTMENT OF POLITICAL SCIENCE & SCHOOL OF POLICY AND  
INTERNATIONAL AFFAIRS**  
**Joint Criteria for Evaluation of Faculty**

- I. The following evaluative criteria relate to the Joint Faculty Position in International Relations between the Department of Political Science (50%) and the School of Policy and International Affairs (50%). The Department of Political Science and School of Policy and International Affairs divide criteria for evaluation of faculty into teaching, research and public service. These three categories are exhaustive but not mutually exclusive; activities within each category are assessed in the context of their relationship to international affairs, broadly defined, within the discipline of political science. Evidence will be drawn from any or all of the following sources:
  1. Teaching:
    - a. student evaluations and patterns of course enrollments;
    - b. course and curriculum development, including revisions to existing courses and the creation of new courses;
    - c. supervision of unassigned independent studies and internships, teaching of honors courses, and thesis advising at the undergraduate and graduate levels;
    - d. other teaching-related activities that the candidate proposes for consideration.
  2. Research and Publication:
    - a. peer-reviewed professional books and monographs published or accepted for publication;
    - b. peer-reviewed articles and book chapters published or accepted for publication;
    - c. editorships or collections of professional papers that have come under peer review, published or accepted for publication;
    - d. book review essays in professional journals, published or accepted for publication;
    - e. book reviews in professional journals, published or accepted for publication;
    - f. paper presentations at meetings of professional associations whose paper proposals are refereed;
    - g. funded and unfunded research for governments and other public agencies;
    - h. peer recognition of outstanding research endeavors, including awards of competitive grants and prizes for published work;
    - i. other research and/or publication-related activity that the candidate proposes for consideration.
  3. Public Service:

- (1) Service to the Department of Political Science, School of Policy and International Affairs, College and University in a constructive, collegial manner:
  - a. service on unit, college and university committees;
  - b. student advising and mentoring at the undergraduate and graduate levels, which may include special advising efforts, attendance at advising workshops, or other indices of commitment to advising;
  - c. other service-related activity that the candidate proposes for consideration.
  
- (2) Service to the Profession and the Public:
  - a. membership and active participation in professional associations, including: holding office in a professional association; service as a meeting organizer, section chair, or discussant; and attendance at association meetings;
  - b. service on editorial boards of professional journals;
  - c. professional review of scholarly manuscripts, including books, book chapters, articles, and other service related to grant and fellowship proposals;
  - d. service as a professional commentator in the electronic or print media that derives from the candidate's scholarly expertise;
  - e. other service-related activity that the candidate proposes for consideration.

II. CRITERIA FOR RANKS: these criteria will generally follow the 1983 Faculty Handbook, sections 2.2 and 2.3, entitled "Academic Titles and Criteria for Ranks" and "Criteria for Regular Academic Titles at Orono," respectively.

A. INSTRUCTOR

1. Must have satisfactory academic preparation in the relevant sub-field to be taught and successful experience in the classroom or field.
2. To be considered for reappointment, must have demonstrated success in teaching (see I.1).
3. To be considered for reappointment, must have demonstrated a commitment to scholarship or service as part of the university's mission (see I.2 and I.3).
4. For review and reappointment purposes, primary emphasis will be placed on Category I.1 (Teaching).

B. ASSISTANT PROFESSOR

1. Should normally hold the doctoral degree in political science or a comparable degree in a related field or be finishing that degree;
2. To be recommended for initial reappointment, the faculty member must provide

evidence of:

- a. the terminal degree being finished by the end of the first year if hired while still ABD;
- b. high quality teaching (see I.1).
- c. research and/or professional activity completed or underway (see I.2);
- d. public, university or professional service undertaken or anticipated (see I.3);
- e. assumption of advising duties at the undergraduate and graduate levels.

3. To be recommended for reappointment in the Third-Sixth years, the faculty member must provide evidence of:

- a. overall high quality teaching (see I.1). In addition, the faculty member should have made contributions to the development and growth of programs within the units, and served as an academic advisor at the undergraduate and graduate levels. As one moves through the sequence of reappointments, the expectation is that teaching will show growth and improvement as appropriate, and that faculty governance and advising activities will become equivalent to that assumed by other faculty;
- b. active research and/or professional activity (see I.2) and that the faculty member has begun to achieve, or has achieved, professional recognition for work done. As one moves through the sequence of reappointments, the expectation is that the amount of research and/or creative activity will grow in both sophistication and amount. The key consideration during this time is the sense that research and/or creative professional activity is an integral part of the faculty member's accomplishments;
- c. an established record of university, public and professional service appropriate to the faculty member's role within the department (see I.3).

### C. ASSOCIATE PROFESSOR

1. To be recommended for promotion to Associate Professor with tenure, the faculty member must provide evidence of:

- a. completion of the terminal degree to be considered for this rank;
- b. high quality teaching (see I.1). In addition, must have significant contributions to the planning, development, and growth of programs within the units, and served as a competent advisor of undergraduate and graduate students;
- c. demonstrated ability as a scholar through significant research

publication in the five years preceding consideration for this rank (peer-reviewed publications are expected as part of one's overall research productivity). This activity must be supported by substantial recognition from either scholars or professionals such that the faculty member is seen as obtaining national recognition over time for work completed; (see I.2)

- d. a substantial record of university or public service appropriate to the faculty member's role. As part of this role, it is expected that the faculty member will have indicated willingness and ability to participate in unit, college, and university governance, to be active in appropriate regional, national, and/or international associations, and to maintain professional relationships with colleagues in the units, the university, and beyond; (see I.3).

- 2. Further reviews, as mandated by the AFUM contract, will follow the above guidelines. The expectation is that a faculty member will continue to develop skills as a teacher and scholar and will continue to provide appropriate service to the public and the university.
- 3. Faculty members wishing to apply for early tenure and promotion must meet all stated criteria for teaching, research, and service. In addition, they must demonstrate exceptionally broad national and/or international recognition for their work, as substantiated by measures that may include significant national awards, invitations to speak at prestigious conferences and institutions, frequent citation of their work, well-placed favorable reviews, or a publishing record beyond that required of a typical applicant.

#### D. PROFESSOR

- 1. To be recommended for promotion to Professor, the faculty member must demonstrate high quality teaching, research, and service as detailed in the requirements for Assistant and Associate Professor. In particular, the faculty member must demonstrate:
  - a. continuing growth as a teacher, a continuing commitment to academic advising and to program development within the units;
  - b. continuing commitment to scholarly or professional activities since the last promotion;
  - c. a leadership role within the university as part of an overall response to university, public and professional service.
- 2. The establishment of a national or international reputation as a scholar and demonstration of a high level of quality as a teacher are of primary importance in considering promotion to this level.
- 3. Further reviews, as mandated by the union contract, will consider these criteria in

assessing the faculty member's contribution.

- III. Reviews shall be conducted in accordance with university procedures and contractual guidelines, and shall be conducted by the Joint Peer Committee of the Department of Political Science and School of Policy and International Affairs.
- IV. The entire faculty of the Department of Political Science and School of Policy and International Affairs shall make a recommendation and/or determination whether a person brought into the faculty at the rank of Associate Professor or Full Professor meets the stated criteria above, and therefore warrants tenure.
- V. The Joint Peer Committee shall be responsible for conducting post-tenure reviews in accordance with unit guidelines and criteria as noted above, as well as University policies.

Approved May 2, 2014 by SPIA and POS

**University of Maine**  
**Department of Psychology**  
**Criteria For Evaluation and Promotion**

The Department of Psychology employs the general criteria for tenure and promotions stated in the Faculty Handbook. Beyond these, an attempt is made to define more precisely the degree of accomplishment which should be demonstrated for a recommendation for promotion. All considerations for tenure and promotion are made by a relevant peer committee. The peer committee for evaluating the tenure and promotion credentials of assistant professors consists of all of the tenured associate professors and professors in the department.

As a general rule, promotion is viewed as a reward for achievement rather than for promise. Achievement is judged against the relevant functions, roles and tasks for which the faculty member is employed, rather than against irrelevant or peripheral ad hominem considerations. It is imperative that evaluations for purposes of promotion adhere as closely as possible to the standards of excellence in performance as defined by the discipline, peers, and university. Guided by the general approach adopted by the university, peer judgments in this department are determined by performance in scholarship, teaching, and service. Collegial behavior, cooperative attitude, and acceptance of personal responsibility for one's actions are all valuable assets of a departmental member. Extreme cases of behavior, clearly and consistently disruptive to departmental affairs, as determined by 80% of the tenured members, may be given a negative weighting, as may unethical conduct. Persons who are appointed at the rank of associate professor or professor will be evaluated for tenure on the basis of the criteria for promotion to associate professor or professor respectively.

**TEACHING & ADVISING**

General: The amount, variety and quality of contacts with students--formal and informal, graduate and undergraduate, in supervision, directed reading and research, field experience, clinical practicum, and classroom teaching--constitute a fundamental dimension for evaluating suitability for promotion. As is the case with the scholarship and service dimensions, it is difficult to grade the quality of teaching performance. Among the specifics to be considered in this category are the number and diversity of courses taught, involvement in curriculum development and in special workshops and conferences, and ratings of teaching by both students and peers.

- A. Promotion to Associate Professor is dependent on demonstrated enthusiasm and capability for communicating psychological knowledge and skills to students in the classroom, laboratory or clinic. Annual evaluations of Assistant Professors will be based on progress toward meeting the following criteria for promotion to Associate Professor:
1. As a minimum, the faculty member's teaching involvement must include:
    - a. a yearly teaching load of undergraduate and graduate courses consistent with the teaching load of the other faculty members in the Department.
    - b. directing on the average, at least one student per year in individualized reading, research, honors thesis, field experience, or clinical practicum courses.



- c. a yearly advising load of undergraduate students consistent with the advising load of the other faculty members in the department.
- 2. The candidate for promotion's involvement in thesis supervision should typically include: chairing at least one doctoral dissertation committee or master's thesis committee and being a member of others. If the candidate has not directed a dissertation, this requirement may be satisfied by having been a member of dissertation committees.
- 3. Overload teaching which helps meet departmental needs also will be considered favorably.
- 4. The quality of the candidate's teaching will also be of concern. Of particular interest are the following:
  - a. teaching effectiveness at both the graduate and undergraduate level as judged by a peer committee.
  - b. course evaluations using standard rating forms by undergraduate and graduate students. The candidate should be rated by his/her students as at least above the mid-point on the items directly related to teaching performance.
  - c. written and signed statements received from either undergraduate or graduate students pertaining to the candidate's teaching effectiveness.
  - d. innovative teaching including both new methods of teaching and institution of new courses.
- 5. The quality of the candidate's advising will also be of concern. Of particular interest are the following.
  - a. advising effectiveness at both the graduate and undergraduate level as judged by a peer committee. Advisor availability, posting and keeping regular office hours, and knowledge of department, college, and university policies, procedures and resources are all considered evidence of effectiveness in this area.
  - b. innovative or new methods of advising.
- B. Promotion to Professor is dependent on a continued high order of performance, as evidenced by peer review and positive student ratings. The faculty member should show evidence or continuing participation in chairing and/or serving on dissertation committees and in working with students in directed reading, research, and practicum courses. Annual evaluations of Associate Professors will be based on these criteria and those in Section A above.
- C. Evaluations of Professors will be based on the same criteria as for promotion to that rank.

### **SCHOLARSHIP**

General: The candidate for promotion to Associate Professor is expected to have made a significant scholarly contribution to psychology. Publications provide a concrete indication of scholarship, in terms of both quantity and quality.

The department desires to promote only people who are likely to continue to be productive scholars after their promotion. The likelihood of continued scholarly productivity will be judged on the basis of the amount of research and scholarly activity and continuity of involvement in those activities during the candidacy period.

- A. Promotion to Associate Professor depends on meeting specific requirements indicative of a high level of scholarly productivity. Annual evaluation of Assistant Professors will be based on progress toward meeting the following criteria for promotion to Associate Professor.
1. As a minimum standard of scholarly accomplishment for promotion, the candidate must be the first author of at least four scholarly publications, and a research grant application must be submitted to an external funding agency. For this purpose, scholarly publications include articles published in high quality journals, books, and chapters in edited books. Articles or books that have been accepted for publication ("in press") are to be counted.
  2. The candidate may propose that one or more of the following be substituted for first author publications:
    - a) co-authorship of a book
    - b) a first authored book which may count as more than one publication
    - c) second authored publications for which the candidate is able to produce evidence that author-order was arbitrarily determined (Ordinarily, this would appear as an author note in the publication.)
    - d) substantial activities directed toward obtaining research grant support from external funding agencies, such as being rated favorably or funded by funding agencies (NIH, NSF, etc.)

The weighting of these substitutes is at the discretion of the peer committee.

The overall quality of these publications must indicate that the candidate has made a significant scholarly contribution to psychology. The Peer Committee will judge the quality of publications on the basis of:

- a. the reputation and editorial standards of the journals in which the articles are published.
  - b. the impact of the publications on the discipline, as judged by researchers at this and other institutions. At least three letters in support of the candidate's promotion must be received from recognized authorities in the candidate's research area outside of UM. At least two of the letters must be from people who were not on the candidate's doctoral committee.
  - c. the impact of the publications, as is evidenced by citations by other authors.
3. Besides the minimum of four publications described in A.1., the candidate must submit additional evidence of scholarly accomplishments falling into one or more of the following categories:
    - a. co-authorship of scholarly publications based on research conducted since the candidate's appointment as an Assistant Professor.
    - b. authorship and/or co-authorship of scholarly publications based on research conducted prior to the candidate's appointment as an Assistant Professor.
    - c. papers, symposia, workshops, or invited addresses presented at professional meetings.
    - d. editing a scholarly book.
    - e. scholarly research grant applications approved by or approved and funded by

external funding agencies.

- f. service as an editor or member of the board of editors of a scholarly journal.

Note: The Peer Committee may, at its discretion, require that some of the publications submitted to fulfill requirements A.1. and A.2. be based on research conducted since the candidate's appointment to the UM faculty.

- B. Promotion to Professor depends on the demonstration of outstanding scholarship and being recognized by peers as having made a significant contribution to his/her area of expertise. Candidates for promotion to Professor are expected to have made significant additional scholarly contributions since their promotion to Associate Professor. Annual evaluations of Associate Professors will be based on the criteria and those described in section A, above except that peer letters will not be required.
- C. Evaluations of Professors will use the same criteria as for promotion to Professor except that peer letters will not be required.

### SERVICE

General: Service as a category to be considered in promotion includes involvement in community affairs qua psychologist (e.g., serving on university committees, research or clinical consultation to programs, assistance to state and local agencies which serve the people of Maine, participation on public commissions, councils or advisory boards), and/or involvement in university or departmental work.

- A. Promotion to Associate Professor may be strengthened by a good record, particularly if the candidate's work on service tasks has brought credit to the department and the university.  
Annual evaluations of Assistant Professors will recognize achievement in the areas of service listed below.
1. Areas of Service include:
    - a. service on University Committees
    - b. service on Department Committees
    - c. consulting in a professional capacity
    - d. lectures, panel discussions, workshop presentations.
    - e. service to professional or scientific organizations, as an office holder or committee member
    - f. reviewing of journal articles, grants, and books
- B. Promotion to Professor is strengthened by the attainment of a reputation as a leader in advancing psychology's contributions to the public, the community, or the University. Promotion to Professor will be enhanced by exceptionally high quality contributions to public/community service. Annual evaluations of Associate Professors will recognize these achievements as well as those outlined in A.1. above.
- C. Evaluations of Professors will use the same criteria as for promotion to that rank.

### Post-Tenure Review

General: Regular review of faculty members= teaching, scholarship, and public service continues after tenure has been awarded.

A. Areas Routinely Reviewed: Tenured faculty members= performance in the following areas are rated:

- a. student evaluation of instruction
- b. involvement in teaching
- c. involvement in research and/or other scholarly endeavors (e.g., text or grant writing; editorial duties)
- d. quality and rate of publication
- e. contribution to the undergraduate program (e.g., advising)
- f. contribution to the graduate program (e.g., thesis, supervision, committee work)
- g. public service: contribution to other department activities (e.g., committee work, university activities or community activities)

B. Schedule of Peer Review

- a. Associate Professors are reviewed by a committee of six tenured faculty members every two years.
- b. Professors are reviewed by a committee of six tenured faculty members every four years.
- c. All Tenured Faculty are reviewed every year by the department chair.

Revised: May 20, 2004

The evaluation criteria for the Department of Psychology have been approved.

---

# **Retention, Promotion, and Evaluation Criteria and Guidelines**

Department of Biological Sciences, University of Maine

Approved by the Faculty - 19 October 2006

University requirements and procedures for appointment, evaluation, reappointment, promotion, and tenure are detailed in the current Agreement between the University of Maine and AFUM. Because members of the faculty in the Department of Biological Sciences differ in their responsibilities, each individual will be evaluated in proportion to his or her commitments to teaching, research, and service. The chairperson of the department will be responsible for providing the evaluation committee with full details regarding each individual's assignment, conditions of employment, and any MAFES commitment. Differences in job descriptions and specific responsibilities among faculty will be taken into consideration in peer evaluations.

The Peer Review Committee consists of five tenured faculty members nominated by the Chair and approved by the faculty to represent the disciplinary breadth of the department. The Peer Review Committee conducts all evaluations of faculty, and may meet with them as part of the review process. It is expected that Assistant Professors, instructors, and lecturers will meet annually with the committee to review their progress. The Promotion and Tenure Committee has the same composition as the Peer Review Committee, except for promotion to Professor, when Associate Professors on the Peer Committee are replaced by Professors elected by the department faculty.

## **Criteria for Annual Evaluations, Retention, Promotion, and Tenure**

The hallmark of a university professor is a creative and productive mind. For retention, promotion, or tenure, a faculty member must demonstrate thorough professional competence as reflected in teaching, research, and service to the University, the public, and professional organizations. The standards for evaluation are organized under the headings of teaching, research, and service. Evaluation of instructors and lecturers will focus on the areas of teaching and service as appropriate to their job descriptions.

### **Teaching**

Reappointment, promotion, and tenure in the Department of Biological Sciences require high-quality performance as a teacher. In addition, there should be a clear commitment to continuous development as a teaching professional throughout a faculty member's career. In evaluating the teaching performance of a faculty member, the Peer Review Committee will examine a number of teaching indicators to determine whether the person has met generally accepted standards of course instructional quality characterized by clear and

well-organized presentations, informative lessons and learning experiences, fair and rigorous testing, and a high level of motivation and time investment.

As a part of the application process, each faculty member being considered for promotion and/or tenure will be asked to provide a written self-appraisal of his/her teaching and mentoring performance. Faculty teaching performance will be evaluated on the basis of information and responses focused on the following questions and the self-assessment.

1. How do students rate the quality and content of the instructor's classes? [Student evaluations will be examined, with particular emphasis on overall rating of the instructor and overall rating of the course. Average and median scores will be evaluated and may be compared to those for other departmental courses at the same level in the same year. In assessing these results, the Peer Review Committee will be mindful that some factors such as the difficulty of the course material may affect scores and that outlier responses can have a large impact in small classes. Written student comments will also be perused for trends or tendencies, positive or negative].
2. How do faculty peers rate the quality and content of the instructor's classes? [Faculty observers will be asked to record their assessment of presentation quality and energy, organization, clarity, course content, rigor, creativity, and student participation. Mentors of newer faculty members will be encouraged to participate in the teaching observations and to provide comments to the Peer Review Committee. Faculty observations of classes will normally occur within the year leading up to Peer Committee review].
3. To what extent has the faculty member made efforts to develop courses or course content (including preparation of written course materials, new exercises, and new learning experiences), to improve teaching skills through participation in training sessions, or to initiate new teaching approaches, technological developments, or educational grants?
4. Has the faculty member received any teaching awards or other special recognition of teaching quality that should be considered by the Peer Review Committee?

## **Research**

*For promotion to Associate Professor with Tenure*, a faculty member will be expected to have generated a body of research and scholarly work that establishes the person as a creative and productive scientist in comparison with peers in the discipline. The number of high-quality scholarly publications judged to be acceptable for a given faculty member will be governed by the nature of the field of inquiry and the person's workload assignment. In general, it would be expected that a faculty member with a 50:50 teaching/research appointment will produce a minimum of five significant publications in peer-reviewed journals during the tenure evaluation period. It is also important that the

faculty member demonstrates efforts and success in gaining external funds in support of university research and scholarship, presents research findings at professional meetings, and contributes as a research advisor and mentor in the training of graduate students.

***For promotion to Professor***, a faculty member will be expected to have generated a body of sustained well-cited research and scholarly work that establishes the person as a creative and productive scientist in comparison nationally and internationally with peers in the discipline. In general, it would be expected that a faculty member will produce a minimum of ten (10) significant scholarly publications in peer-reviewed journals during the period following promotion to Associate Professor. Other scholarly outputs will also be considered. It is also important that the faculty member demonstrates success in gaining external funds in support of university research and scholarship, presents research findings at professional meetings, and contributes as a research advisor and mentor in the training of graduate students. It is generally expected that faculty members appointed at the level of Professor will be recognized nationally and internationally for their research expertise and scholarship.

In preparing the application for tenure and promotion to Associate Professor or for promotion to Professor, the faculty member will include a written self-assessment that summarizes his/her research and scholarly activity and its significance. This self-assessment will complement the letters of external peer reviewers, who will be asked to evaluate how the candidate's research and scholarly work compare to that of peers in the discipline. Both the candidate and each external peer reviewer will be asked to respond to the following questions, while keeping in mind the nature of the person's faculty appointment.

1. What is your assessment of the candidate's scholarly contributions to the discipline, and his or her regional, national, and/or international reputation among professional peers? How has the candidate's research helped to advance the field?
2. What is the quality, creativity, and significance of the published work?
3. To what extent has the candidate been successful in funding a research program?
4. Has the candidate contributed effectively to the training of graduate students?

## **Service**

Faculty members are expected to contribute productively to the service activities and outreach mission of the university, to share their expertise with the public, and to serve their profession. It is understood, however, that some faculty MAFES appointments

carry a larger expectation of public service and outreach. Evaluation of service activities will be based on information provided by the individual, departmental colleagues, administrators, and, where appropriate, outside reviewers or colleagues.

### *Service to the University of Maine*

Each faculty member shares with other colleagues the responsibility for participating on a regular basis in committee assignments or coordination activities within the department, college, and university. These contributions may include organizing seminars, conducting peer reviews, serving on standing committees or governance boards, working on search committees, coordinating academic programs, and otherwise helping to ensure the day-to-day functioning of the institution.

### *Service to the Public*

Public service activities of departmental faculty vary depending on the appointment and job description of the individual. In general, faculty members are encouraged to share their knowledge and expertise with the public through participation in seminars and workshops, involvement in outreach activities, publication of scientific bulletins written for the public or technical groups, and by responding to public requests for information (e.g. phone calls and interviews by newspaper, radio, and TV reporters). In addition, public service may involve participation on local and state advisory boards, regulatory committees, and judicial proceedings as an expert witness. If an individual's research is focused on problems tied to specific commodities or industries, the faculty member is expected to ensure that his or her results reach the appropriate audience. Where a person's appointment formally involves public service (e.g., through Cooperative Extension or MAFES), the evaluation should include input from colleagues in MAFES or Cooperative Extension, appropriate commodity groups, administrators, and the like.

### *Professional Service*

As a part of normal professional activities, faculty members may be expected to serve on editorial boards of professional journals, to serve on review panels for granting agencies, to review manuscripts or proposals, to serve as officers or committee members for professional organizations, to organize or chair sessions at professional meetings, and to serve on graduate committees for students at other institutions. These activities enhance the reputation of the department, the University of Maine, and the individual, and should be recognized as an important contribution.

Faculty service will be evaluated to determine whether the individual has met the normal expectations of service described in the preceding paragraphs. The Peer Review Committee will focus on the following questions as a means of evaluating service performance, while taking into account the faculty member's appointment.

1. What is the nature and extent of the candidate's involvement in service within the department, college, and university?



2. To what extent has the candidate been involved in service to the public?
3. How has the candidate contributed to service activities in his or her profession?
4. Is the faculty member's service recognized and valued statewide, nationally, or internationally? Has the faculty member received any awards or recognition for service activities?

## **Recommendations by the Peer Review Committee or Promotion/Tenure Committee**

### *Promotion and Tenure Evaluation*

At the time of a promotion or tenure decision, the Promotion and Tenure Committee will evaluate a faculty member's application and supporting letters, and will judge whether the person's teaching, research, and public service meet or exceed department standards for promotion to Associate Professor with tenure or for promotion to Professor. If the Peer Committee is satisfied that the faculty member has achieved the performance criteria outlined in this document, the candidate will be **recommended for promotion** to Associate Professor with Tenure or for promotion to Professor, as specified in the application.

Assistant Professors are usually promoted with tenure after a six-year probationary period. However, in some cases, faculty may apply for promotion from Assistant to Associate Professor without tenure before the sixth year, and apply for tenure at a subsequent time.

### *Annual Evaluations and Reappointments*

For retention and annual reappointment of pre-tenured faculty, the faculty member will be expected to have demonstrated consistent progress in developing a strong and productive research and teaching program that meets the expectations and criteria associated with promotion to Associate Professor with tenure. Evidence of this progress may take the form of high-quality peer-reviewed journal publications, grant applications, successful grant funding, research presentations, teaching evaluations, and graduate student mentoring and training. In preparing the annual evaluation of a faculty member, the Peer Review Committee will generally comment on strengths (related to publications, grants, presentations, teaching, and collaborations), the nature of the person's research program, as well as areas that may require further attention.

For retention and annual reappointment of non-tenure-track instructors and lecturers, the faculty member will be expected to have developed a strong teaching program that meets the expectations and criteria of Department faculty as described previously in this document. Evidence of this may include peer and student evaluations, developed teaching materials, presentations, publications and other outputs consistent with the

faculty member's job description and the mission of the Department. In preparing the annual evaluation of a faculty member, the Peer Review Committee will generally comment on strengths and areas that may require further attention. If the Peer Committee is satisfied that the faculty member is making satisfactory progress, the person will be recommended for reappointment.

**PEER COMMITTEE AND PEER REVIEW CRITERIA**  
University of Maine School of Earth and Climate Sciences  
May 21, 2015

**PEER COMMITTEE:**

This committee will consist of four faculty members, all of whom must hold tenure and have a formal appointment in the School of Earth and Climate Sciences (SECS). Deliberations concerning promotions will be conducted only by committee members holding rank higher than the person being considered for promotion. The Peer Committee also serves as the Policy Advisory Committee for advising the School Director.

**PEER REVIEW CRITERIA:**

All faculty members in the School of Earth and Climate Sciences will have an appointment that balances teaching, research, and service. The following criteria are intended as a guide to all untenured faculty members, regardless of rank, in preparing for evaluations with respect to progress toward promotion and/or attainment of tenure. The criteria are also intended to specify levels of performance to guide Peer Committees regarding promotions from Associate Professor to Professor, for the standard annual evaluation for both tenured and untenured faculty members, and for quadrennial post-tenure reviews. The School recognizes that mentoring of faculty members at early stages in their careers is important, as is accountability throughout faculty members' careers.

A number of faculty members have Joint Appointments, with some proportion of their salary coming from other units, such as the Climate Change Institute and the Mitchell Center for Sustainability Solutions, that will modify the details presented below. Those faculty members will be evaluated by a Joint Peer Review Committee, as described in the current AFUM contract. There is a clear distinction in UM and UM System documents between "Joint Appointments" (most commonly referring to split salary line) and "Cooperating Faculty" (where no salary split is involved). However, certain SECS faculty members whose salary comes exclusively from a research unit have Joint Appointments and their tenure or tenure-track resides within the School of Earth and Climate Sciences. Regardless of the joint appointment split, all tenure track faculty members in SECS will be evaluated on the full range of criteria listed below, in proportion to the research appointment. Research units do not grant tenure at the University of Maine. Cooperating Faculty members are evaluated by their primary academic unit. Cooperating Research Faculty members are evaluated by either their primary academic or research unit.

Research Faculty members within SECS are part of the collective bargaining unit. They are evaluated annually by the Peer Review Committee for reappointment, and as necessary for promotion. Evaluation criteria are the same as for tenured or tenure-track faculty members, in proportion to the research appointment, and in consideration of additional contributions such as advising and teaching, if any.

It is important for faculty members applying for promotion and/or tenure to understand that external letters of assessment will be solicited. These letters are intended to provide an independent assessment of the faculty member's performance and as such they represent an important component of the review process. It is therefore in each faculty member's best interest to work towards establishing a competitive portfolio that is likely to meet with strongly positive reviews from national and international experts in their field of study.

The faculty member under review is advised to preface their materials with a cover letter that outlines highlights of the package. Within this, statements of the number of papers

published, grants obtained and declined, awards received, students advised, and classes taught should be clearly and simply summarized.

The following criteria represent satisfactory performance within rank for a 50% research-50% teaching split and 100% appointment in SECS, and are used as guidelines for decisions regarding tenure, promotion, and post-tenure review. These criteria are considered as an average, typically over a four-year period, or over the probationary period in the case of untenured faculty. Variations in the conditions of appointment, such as teaching/research split and administrative duties, will result in proportional adjustment of these expectations. Success in one of these areas alone is typically not sufficient for promotion or tenure; rather the peer review committee will form a holistic opinion of the candidate's record based on the individual's collective achievements in all of these areas, with particular emphasis on (I)-(IV).

Note that the numeric publishing targets listed under Section III below are not absolute criteria, but instead are intended to provide faculty members with what constitutes minimum expectations for a 50% research-50% teaching split. In cases of tenure and/or promotion, The Peer Review Committee will also consider the impact of the faculty member's scholarship on the field via external letters of assessment and other means, and the minimum number of publications is not necessarily sufficient for securing tenure and/or promotion. It is particularly important that faculty members on probationary appointments develop a research plan in their first year designed to exceed these expectations, and they should seek relevant guidance from their faculty mentor(s), the Peer Review Committee, and the School Director.

- I. Teaching Functions: Nine credit hours per year. The faculty member shall present evidence of satisfactory teaching at the undergraduate and graduate levels. Evidence should include student evaluations as well as personal student statements. Peer evaluation of course content and presentation should be sought out by the faculty member. In recognition that the geosciences require significant laboratory and field-oriented skills, preparation of students in these areas (e.g., by conducting field trips outside of the coursework), will be recognized appropriately. For the School to fulfill its teaching mission adequately, as a portion of their assigned teaching load, all faculty members are expected to teach on a regular basis at least one undergraduate-level course in SECS. All faculty members with a research component to their appointment shall also teach graduate courses. Documented effectiveness in both graduate and undergraduate teaching will be monitored carefully via student questionnaires and evaluations of student progress. Several courses in the School's curriculum are team-taught by two or more faculty members. In recognition of the fact that individual faculty effort in these instances can vary widely, faculty members involved in team teaching should clarify the nature and extent of their participation in these courses to the Peer Review Committee.
  
- II. Advising: Student advising and mentoring responsibilities are important elements in the assigned workload of all tenured and tenure-track faculty. Effective advising and mentoring require that the faculty member be available to meet with students at appropriate times, to be able to communicate the requirements of the School, College, and University to the student, and to demonstrate an interest in each advisee's academic progress and concerns. All faculty members shall serve on thesis/dissertation committees and direct thesis/dissertation work on a regular basis. These activities will be considered as part of (but not a substitute for) the individual's research and teaching productivity. Both graduate and undergraduate advising

are viewed as very important contributions to the School, and will be evaluated seriously. Not accepting additional individualized instruction and/or independent study beyond assigned workload will not be held against faculty during the peer review process.

III. Scholarly Activities: Scholarly activity should lead to the dissemination of new knowledge in the form of publications and oral presentations.

(i) At least one refereed article per year. Articles should be in respected national or international professional journals such that they reach wide audiences of peer scholars. A faculty member should be the first author on some of these articles, though students advised by the faculty member may commonly fill that role. Refereed chapters in high-level, research-oriented books will be considered equivalent to a refereed article. Published maps are generally not considered as substitutes for publication in scientific journals, but will be considered as scholarly productivity in a manner consistent with the scope of the map and the nature and extent of the faculty member's contributions. Book reviews, NEIGC guidebook articles, abstracts and the like will not be considered as commensurate substitutes for publication in scientific journals although they are desirable (see (iii) below). For articles or maps with multiple authors, faculty should clearly indicate the nature and extent of their contribution (e.g., conceived the study, collected and/or interpreted the data, advised the student, wrote the paper). Books, whether research-oriented or for popular audiences, are highly valued, and they will be considered as scholarly productivity in a manner consistent with the scope of the book and the nature and extent of the faculty member's contributions.

(ii) At least one oral or poster presentations should be made every year before professional organizations such as GSA, AGU, MSA, AMQUA, INQUA, etc. Invited presentations are highly desirable because they represent recognition by the profession of the quality of the individual's work.

(iii) Open-file reports and field-trip guides are valuable documents and they shall be equated with oral or poster presentations.

IV. External Funding: Research requiring significant funding should be supported largely through external sources. This does not imply that such fund-raising is in itself a substitute for scholarly activity. A crucial part of the School's health is the attainment of external funding by faculty for graduate student stipends and funds for students to conduct their thesis/dissertation research. All faculty members shall attempt to procure such funding on a regular basis. There is a wide variation in the amounts and frequency of submissions required for fundraising activity and for the dollar amounts needed to sustain individual research programs, but this shall be documented, provided to the Peer Committee, and will be evaluated.

V. School Functions: The individual shall participate effectively on the normal committees of the School, contribute to the development of School policy, and be involved in overall unit activities such as faculty meetings, seminars, thesis defenses, invited lectures, and non-classroom interactions with students. Outstanding service in these areas will be appropriately recognized. Untenured faculty should not serve on too many committees.

Failure to regularly attend faculty meetings or School seminars without a teaching or research-driven cause is deemed a failure in this category.

- VI. College and University Functions: Faculty members shall be willing to serve on College and University committees, and in activities that aid the development of the School, College and University. However, untenured faculty should generally limit such service in the early years of establishing their careers.
  
- VII. Professional Service: Individuals must participate in such valuable service efforts as:
  - (a) Proposal reviews (NSF, EPA, etc...)
  - (b) Peer review of papers
  - (c) Convening and/or chairing professional sessions, leading professional field trips
  - (d) Serving on agency boards (NSF, National Academy of Science, etc...)
  - (e) Sustained service to the State, such as membership on advisory committees
  
- VIII. Public Service: Each faculty member is expected to contribute to the School's interaction with the public. This could involve answering letters (inquiries) and phone calls, giving tours of the facilities, etc. Additionally, the individual should be willing to donate several days a year to the Maine community, for example, through public lectures, (non-paying) consultation with State governmental organizations, and visits to K-12 classrooms.

The above criteria will be the basis for reappointment of untenured faculty and as guidelines for promotion to Associate Professor with Tenure, with particular emphasis on (I)-(IV). Promotion to Professor shall be based on time-averaged, long-term quality and productivity that complies with (I)-(IV), and international recognition as indicated by participation in national- and international-level professional organizations, invited papers, books, edited compilations, and similar efforts involving leadership and advanced organizational abilities. These criteria will also be used in the Post-Tenure Compensation Reviews that occur every four years after being granted tenure.

**PEER COMMITTEE GUIDELINES**  
**AND**  
**GUIDELINES FOR FACULTY MEMBER EVALUATION, PROMOTION, AND/OR**  
**TENURE**

**SCHOOL OF FOREST RESOURCES**

**University of Maine**

**Orono, ME**

**November 1, 2006**

**Approved:** Steven Sader, PRC Chair **Date:** November 1, 2006

## **I. Peer Committee Membership**

### **A. Membership and Voting**

A quorum of two-thirds of the voting members of the Peer Committee is required for decisions on promotion and/or tenure, sabbatical leave, or any other Peer Committee matters requiring a vote of its membership.

The Peer Committee of the School of Forest Resources (School) shall consist of all tenure-track faculty members in the School and non-tenure track faculty members as specified below. Decisions on inclusion of non-voting, non-tenure track faculty members on the Peer Committee will be made based on the majority vote of the tenure-track School faculty. The School Director or Acting Director shall be an *ex officio* committee member who does not participate in peer evaluations but whose role shall be to provide the committee with the informational resources they deem necessary. All other members of the Peer Committee (with the exceptions noted below) have the privilege of full participation in Peer Committee business, voting, and routine faculty member evaluations.

No member of the Peer Committee shall be present during evaluation of that member's spouse or other family member. No member of the Peer Committee shall vote on a promotion and/or tenure decision involving that member's spouse or other family member, or where a conflict of interest may exist. Only tenured faculty members may vote on promotion and/or tenure decisions and only those with the rank of Full Professor may vote on promotions to the rank of Full Professor.

### **B. Peer Committee Chair and Vice Chair**

The Vice Chair of the Peer Committee shall be elected by a vote of the Peer Committee members for a one-year term. The Vice Chair automatically advances to the position of Chair the following year and serves for a one-year period in that position. The Chair has the responsibility to ask for candidates willing to serve as Peer Committee Vice Chair and to organize the election for the Vice Chair position.

The Peer Committee Vice Chair is responsible for keeping the notes of meetings and other administrative duties as appropriate

The responsibilities of the Peer Committee Chair include scheduling Peer Committee meetings as needed, convening the meetings, and making sure all agenda items are covered. Peer Committee members shall receive not less than 10 days notice for Peer Committee meetings at which decisions on promotion and/or tenure shall occur. For other Peer Committee meetings the Peer Committee Chair will strive to give all faculty members at least a one-week notice.



The Chair of the Peer Committee is responsible for making certain that evaluation, reappointment, and promotion letters are properly prepared, reviewed, and signed by the Peer Committee. The Peer Committee Chair is also responsible for submitting the letter and any documentation to the School Director prior to required deadlines. All Peer Committee members, as well as the faculty member being evaluated, shall receive a copy of the evaluation letter.

## **II. Responsibilities of the Peer Committee and the Candidates for Tenure and/or Promotion**

### **A. Performance Evaluation**

The Peer Committee shall complete an evaluation of the performance of faculty members in accordance with Article 10 of the Association of Faculty at the University of Maine (AFUM) Agreement. The purpose of the evaluation is to critique, in a supportive, positive fashion, demonstrated strengths and weaknesses of the individual's performance and to recommend, when needed, how improvement can be instituted. The evaluation goal is to enable each faculty member to become a more effective professional and thus enhance the School's productivity so that it might better meet its stated goals. The Peer Committee is responsible for reviewing the progress of each faculty member including the School Director and recommends reappointments, promotions, and/or tenure.

Since faculty members in the School have varied responsibilities and academic appointments, performance evaluation criteria will not be applied equally to all areas but instead will reflect the faculty member's duties and position description. Therefore, the School Director in consultation with the faculty member shall provide a written description of each faculty member's areas of responsibility and include duties and goals. These duties and goals in most cases will reflect the mutually agreed upon position description in force during the evaluation period. For split appointments, as indicated on the Employee Data Change Form, more weight will be given to performance in the area where the greatest percentage of the appointment lies. However, all faculty are required to participate to some degree in all areas associated with the University of Maine mission, i.e., teaching, research/creative works in discipline, and public service. It will be recognized that some faculty members have greater loads in some areas (teaching, research or public service) than others and the Peer Committee will consider this in tenure and promotion evaluations. However threshold levels of activity in all areas are required, and faculty members will be discouraged from overloading in one area with respect to their faculty appointments, particularly if such overload negatively impacts their ability to perform duties in other areas as prescribed in their position description.

The categories for evaluation in Teaching, Research and Public Service will be Excellent, Good, or Unsatisfactory. Written evaluations from the peer committee will be provided for all categories for each evaluation year. The intent of the written evaluations is to provide feedback to the faculty member for assistance as needed in improving their evaluation in the next cycle.

## **B. Evaluation Report Preparation and Evaluation Schedule**

Peer evaluation reports completed by each faculty member will describe their activities for the evaluation period and how their responsibilities and objectives were met. Guidelines for tenure and promotion timetables, report preparation and application formats can be found at the UMaine (Office of Human Resources) web site: <http://www.umaine.edu/hr/>. It is the responsibility of all faculty members to provide an accurate and complete peer evaluation report for review by the Peer Committee at least two weeks prior to the evaluation date (6 weeks for faculty members coming up for promotion and/or tenure). This report will usually include accomplishments since the last review as outlined in “Section 3. Candidates Profile” of the UMaine Tenure and Promotion Format documentation that can be found at: <http://www.umaine.edu/hr/>. However, in the tenure and/or promotion review year documentation will include accomplishments over a longer time period. The latter is expected for promotion and/or tenure reviews.

Peer evaluations will proceed every four years for tenured faculty members. Assistant Professors and other faculty members who teach or conduct research within the School are reviewed annually. The deadline for completion of routine evaluations will fall approximately on November 10 of each year. However, the evaluation deadlines for probationary faculty members and promotion and/or tenure recommendations are established by AFUM contract (Articles 7 and 9) and will be given priority over other evaluation deadlines in the year for promotion or tenure evaluation. The faculty member under review, in the year of a tenure and/or promotion decision, will provide potential evaluator names to the Peer Committee for solicitation of letters of support internal and external to the University as outlined in the UMaine Tenure and Promotion Format. These names must be provided to the Committee at least 6 weeks prior to the evaluation by the Peer Committee. The Peer Committee is not restricted to requesting evaluations from the list of names provided by the faculty member under review.

Faculty members submitting applications for Tenure and/or Promotion must follow the UMaine Tenure and Promotion Format guidelines. For all other faculty members reviews a condensed form of this Format is requested and is outlined in Appendix A.

Evaluation is not required for faculty members whose appointments will cease (due to retirement or resignation) by the end of the current academic/fiscal year.

Faculty members are responsible for adhering to the prescribed format for peer evaluation reports and for the accuracy of the information in their reports. Improperly formatted or inaccurate reports may form a basis for rejection of the report if it constitutes either an early application for tenure or an application for promotion. If the improperly formatted or inaccurate report constitutes an on-time application for tenure, then the Peer Committee may return the report to the applicant for correction and resubmission within one week.

### **C. Annual Reappointment of Probationary Faculty members**

Following the performance evaluation of each probationary faculty member, the Peer Committee shall advise the School Director of its recommendation regarding reappointment or non-reappointment for that faculty member in accordance with Articles 7 and 9 of the AFUM Agreement. The recommendation of the Peer Committee, although not binding on the School Director and College Dean, should be a major factor in their decisions to recommend or not recommend reappointment. A simple majority vote in favor will constitute the Committee's recommendation for reappointment to the Director. Lack of a majority in favor constitutes a recommendation not to reappoint. All members of the Peer Committee participating in the report must sign the recommendation which may include both majority and minority views. A tally of the vote record without specific voter names must be included. The report must also include all names of the peer committee.

In order to be reappointed, a probationary faculty member should have demonstrated that progress towards satisfying the standards for tenure has been made. The varied nature of the School's missions and individual faculty member responsibilities preclude rigid and uniform performance standards for reappointment.

The Peer Committee's annual evaluations of probationary faculty will be sent to the Dean along with the School Director's recommendation concerning annual reappointment. For untenured faculty the School Director and/or Dean will review the Peer Committee's evaluation with the faculty member at that faculty member's yearly evaluation meeting. Other faculty members may have a similar evaluation at their request. In the case of review of the School Director, the Peer Committee Chair may also serve to provide evaluation council. Although this process does not guarantee a positive outcome for the tenure and/or promotion decision, it should allow sufficient time for adjustments to be made prior to the end of the probationary period.

### **D. Evaluation of Instructors**

In accord with Article 8 of the AFUM Agreement, Instructors shall be appointed as either tenure track or non-tenure track at the time of appointment. Those with tenure track appointments shall be evaluated in accord with the guidelines for tenure track candidates as described in this document.

Instructors without tenure or tenure track appointments shall be evaluated every two years using the same criteria as tenured or tenure track applicants with regard to teaching, research and service.

### **E. Tenure and/or Promotion**

Granting of tenure to any tenure track faculty member will be in accordance with Article 9 of the AFUM Agreement. The tenure decision is the ultimate decision to reappoint. The Peer Committee, therefore, should be guided by the standards for tenure when voting to reappoint or not to reappoint. In order to be reappointed, a probationary faculty member should have demonstrated that progress towards satisfying the standards for

tenure has been made. Any concerns about a faculty member or his/her program noted by the Peer Committee in the years leading up to a tenure and/or promotion decision should have been addressed and rectified prior to making the tenure decision. 'Good' annual evaluations in themselves do not guarantee the awarding of tenure. Only those faculty members who have demonstrated a high degree of competence in carrying out their responsibilities will be recommended for tenure by the Peer Committee.

The Peer Committee must be instructed of any tenure and/or promotion actions by the School Director by the date stipulated under the current AFUM agreement (Article 9), and the Peer Committee recommendation must be forwarded to the School Director and faculty member by the subsequent AFUM defined date. These dates will also be found at the University's web site for Tenure and/or Promotion Format: <http://www.umaine.edu/hr/>. All members of the Peer Committee present during the evaluation must sign the recommendation, which may include both majority and minority views, and a record of the vote must be included. Dissenting opinions can also be submitted if signed by dissenting faculty members

Faculty members applying for full professor or early tenure may withdraw their package at any time during the deliberations.

Prior to submission for tenure and/or promotion to Associate Professor, a probationary faculty member should:

1. Have completed the terminal degree in his/her discipline.
2. Have demonstrated a high degree of competence, as judged by the Peer Committee, in his/her professional activities that address the responsibilities of the position and the mission of the School. In addition the faculty member in the year prior to application, must have peer ratings of excellent in the categories specified in the position description (at least two of the three categories of teaching, research, and public service). For split appointments, as indicated on the Employee Data Change Form, more weight will be given to performance in the area where the greatest percentage of the appointment lies. An unsatisfactory rating in any category in the year the faculty member is being reviewed for promotion will result in the faculty member not being considered for promotion.
3. Have demonstrated a teaching ability that stimulates in students a genuine desire for scholarly work, that draws on current developments in their field of science, and that embraces progressive methods of instruction.
4. Possess a reputation for making creative contributions to scholarship in his/her field and, where applicable, should possess the ability to direct the research of graduate students.
5. Meet the specific criteria as outlined in the section 'Performance Evaluation' below.

To be considered for promotion to Professor, a faculty member should have maintained the above criteria for tenure and/or promotion to Associate Professor and also:

1. Have consistently demonstrated a continued high degree of competence in performance in the fulfillment of the basic responsibilities of their position as defined in their current position description. In addition the faculty member should have peer ratings of excellent in the three categories of teaching, research, and public service.
2. Have statewide recognition as well as a regional, national, and international professional reputation among his/her peers to enhance the reputation of the University.

## PERFORMANCE EVALUATION

### I. INSTRUCTION

#### A. Teaching Load

Faculty members with teaching appointments are expected to participate in formal classroom instruction, academic advising, and other teaching-related activities. Field and laboratory, teaching experiences may be critical for quality instruction in many disciplines encompassed by the School.

The level of activity in teaching programs is expected to reflect the percent teaching appointment of the faculty member. As a general guideline, the School expects an academic-year, 100% teaching appointment to average 12 credit hours of formal instruction per semester. Adjustment of this general guideline is expected dependant upon a number of factors including course level, number of students in the class, and whether a laboratory or field experience is offered. Other factors to be considered include the number of advisees a faculty member oversees, the number of graduate students advised, and whether these students are MS level or PhD. The number of advisees may be an important factor when programmatic demands require heavy advisee loads on specific faculty members. However, the School Director is expected to balance advisee loads whenever possible, and a faculty member will not be penalized for having low advisee numbers when the issue is beyond his/her control. Specific teaching expectations for each faculty member vary and reflect programmatic needs, expectations upon hiring, administration, research, University service, and public service.

#### B. Evaluation Reports for Teaching Performance Evaluation

The specific format for Peer review can be found in Appendix A of this document.

#### C. Broad Goals for Teaching Effectiveness Considered in Evaluations

The specific format for Peer review can be found in Appendix A of this document. The broad goals for teaching effectiveness are listed below and may also be viewed in Appendix B:

1. Knowledge in the Field is demonstrated by evidence that the faculty member has kept up with current developments in the area of expertise (e.g. scholarly writing, regularly attending professional meetings, taking part in workshops/symposia and short-term team projects, and remaining current in the literature of one's discipline) and that course content reflects such activity.
2. Classroom Effectiveness is demonstrated by evidence that the faculty member meets the course objectives outlined in the syllabus. Faculty members are expected to vary teaching techniques and the style of presentation when appropriate to ensure that the educational objectives of the course are met. Interaction with students during and outside

class periods should demonstrate a respectful and caring attitude toward students' opinions and problems. The faculty member under review or the Peer committee may request that a senior faculty member provide direct observation of teaching performance. If the faculty member under review agrees to observation the written evaluation of performance will be given to the faculty member being observed. It will be included with the faculty member's documentation at the discretion of the faculty member.

3. Laboratory Instruction is a valuable tool that can be used to reinforce and illustrate principles of theory presented in the classroom. Laboratory exercises must involve current techniques to take full advantage of this different method of teaching. Properly designed and presented laboratory exercises can at once solidify students' grasp of theory and encourage further inquiry.

4. Class Preparation is essential to classroom or laboratory effectiveness. Faculty members are expected to maintain a level of organization and preparedness that allows course objectives to be met at a reasonable pace.

5. Course and Curriculum Development should reflect the faculty member's contribution to School educational goals. Courses developed should be at a level of difficulty that challenges the best students, yet not be beyond the abilities of most students.

6. Exams and Grading should reflect the principles and objectives for the portion of the course material being tested. Generally graded exams should be returned within one week.

7. Student Advising and Activities constitute the portion of time spent while interacting with students outside of the classroom. The faculty member is expected to be available for personal consultation at announced times and places. These periods of personal attention are important in the growth and intellectual development of all students. The faculty member is expected to demonstrate the same caring attitude used in the classroom. Advising consists of giving accurate information on curricular and other University requirements and helping the student choose electives that maximize intellectual growth in the University setting. Faculty should participate in and support student activities that foster a good learning environment.

8. Graduate Student Advising carries unique responsibilities and rewards for a faculty member involved in research and graduate education. As the major thesis advisor, a faculty member has a commanding influence on the development of the professional-in-training. A graduate student's advisor should serve as mentor, advocate, teacher, and role model. The major advisor plays a strong role in the student's successful completion of the project and in the quality of the work accomplished. Faculty must take seriously their responsibilities in graduate education and demonstrate a record of success in this professional activity.

## **II. RESEARCH OR CREATIVE WORKS IN DISCIPLINE**

### **A. Research Load**

Faculty members with research appointments are expected to pursue a vigorous research program in their area of expertise and to address the areas of responsibility described in their position description, unless otherwise approved by the School.

The level of research activity is expected to reflect the percent research appointment for each faculty member. Responsibilities and the balance between basic research, and applied research activities vary widely by necessity among School faculty. Expectations for faculty members with split appointments between research and other duties (administrative, teaching, and/or service) should be reduced proportionately to reflect the nature of the appointment.

### **B. Evaluation Reports for Research Performance Evaluation**

The specific format for Peer review can be found in Appendix A of this document; however, materials to be submitted for each review period should include:

- Percent research appointment
- A statement of research duties, goals, and accomplishments
- Publications and creative works (e.g. refereed journals, bulletins, books, book chapters, patents, abstracts, etc.), specifying joint authorship where applicable
- Grants submitted and awarded, including:
  - Co-investigators
  - Project title
  - Organization or agency
  - Requested funds (indicate distribution, if multi-PI)
  - Status (funded, not funded, pending; if funded indicate amount of award and any changes in distribution of funds and responsibilities)
- Research meetings/seminars/workshops attended, research presentations, meetings or symposia organized.
- Sabbatical leaves for research activities
- Scientific or scholarly visitations or sabbaticals sponsored
- DIC contracts or other consulting activity resulting in a scholarly public presentation, publication, or other scholarly work



- Prizes, etc.
- Other documentation of research activity (e.g. conferences, workshops, seminars attended, etc.)

### **C. General Criteria for Research Performance Evaluations**

The general criteria for research performance are listed below and may also be viewed in Appendix B:

1. Knowledge in Field requires a thorough understanding of both basic and applied principles as well as current, state of the art techniques and methodology in the field of expertise and their application to the field of endeavor.

2. Program Development pertains to an individual faculty member's ability to organize a coordinated research program with a well-defined focus. Planning and organization of a program includes identifying a problem, anticipating the requirements necessary for its solution, and disseminating the results through appropriate channels. As a Maine Agricultural and Forest Experiment Station (MAFES) scientist, research is expected to address problems of importance to the nation, and most importantly to Maine. Faculty members are encouraged to seek research grants that complement their MAFES projects. Release time should be included in grant requests where the research for the grant does not build upon the faculty member's current MAFES project(s) objectives. Regular communications through meetings and correspondence with colleagues working on similar problems, as well as communications with potential users of research results, is encouraged.

3. Publications, Papers, and Creative Works and Communications in the Discipline. Publications and creative works can be judged as a pattern of achievement over time. Accordingly, the quality and number of publications a faculty member could reasonably be expected to publish in refereed journals or bulletins during an extended period depends on the type of appointment or percent of time designated to research, and the nature of the research. Quality is considered in determining the significance of a faculty member's performance with regard to publications and other vehicles of communication. Quality of performance is evaluated by factors such as (a) the reputation of the journals in which papers are published, (b) the significance of individual contributions to a scientific field or identified information need, (c) the reputation of meetings or symposia where papers are presented, and (d) recognition by scientists in the faculty member's field. A faculty member on a 100% research appointment should average a minimum of two peer-reviewed publications per year (or the equivalent in the judgment of the Peer Committee) for a 'good' rating. The expectation is that an untenured faculty member with a 50% research appointment (the norm for the School) must at a minimum have 6 refereed publications or the equivalent, in the judgment of the Peer Committee, for evaluation at the time of evaluation for tenure or promotion. Faculty members being evaluated for tenure or promotion must also have demonstrated a level of grant activity, professional

presentation activity, and other scholarly activity as outlined in Appendix A of this document. Faculty members are urged to exceed these minimum guidelines, and must do so for an excellent rating. Promotion and/or tenure are not based solely on publication number. Faculty members are expected to continuously engage in communications other than publications in refereed journals. Such communications may include publishing in MAFES publications, other scholarly publications, presentation of papers before professional societies, presentation of research progress reports and final reports, newsletters, participation in state and federal initiatives, and attending/presenting School seminars (undergraduate and graduate).

### **III.SERVICE**

#### **A. Service Load**

All School faculty members are expected to participate in the University of Maine's service mission. Each University faculty member is expected to dedicate their professional expertise and some portion of their time to serve the needs of professional organizations, the University, the School, and the public; especially the Maine public. The service activities of faculty members will vary widely depending on the nature of the position. Probationary faculty members should be especially careful in providing service, however, so that service responsibilities do not overwhelm their primary responsibilities in research and instruction. Service should be in the areas of the faculty member's expertise.

#### **B. Evaluation Reports for Professional Activity and Public Service Performance**

The specific format for Peer review can be found in Appendix A of this document; however, materials to be submitted for each review period should generally include:

- Percent service appointment and a summary of any formal administrative, service, and/or program coordinator responsibilities
- A paragraph describing service duties, goals, and accomplishments
- A list of professional affiliations, service to these organizations, and meeting attendance
- Summary of manuscript and proposal review
- Service to the University and School
- List of public service activities
- DIC activities where these activities may be considered to be of a service nature
- Other documentation of service

#### **C. General Criteria for Professional Activity and Public Service Performance Evaluations**

The general criteria for professional activity and public service performance are listed below and may also be viewed in Appendix B:

1. Contribution to Professional Groups includes membership in such groups, presenting papers on non-research topics, and promoting the group's welfare through activities such as membership recruitment, planning of meetings, serving as an officer, or chairing

meeting sessions. It is also demonstrated through activities such as editorial work on non-research publications, notes, and replies in professional journals.

2. School, College, Campus and University Assignments and Service involves membership on School, College and University committees. Effectiveness in efforts to satisfy this criterion is measured by quality of service and effective reporting to the School and/or other constituencies.

3. Staff Cooperation (intra- and inter-unit) is demonstrated by working productively with other faculty professionals. This includes colleagues within the School, College, University of Maine, and with external professionals. Broadly speaking, it consists of time spent consulting with others or in working on collaborative projects.

4. Public service may be demonstrated by documentation of professional involvement with non-university groups as a representative of the University. For simplicity, it could be considered as involvement in non-appointed extension activities for those faculty members lacking a formal Cooperative Extension appointment. This public service activity may involve assisting in problem solving on a case by case basis, and differs from a Cooperative Extension appointment in that it is not considered an on-going educational activity. Paid consulting may be considered public service for the purposes of School Peer Committee reviews. Paid consulting cannot be pursued when it limits the ability of the faculty to meet his/her normal School responsibilities including teaching, research and, especially, other public service activities expected. If the paid consulting results in scholarly publication or presentations it may be best listed under Research.

5. Professional Improvement is demonstrated by remaining professionally current via regularly attending professional meetings, taking part in workshops/symposia, and remaining current in the discipline through other outreach activities

---

## **APPENDIX A**

### **GUIDELINES FOR PREPARATION OF PEER REVIEW DOCUMENTATION**

Faculty submitting documentation specifically in a year for promotion and/or tenure decisions must follow the guidelines and application format outlined by the University of Maine at: <http://www.umaine.edu/hr/>. For other peer review evaluation submissions the following more condensed format based on the University guidelines should be followed.

NAME, PRESENT RANK, COLLEGE/SCHOOL:

RANK/TITLE HISTORY:

Example:

Sept 1. 2001. Associate Professor with Tenure or Tenure at the rank of Associate Professor.

Sept 1. 1994. Appointed Assistant Professor

#### **A. DOCUMENTATION OF TEACHING (INCLUDING ADVISING)**

Please note the percentage of your time devoted to teaching

- List the numbers and titles of courses you have taught including graduate courses. Include the average number of students in each course. Indicate those courses you teach regularly, those you have developed, and those you have substantially restructured. Note: This information is requested in the Table in Section IV at <http://www.umaine.edu/hr/forms/evalsheet.pdf>  
You may attach and refer readers to that table.
- Identify any special teaching assignments or innovations, including grants submitted on behalf of academic programs, participation in teaching workshops, etc.
- Provide a concise description of your strategies and approaches in the advising process. e.g. Do you have regular meetings? How do you make contact with advisees that don't come to your office? How do you ensure that your advisees are meeting the General Education requirements? How many undergraduate students (majors, undeclared students, honors students) do you typically advise during the academic year? Include the results of any evaluations by your advisees.
- Provide a brief statement describing your recent advising commitments for honors theses, master's, and doctoral dissertation committees (if applicable). Provide evaluative information on your teaching of graduate students in the classroom and on your thesis advising (e.g., student evaluations, peer evaluations, administrative evaluations, presentations and publications of your students (if not listed in the research section of this application already.)

- A summary of qualitative and quantitative student evaluations must be included here. Individual student evaluation forms should not be included. . Please use the form titled Summary of Courses Taught and Student Evaluations (page 5 of the UMaine application guidelines). Results of narrative evaluations should be presented as concisely as possible. If evaluations are uncharacteristically poor for one course or one semester, please explain. If some of the courses were taught in collaboration with others, note the percentage of the course taught by you in the remarks column of the table.
- List teaching awards, if any.
- Provide a recent condensed syllabus for each course taught.

## **B. DOCUMENTATION OF SCHOLARSHIP AND PROFESSIONAL ACTIVITY**

Please note the percentage of your time devoted to research.

### 1. Publication and Creative Works

Provide a full bibliography of published work cited in the standard entry form used in your field. Please sort the publications by type and list, and peer reviewed and/or non reviewed (noting with an asterisk those that were refereed), under separate headings for articles, (include those in press and note refereed articles), books and monographs, textbooks, technical reports, reviews, published computer software, chapters, conference proceedings, published abstracts, edited publications, and miscellaneous publications. Each entry should note all authors, date of publication, and page numbers.

### 2. Professional Presentations

List unpublished papers authored by you, delivered at professional conventions and before professional groups, noting with an asterisk those that were refereed. Indicate those for which you were the presenter. Invited talks may also be included in this section.

### 3. Other Scholarly Activity

- List professional organization memberships and activities, including offices held and committee memberships.
- List international, national and regional meetings attended and sessions chaired.
- List your service in reviewing papers submitted for publication, grant proposals, and/or service as a member of a review panel.
- List any other scholarly activity that you believe would support your candidacy for tenure and/or promotion.

### **C. DOCUMENTATION OF RESEARCH/TRAINING GRANTS**

List grants, contracts, or fellowships for which you have applied and indicate those awarded, including agency name, date applied, and disposition. (Please include the dollar amounts of all proposals funded and unfunded.)

### **D. DOCUMENTATION OF SCHOOL/CAMPUS/COLLEGE SERVICE**

Provide information about your contributions to School, college, and University affairs, including committee membership, and advising student organizations. Identify the group, activity, and date.

### **E. DOCUMENTATION OF PUBLIC SERVICE**

List both compensated and uncompensated public service activities that utilize your professional expertise. Do not include service rendered in the role of a citizen. Include dates for each activity listed. (Particular emphasis should be given to service that contributes to the economy, culture, and quality of life of citizens of Maine, the region, and the nation.)

### **F. DOCUMENTATION OF SPECIAL RECOGNITION/AWARDS**

List and comment on any prizes, special recognition, awards, or other honors you have won.

**Deadline for Submission to Peer Committee by Faculty Member:** (See UMaine guidelines and application format web site for specific date. Generally this will be on or around **October 1<sup>st</sup>** of each year).

**APPENDIX B**  
**TEACHING, RESEARCH AND PUBLIC SERVICE EFFECTIVENESS GUIDELINES**

A. Teaching

Teaching is the primary mission of the University. Therefore, high quality teaching is expected of all faculty members and the development of a teaching portfolio should be encouraged.

Common teaching metrics include:

1. Maintenance of high academic standard for student performance.
2. Involvement in faculty development activities to improve teaching (attendance at workshops, seminars, or conferences on teaching; development of teaching skills in some manner that are brought to the classroom).
3. Evidence of efforts to develop new courses or revise and improve existing courses (course revisions, development of teaching aids, updates in course currency, etc.)
4. Development of teaching materials such as textbooks, workbooks, laboratory manuals and/or exercises, etc.
5. Quality and effectiveness of classroom teaching as demonstrated by student evaluations.
6. Quality and effectiveness of classroom teaching as demonstrated by peer evaluations when requested by a faculty member.
7. Demonstrated incorporation of modern technology into classroom teaching and student learning situations.
8. Authorship of proposals to obtain grants for teaching-related activities.
9. Successful direction of student's undergraduate research projects, special problems courses, internships or other scholarly activities.
10. Demonstrable evidence of excellence on standardized or normed tests.
11. Evidence of effective academic advisement and professional involvement with students in other out-of-class settings (clubs, organizations, field trips, etc.)
12. Receipt of awards for teaching.
13. Service as a teaching mentor to colleagues (conducting teaching workshops, presenting teaching-related seminars, mentoring new faculty members, etc.)



## B. Scholarship and Professional Activity

Faculty members in the School are to be active scholars in their professional disciplines. Scholarly activity excellence may generally be demonstrated via publication in recognized, peer-reviewed outlets. Applied research publications in non-refereed outlets should be recognized as acceptable but do not carry the same level of credibility as refereed Journal publications. The order of authorship, first through last, and the contribution assigned to the faculty member under review in multiple-author papers, will reflect disciplinary norms.

1. Publication of original research results in professional journals. Authorship (or editorship, if applicable) of published scholarly books (including textbooks), book chapters, patents, computer software, peer reviewed technical reports or peer reviewed technical manuals.
2. Presentation of research results at professional meetings or conferences. This may include presentations given, session development, active participation in committees, meeting planning, etc. as opposed to attendance at a meeting.
3. Authorship (primary or co-investigator) of proposals to obtain grants for research-related activities.
4. Presentation of seminars or workshops related to research.
5. Reviews of journal articles, books, manuscripts, or grants proposals for external agencies.
6. Consulting or similar professional work with businesses, associations or governmental agencies that leads to identification and/or solution of real world problems. Written documentation (external whenever possible) of the nature, scope, and professional significance of the work must be provided.
7. Involvement in faculty development activities to improve research skills or competencies (attendance at workshop, seminars, or conferences on research; acquiring knowledge of new research techniques, training in how to run analytical equipment etc.)
8. Active involvement in professional organizations and societies related to the faculty member's area of expertise.
9. Evidence of successful progress in long-range research projects and programs which may include single or multiple foci.
10. Maintenance of successful research collaborations with colleagues internal or external to the University.
11. Receipt of awards and honors for scholarship or professional activity.

### C. Service

Faculty members are expected to be involved actively in service to the School, the College, the University and the community. Service activities necessarily vary widely in scope but contributions are those in which the faculty member contributes his or her knowledge, time, and skills in work that betters the institution, the community or that strengthens the environment for the State's workers. Chairing, holding office, or otherwise directing or leading a committee, task force, organization, or activity group is more valuable than participation or membership alone.

Other metrics may include:

1. Involvement with University, or School committees or task forces ("University governance").
2. Involvement with community organizations, boards or activity groups.
3. Documented contributions to University or community betterment made by the faculty member as an individual.
4. Contributions of the faculty member's expertise to support the State's forestry or forest products infrastructure.
5. Assumption of leadership roles in service activities.
6. Receipt of awards and honors for service activities.

## RETENTION, PROMOTION, AND EVALUATION PRACTICES

### SCHOOL OF MARINE SCIENCES

Peer evaluation is a process intended to aid the development of faculty members. Procedures for appointment, reappointment, non-reappointment, promotion, and tenure are detailed in Articles 7, 9 and 10 of the most recent Agreement between the University of Maine and AFUM. Criteria to be applied within those procedures are given here. Because faculty members in the School of Marine Sciences differ in their responsibilities, each individual will be evaluated on the basis of his or her commitment to teaching, research, and service as categories designated in his or her *PeopleSoft Appointment Form* (formerly the *Personnel Action Form*). It is the responsibility of the Director of the School to provide the Peer Review Committee with full details regarding each individual's assignments and conditions of employment.

#### Composition of the Peer Committee

The SMS Peer Review Committee is responsible for peer reviews and recommendations for (re)appointment, tenure, promotion and post-tenure awards. The Committee will consist of eight full-time members of the SMS faculty. Two members will be elected by faculty in the Marine Biology Program area, two members will be elected by faculty in the Oceanography Program area, one member will be elected by faculty in the Aquaculture Program area, one member by faculty in the Marine Policy Program area, and two members will be elected at large. Each Committee member will serve a renewable three-year term. The Peer Review Committee will elect a chair annually. For each program area, a subcommittee will be formed, consisting of the Peer Review Committee members representing that program area and additional members of the SMS Peer Review Committee. Individual reviews and recommendations will be initiated within the appropriate subcommittee. These reviews and recommendations will be voted upon by the entire Peer Committee, with a simple majority sufficing for passage. Only peer committee members holding equal or higher rank than the candidate may vote. In the case of a tenure decision, only tenured members may vote.

#### Retention, Promotion and Tenure

Untenured faculty and non-tenure-track faculty will be evaluated annually or biennially for reappointment on the basis of the same criteria used for tenure decisions. A copy of this document and a copy of the current University of Maine Promotion and Tenure Format shall be given to each untenured faculty member at the beginning of each academic year. The Peer Review Committee is expected to provide untenured faculty with a forthright indication of their progress towards tenure, explaining where improvement is required and offering suggestions as to how performance can be improved.

For retention, a candidate must demonstrate thorough professional competence. For promotion to Associate Professor with tenure, a candidate must have demonstrated scholarly productivity of high quality, be recognized for consistent success in teaching, and have documented active service. Promotion to Professor requires that the candidate has demonstrated sustained scholarly productivity of high quality, and is recognized for outstanding leadership by national and international peers. To be recommended for tenure or for promotion to Professor in the tenure track, a person must be rated "excellent" in the primary category (largest percentage of appointment) and at least "satisfactory" in the remaining category or categories. Some faculty members may not have a primary category, but have two categories with equal percentages of appointment. When percentage assignments in the top two categories are tied, such faculty members must be rated "excellent" in at least one of those categories and at least "very good" in the other. Performance must be at least "satisfactory" in the third category. Faculty members with non-tenure-track appointments (*e.g.*, soft-money research faculty members) will be evaluated on the basis of their appointments. Their promotion to the rank of Professor without tenure also requires a rating of "excellent" in the category of their primary assignment. For the purposes of peer review, promotion and tenure, the definitions of "excellent", "very good", "satisfactory" and "improvement needed" are those contained in this document. Criteria for retention, promotion, and tenure are those used for annual evaluations. Persons appointed to the faculty of the School at the rank of Associate

Professor or Professor, without tenure but on the tenure track, will be evaluated for tenure on the basis of the criteria for promotion to Associate Professor or Professor, respectively. Post-tenure reviews at Associate or Professor levels will use the same performance criteria used for promotion to these respective ranks, with the caveat that the candidate for review may, with advice and consent from the Director of SMS and the Dean of CNSFA, elect to change percentages of appointment in teaching, research and service. Evaluations will be based on the percentages of appointment in place at the start of each fiscal year.

## **Teaching**

### Advising

Faculty members in the School of Marine Sciences are expected to advise students. Quantitative metrics of performance include numbers of undergraduate and graduate advisees, of memberships on honors and graduate committees, of Capstone and honors theses supervised, of advisee-authored papers published and of advisees receiving degrees. Metrics of quality of performance may include: written evaluations from advisees; indicators of student progress, such as the quality of undergraduate research projects (*e.g.*, those required as part of the School's Capstone course); and, the quality of graduate research. Although these indicators depend on the quality of students, a consistent pattern of excellent or poor performance by a faculty member's advisees is a reliable indicator of effectiveness.

### Instruction

The faculty member must demonstrate success in teaching at the undergraduate or graduate levels. Effective teaching includes setting and achieving appropriate course goals and successfully communicating with and inspiring students. Evaluation will be based on student evaluations, verifiable opinions of peers and students, and information submitted by the faculty member, such as a statement of teaching philosophy and strategy including multiculturalism and gender issues, efforts undertaken to improve teaching, course or curriculum development or innovations, and teaching awards received. Effectiveness and willingness in teaching of required core and introductory courses, rather than only in the faculty member's specialty, is particularly valued. Evaluation of faculty for retention, tenure, or promotion should include examination of teaching effectiveness.

### Course and Curricular Development

Curricula of the degrees offered by the School of Marine Sciences must be reevaluated on a continuing basis to reflect advances in knowledge and changes in the needs and interests of students. Faculty members are expected to contribute to curriculum review and development, and when appropriate, to update their courses or offer new courses in response to new developments.

### Definitions:

- |               |  |
|---------------|--|
| Excellent:    | Faculty member is highly successful in motivating and teaching students as evinced by information presented to the Peer Review Committee. Faculty member consistently presents challenging material in an engaging learning environment, is in demand as an advisor, and is a role model for effective teaching practices. Graduate-student advisees are consistently successful in coursework and research. |
| Very Good:    | Faculty member meets many of the criteria outlined above and has consistent success in teaching and advising.  |
| Satisfactory: | Faculty member is conscientious and effective in teaching and advising based on the criteria outlined above.   |

Improvement Needed: Faculty member fails to perform satisfactorily on one or more of the criteria specified above.

### **Research and other Scholarly Activity**

The faculty member must demonstrate success in scientific research or other scholarly activity. In the School of Marine Sciences, scholarly activity is usually manifested by basic or applied scientific research and, ultimately, in results worthy of presentation to other scientists or groups of individuals who may find the information useful. In the case of applied research the impact on the people and industries of Maine, the USA and the world will be considered. High-quality achievement will be characterized by published research (including maps, articles in refereed periodicals, books or portions of books, abstracts), computer models, and invited and contributed papers delivered at scientific meetings. Seeking appropriate levels of financial support for an individual's research program is expected, and success will be used as one indicator of performance. Acknowledgment will also be given to scholarly activity other than research. It is expected that these endeavors will ultimately result in publications, applications for grants, or communication with one's peers in the form of presentations at professional meetings. Publication success will be interpreted as a combination of numbers, significance, contribution to authorship, journal quality, citations, and other evidence of impact. This success will be evaluated in contexts of field of inquiry, percent of time allocated to research, and stage of the faculty member's career.

At times of evaluation for retention, tenure, or promotion, documentation should be presented to the Peer Review Committee on publications or other outcomes of research, invited and contributed presentations, grant and contract applications and outcomes, awards or honors received, and any other pertinent information.

#### Definitions:

- |                     |   |
|---------------------|---|
| Excellent:          | Faculty member is recognized as a leader and innovator in her or his field as evinced by recent and regular high-quality publications in refereed journals or books, a sustained research program, and invited and contributed presentations at national or international conferences and symposia. |
| Very Good:          | Faculty member has a national reputation for research or scholarship extending beyond the campus as evinced by regular publications in refereed journals, books, and presentations at national or international conferences or symposia.  |
| Satisfactory:       | Faculty member presents evidence of sustained effort in scholarly research activity normally resulting in publications and presentations at professional meetings.  |
| Improvement Needed: | Faculty member fails to perform satisfactorily on one or more of the criteria specified above.  |

## Service

### University Service

Faculty members are expected to contribute willingly to the activities of the School. These contributions may include coordination of any of its various programs (*e.g.*, graduate program and special seminar series), committee activity (*e.g.*, ad hoc, Peer or Policy Advisory) or representation of the School in larger units (*e.g.*, selection committees, curriculum committees or governance boards). Faculty members are also expected to serve on University and College committees. Evaluation of these activities will be based upon information provided by the candidate and, where necessary, verifiable opinions of associated faculty and administrators.

### Public Service

Public service activities of the School vary widely in nature and extent depending on the appointment and job description of the individual and on their area of research expertise. The research of some faculty members is immediately applicable to local marine industries. It is appropriate for them to engage in more activities that are designed to assist in the dissemination of their knowledge to the lay public than it would be for other faculty members. Some faculty members are able to contribute to community, state, or regional organizations and agencies with interests in their activities and expertise, for example by educational outreach. All faculty members are expected to respond in a professional manner to individual inquiries within their area of expertise.

### Professional Service

Faculty members will often belong to professional societies, serve on editorial boards of professional journals, staff review panels for various federal and other granting agencies, and act as peer reviewers for grant proposals and manuscripts. These activities enhance the national and international reputation of the School and University and are important in the recruitment of highly qualified faculty members and graduate students and in successful competition for extramural funding. Participation in these activities will vary greatly among faculty members, but is encouraged and is recognized as an important contribution.

### Definitions:

- Excellent: Faculty member demonstrates leadership and extensive contributions in the areas of university, public or professional service.
- Very Good: Faculty member is actively and effectively involved in university, public or professional service.
- Satisfactory: Faculty member participates willingly and effectively in university, public or professional service.
- Improvement Needed: Faculty member fails to perform satisfactorily on one or more of the criteria specified above.

### **Emeritus status**

The School awards emeritus status to allow former faculty members to continue a level of professional activity that benefits the School and the University. The Peer Committee will consider applications for emeritus status from retired faculty members. The application should include a two-page outline indicating what professional activities will continue during retirement and what resources (if any) are required (*e.g.*, space, secretarial support, etc.).

---

Revision as adopted by SMS Faculty 13 December 2013; further revisions 21 February 2014  
Effective July 1, 2014.

# **Retention, Promotion, and Evaluation Criteria and Guidelines**

University of Maine  
School of Food and Agriculture

Approved by the Faculty, January 8, 2016  
Approved by the Provost, February 16, 2016

University requirements and procedures for appointment, evaluation, reappointment, promotion, and tenure are detailed in the current Agreement between the University of Maine and AFUM. Because members of the faculty in the School of Food and Agriculture differ in their responsibilities, each individual will be evaluated in proportion to his or her commitments to teaching, research, and service. The Director of the School will be responsible for providing the Peer Review Committee with full details regarding each individual's assignment, conditions of employment, and any Maine Agricultural and Forest Experiment Station commitment. Differences in job descriptions and specific responsibilities among faculty will be taken into consideration in peer evaluations.

The Peer Review Committee consists of six tenured faculty members elected by the faculty to represent the disciplinary breadth of the School (animal and veterinary sciences, aquaculture, food science, human nutrition, landscape horticulture, and agriculture). The School Director is responsible for ensuring that all research areas are represented on the committee. The initial terms for members of the Committee will be staggered so that two new members are elected each year to a three-year term. Members can be elected to serve two consecutive terms. A voting committee chair will be appointed by the Director for a three-year term to serve as the seventh member. A Faculty Mentor may participate in the Peer Review process for tenure-track faculty, serving as an ad-hoc, non-voting representative. At least one Committee member should hold an appointment from Cooperative Extension. The Peer Review Committee conducts all evaluations of faculty, and will meet with them as part of the review process. It is expected that Assistant Professors, instructors, and lecturers will meet annually with the committee to review their progress. The Promotion and Tenure Committee has the same composition as the Peer Review Committee, except for promotion to Professor, when Associate Professors on the Peer Committee are replaced by Professors elected by the School faculty. Individual faculty members should consult the University of Maine Human Resources website for details on deadlines and format for documents.

## **Criteria for Annual Evaluations, Retention, Promotion, and Tenure**

The hallmark of a university professor is a creative and productive mind. For retention, promotion, or tenure, a faculty member must demonstrate thorough professional competence as reflected in teaching, research, and service to the University, the public, and professional organizations. The standards for evaluation are organized under the headings of teaching, research, and service. Evaluation of instructors and



lecturers will focus on the areas of teaching and service as appropriate to their job descriptions.

### **Teaching, Advising, and Academic Leadership**

Reappointment, promotion, and tenure in the School of Food and Agriculture require high-quality performance as a teacher. In addition, there should be a clear commitment to continuous development as a teaching professional throughout a faculty member's career. In evaluating the teaching performance of a faculty member, the Peer Review Committee will examine a number of teaching indicators to determine whether the person has met generally accepted standards of course instructional quality characterized by clear and well-organized presentations, informative lessons and learning experiences, fair and rigorous testing, and a high level of motivation and time investment.

Advising, both undergraduate and graduate, will be considered as part of the teaching load. Faculty will report the number of students that they advise and present information on their advising strategies, procedures, and successes. Faculty are expected to participate in an appropriate level of both advising (e.g. course selection, career planning) and mentoring (e.g. unassigned supervision of independent studies, theses and dissertations) of students. Not accepting unassigned individualized instruction or independent studies will not be held against faculty during the peer review process. Faculty are also expected to participate in ongoing programmatic assessment activities. For some faculty, program leadership and coordination activities are an important component of the academic appointment. Documentation of these efforts should be presented.

The School of Food and Agriculture Teaching Workload Spreadsheet (Appendix A) will be used to assure that the teaching workload is appropriate given the range of academic activities and the faculty member's percent teaching appointment.

Faculty teaching performance will be evaluated on the basis of information and responses focused on the following questions and self-assessment.

1. How do students rate the quality and content of the instructor's classes? Student evaluations will be examined, with particular emphasis on overall rating of the instructor and overall rating of the course. Average and median scores will be evaluated and may be compared to those for other School courses at the same level in the same year. In assessing these results, the Peer Review Committee will be mindful that some factors such as the difficulty of the course material may affect scores and that outlier responses can have a large impact in small classes. Written student comments will also be reviewed for trends or tendencies, positive or negative.
2. To what extent has the faculty member made efforts to develop courses and course content? Course quality, organization, clarity, content, rigor, creativity, and student participation may be considered. Other considerations may include preparation of course materials, new exercises, and new learning experiences to

- improve teaching skills through participation in training sessions, or to initiate new teaching approaches or technological developments?
3. To what extent has the faculty member made efforts to pursue the scholarship of teaching through educational grants, presentations to peer groups, developing course materials for use by others, conducting educational research and publishing the results?
  4. Has the faculty member received any teaching awards or other special recognition of teaching quality that should be considered by the Peer Review Committee?
  5. Has the faculty member participated in ongoing programmatic assessment activities, e.g. contributing materials to review documents, attending assessment meetings, and meeting with internal and external review boards or teams?

## **Research**

*For promotion to Associate Professor with Tenure*, a faculty member will be expected to have generated a body of research and scholarly work that establishes the person as a creative and productive scientist in comparison with peers in the discipline. The number of high-quality scholarly publications judged to be acceptable for a given faculty member will be governed by the nature of the field of inquiry and the person's workload assignment. In general, it would be expected that a faculty member with a 50:50 teaching/research appointment will produce a minimum of five significant publications in peer-reviewed journals during the tenure evaluation period. It is also important that the faculty member demonstrates efforts and success in gaining external funds in support of university research and scholarship, presents research findings at professional meetings, and contributes as a research advisor and mentor in the training of graduate students.

*For promotion to Professor*, a faculty member will be expected to have generated a body of sustained, well-cited research and scholarly work that establishes the person as a creative and productive scientist in comparison nationally and internationally with peers in the discipline. In general, it would be expected that a faculty member with a 50:50 teaching/research appointment will produce a minimum of one significant scholarly publication in peer-reviewed journals annually during the period following promotion to Associate Professor. Other scholarly outputs will also be considered. It is also important that the faculty member demonstrates success in gaining external funds in support of university research and scholarship, presents research findings at professional meetings, and contributes as a research advisor and mentor in the training of graduate students.

In preparing the application for tenure and promotion to Associate Professor or for promotion to Professor, the faculty member will include written self-assessment that summarizes his/her research and scholarly activity and its significance. External peer reviewers will be asked to evaluate how the candidate's research and scholarly work compare to that of peers in the discipline, and will be asked to respond to the following questions, while keeping in mind the nature of the faculty member's appointment.

1. What is your assessment of the candidate's scholarly contributions to the discipline, and his or her regional, national, and/or international reputation among professional peers? How has the candidate's research helped to advance the field?
2. What is the quality, creativity, and significance of the published work?
3. To what extent has the candidate been successful in funding a research program?
4. Has the candidate contributed effectively to the training of graduate students?

### **Service**

Although faculty members are evaluated primarily on their teaching and research, faculty members are expected to contribute productively to the service activities and outreach mission of the university, to participate in ongoing programmatic assessments, to share their expertise with the public, and to serve their profession. Evaluation of service activities will be based on information provided by the individual, departmental colleagues, administrators, and, where appropriate, outside reviewers or colleagues.

#### *Service to the University of Maine*

Each faculty member shares with other colleagues the responsibility for participating on a regular basis in committee assignments or coordination activities within the department, college, and university. These contributions may include organizing seminars, conducting peer reviews, serving on standing committees or governance boards, working on search committees, advising student organizations, coaching student teams and otherwise contributing to the day-to-day functioning of the institution.

#### *Service to the Public*

Public service activities of departmental faculty vary depending on the appointment and job description of the individual. In general, faculty members are encouraged to share their knowledge and expertise with the public through participation in seminars and workshops, involvement in outreach activities, publication of scientific bulletins written for the public or technical groups, and by responding to public requests for information (e.g., phone calls and interviews by newspaper, radio, and TV reporters). In addition, public service may involve participation on local and state advisory boards, regulatory committees, and judicial proceedings as an expert witness. If an individual's research is focused on problems tied to specific commodities or industries, the faculty member is expected to ensure that his or her results reach the appropriate audience.

#### *Professional Service*

As a part of normal professional activities, faculty members may be expected to serve on editorial boards of professional journals, to serve on review panels for granting agencies, to review manuscripts or proposals, to serve as officers or committee members for professional organizations, to organize or chair sessions at professional meetings, and to serve on graduate committees for students at other institutions. These activities enhance the reputation of the school, the University of Maine, and the individual, and are recognized as an important contribution.

Faculty service will be evaluated to determine whether the individual has met the normal expectations of service described in the preceding paragraphs. The Peer Review Committee will focus on the following questions as a means of evaluating service performance, while taking into account the faculty member's appointment.

1. What is the nature and extent of the candidate's involvement in service within the department, college, and university?
2. To what extent has the candidate been involved in service to the public?
3. How has the candidate contributed to service activities in his or her profession?
4. Is the faculty member's service recognized and valued statewide, nationally, or internationally? Has the faculty member received any awards or recognition for service activities?

### **Joint Appointments**

Faculty with joint appointments in two different units will prepare and present one document for reappointment, promotion and continuing contract or tenure consideration. The administrators of each unit will draft a Memorandum of Understanding outlining the evaluation criteria and review procedures for their respective units. The administrators will also form an individual Peer Review Committee for the faculty member. The committee members will come from both units, with representation based on the faculty member's percentage of time allocated to each unit.

Faculty members submit a copy of their document to the Peer Review Committee using the format required by the unit with the major appointment. The Peer Review Committee evaluates the proposal with respect to the criteria of the unit with the major appointment. The evaluation, comments and recommendations will be forwarded to the unit administrators of both the majority and minority appointments. The unit administrators will draft a single letter summarizing their recommendations which will be forwarded to upper administration.

### **Recommendations by the Peer Review Committee for Promotion/Tenure/Post Tenure**

### *Promotion and Tenure Evaluation*

At the time of a promotion or tenure decision, the Promotion and Tenure Committee will evaluate a faculty member's application and supporting letters, and will judge whether the person's teaching, research, and public service meet or exceed department standards for promotion to Associate Professor with tenure or for promotion to Professor. If the Peer Committee is satisfied that the faculty member has achieved the performance criteria outlined in this document, the candidate will be recommended for promotion to Associate Professor with Tenure or for promotion to Professor, as specified in the application.

Assistant Professors are usually promoted with tenure after a six-year probationary period. However, in some cases, faculty may apply for promotion from Assistant to Associate Professor without tenure before the sixth year, and apply for tenure at a subsequent time.

### *Reappointments and Post-Tenure Evaluations*

Performance is evaluated in SFA based on each faculty member's appointment and thus, the proportion of time assigned to research and teaching. Faculty may have a clear majority appointment in a particular area, e.g., 80:20, Research:Teaching, or an equal split, i.e., 50:50. Performance expectations will be weighted appropriately based on these formal appointments. The SFA Teaching Workload Spreadsheet will be used as a guideline to compare actual teaching activities relative to a faculty member's assigned teaching load. While service is expected of all faculty, most do not have formal service appointments.

### Pre-tenure Annual Evaluation

For annual reappointment of pre-tenured faculty, and non-tenure track faculty prior to achievement of 'just cause protection,' the faculty member will be expected to have demonstrated consistent progress in developing a strong and productive research and teaching program, congruent with their appointment, that meets the expectations and criteria associated with promotion to Associate Professor with tenure. Evidence of this progress will take the form of the teaching, research and public service criteria discussed above. Non-tenure track faculty with no research appointment are not required to have peer-reviewed publications or research programs, although appropriate scholarly activity is encouraged. In preparing the annual evaluation of a faculty member, the Peer Review Committee will generally comment on strengths, the nature of the person's program, as well as areas that may require further attention.

### Post-Tenure Evaluation

Tenured faculty members, and non-tenure track faculty who have achieved just cause protection, are evaluated every four years using guidelines set forth in the AFUM contract. As in the pre-tenure period, post-tenure faculty performance is evaluated in the

broad areas of teaching, research and service, and ultimately judged to be either (i) above satisfactory; (ii) satisfactory; or (iii) below satisfactory, based on the faculty member's appointment.

Faculty with a 50% research appointment are normally expected to have at least three refereed publications over the four-year evaluation period to achieve a satisfactory rating. Extramural funding, scientific presentations, non-refereed publications, books, book chapters, and extension bulletins are also considered in the evaluation of research performance. Non-tenure track faculty with no research appointment are not required to have refereed publications or research programs to achieve a satisfactory evaluation, although appropriate scholarly activity is encouraged. Teaching activities are expected to be at a level close to the employee's assigned appointment. Teaching performance will be evaluated based on student evaluations of teaching, course or program development, and graduate student training activities. Service will be evaluated by reviewing activities at the level of the School, University, System, stakeholders and profession. As a component of satisfactory and above satisfactory performance, post tenure faculty, and post just cause protection faculty are expected to participate effectively in the normal activities of the School, such as committee service, faculty meetings, thesis defenses, seminars, and non-classroom interactions with students, such as clubs, etc.

Performance deemed "above satisfactory" will require productivity exceeding expectations in a faculty member's majority appointment area while achieving at least satisfactory performance in their minority appointment area and in service activities. Faculty with evenly split research and teaching appointments are expected to likewise exceed expectations in one area and at least meet expectations in the other and in service activities to achieve an evaluation of "above-satisfactory."

**PEER COMMITTEE GUIDELINES**

**AND**

**GUIDELINES FOR FACULTY MEMBER EVALUATION, PROMOTION,  
AND/OR TENURE**

**SCHOOL OF FOREST RESOURCES**

**University of Maine**

**Orono, ME**

**January 1, 2021**

**Approved:** Aaron Weiskittel, Peer Committee Chair

**Date:** December 17, 2020

**Approved:** John C. Volin, Executive Vice President for Academic Affairs and Provost

**Date:** December 17, 2020

**Effective:** September 1, 2021

Guidelines to be reviewed again no later than five years from this date.

## **I. Peer Committee Membership**

### **A. Membership and Voting**

Peer evaluations shall be conducted using a two-tiered committee structure. The Voting Peer Committee, which consists all tenured faculty, shall vote on promotion and/or tenure decisions and the Administrative Peer Committee, which consists of an elected five-member subset of the Voting Committee plus one untenured faculty, which shall solicit evaluation documents from the faculty member under review, schedule necessary meetings, record voting outcomes, and write evaluation letters. All faculty within SFR are invited to attend and participate at Peer Committee meetings, but no member of the Voting Peer Committee shall be present during evaluation of that member's spouse, partner, or other family member or someone with explicit conflict of interest. In addition, no member of the Administrative Peer Committee may write a letter for a promotion and/or tenure decision involving that member's spouse, partner or other family member. These conflict of interest guidelines will also apply to all other Peer Committee actions on personnel as no member of the Peer Committee shall vote on a promotion and/or tenure decision involving that member's spouse, partner or other family member, or where another type of conflict of interest may exist. Only tenured faculty members may vote on promotion and/or tenure decisions, while only those with the rank of Professor may vote on promotions to the rank of Professor.

The Administrative Peer Committee of the School of Forest Resources (SFR) shall consist of six elected faculty members in the School and representative of all SFR programs, one of which will be untenured. Members of the Administrative Peer Committee will be elected to three-year terms by the faculty, of no more than two successive terms. Terms will be staggered to distribute the turnover over time. The School Director or Acting Director shall be an *ex officio* committee member who does not participate in peer evaluations, but whose role shall be to provide the committee with the information they deem necessary.

Faculty having formal joint appointments with other units of the University of Maine (academic, research, other) will have a peer committee comprised of members from each unit, and the Peer Committee Chair for each unit will serve on said committee. The size of the committee shall be agreed upon with input from the SFR Director and other unit leaders as well as the Peer Committee Chairs from each program, unless an MOU with review procedures has been established; then the process set forth in the MOU supersedes this document.

A quorum of two-thirds of the voting members of the SFR Peer Committee is required for decisions on annual evaluations, promotion and/or tenure, sabbatical leave, or any other Peer Committee matters requiring a vote of its membership.

### **B. Peer Committee Chair and Vice Chair**

The Administrative Peer Committee Chair's responsibilities include scheduling Peer Committee meetings with input from the SFR Administrative Support Specialist as needed, convening the meetings, and making sure all agenda items are covered. Voting Peer Committee members shall receive ample notice for Peer Committee meetings at which decisions on annual evaluations,



promotion and/or tenure shall occur. For other Peer Committee meetings, the Administrative Peer Committee Chair will strive to give all faculty members at least a one-week notice.

The Chair of the Administrative Peer Committee, with input from the SFR Administrative Support Specialist, is responsible for making certain that evaluation, reappointment, and promotion letters are properly prepared, reviewed, and signed by the Voting Peer Committee. The Administrative Peer Committee Chair is also responsible for submitting the letter and any documentation to the SFR Director prior to required deadlines. All Voting Peer Committee members, as well as the faculty member being evaluated, shall receive a copy of the evaluation letter.

The Vice Chair of the Administrative Peer Committee shall be elected by a vote of the Voting Peer Committee members for a one-year term. The Vice Chair automatically advances to the position of Chair the following year and serves for a one-year period in that position. The SFR Director has the responsibility to ask for candidates willing to serve as Administrative Peer Committee Vice Chair and to organize the election for the Vice Chair position. The Administrative Peer Committee Vice Chair is responsible for keeping the notes of meetings and other administrative duties as appropriate

## **II. Responsibilities of the Peer Committee and the Candidates for Tenure and/or Promotion**

### **A. Performance Evaluation**

The Voting Peer Committee shall evaluate faculty member performance in accordance with Article 10 of the Association of Faculty at the University of Maine (AFUM) Agreement. The purpose of the evaluation is to critique in a supportive, positive fashion the demonstrated strengths and weaknesses of the individual's performance and to recommend, when needed, how improvement can be instituted. The evaluation goal is to enable each faculty member to become a more effective professional and thus enhance the SFR's productivity so that it might better meet its stated goals. The Voting Peer Committee is responsible for reviewing the progress of each faculty member, and voting on reappointments, promotions, and/or tenure. The Voting Peer Committee should provide an opportunity for an in-person discussion with the faculty member being evaluated during the evaluation process.

Because faculty members have varied responsibilities and academic appointments, performance evaluation criteria should generally be considered on a case-by-case basis with duties mutually agreed upon between the SFR Director and the faculty member. Although faculty appointments differ with respect to the percentage of effort devoted to teaching and research, all tenured or pre-tenured faculty are expected to participate in all areas associated with the University of Maine mission – teaching, research, and service. For tenured or pre-tenured faculty with an appointment other than 50% teaching/50% research, more weight will be given to performance in the area where the greatest percentage of the appointment lies.

Faculty in 'shared' or 'joint' positions present a special case regarding peer evaluations. In such cases, performance evaluations should recognize that the faculty member may have obligations

to the agency beyond those imposed by SFR or even the College. Thus, performance evaluation criteria may be considered on a case-by-case basis, with duties mutually agreed upon between the SFR Director and the faculty member, with input solicited from the agency representative when necessary.

For soft-money faculty (e.g., Assistant Research Professor), performance evaluation should take into consideration their primary responsibility to external grant and contract commitments, and in some cases their status if in a part-time appointment. The Voting Peer Committee should focus on the faculty member's accomplishments relative to their grants and contracts, their contribution to the mission and reputation of the University of Maine, and their efforts where possible to contribute to the University's mission through contributions to classes, graduate students, or service.

The categories for evaluation in teaching, research and service will be 'Above Satisfactory,' 'Satisfactory' or 'Unsatisfactory.' If there are no assigned responsibilities for teaching or research in the faculty member's appointment, that category should be marked as 'N/A,' but any contributions in that category can be noted in the narrative. Written evaluations from the Peer Committee will be provided for all categories for each evaluation year.

## **B. Evaluation Report Preparation and Evaluation Schedule**

Peer evaluation reports completed by each faculty member will describe their activities only for the evaluation period in question; however, in the tenure and/or promotion review year, documentation will include accomplishments over the full pre-tenure period. Faculty members will provide an accurate and complete peer evaluation report for review by the Voting Peer Committee at least two weeks prior to the evaluation date (six weeks for faculty members coming up for promotion and/or tenure). Professionalism, full disclosure, and thoroughness are expected in the written package and oral presentation to the peer committee. Full guidelines for the tenure and promotion timetable and report preparation can be found at the University of Maine System web site: <https://umaine.edu/hr/promotion-and-tenure/>.

Pre-tenure and soft-money faculty are reviewed annually, while tenured faculty are reviewed every four years. The deadline for completion of routine evaluations will fall approximately on November 10 of each year. However, the evaluation deadlines for pre-tenure faculty members and promotion and/or tenure recommendations are established by AFUM contract (Articles 7 and 9) and will be given priority over other evaluation deadlines in the year for promotion or tenure evaluation. The faculty member under review, in the year of a tenure and/or promotion decision, will provide names and contact information of potential evaluators (internal and external to the University) to the SFR Director as outlined in the University of Maine System Tenure and Promotion Format. These names must be provided to the Director at least 6 weeks prior to the evaluation by the Administrative Peer Committee. The Director will communicate with potential evaluators upon receiving the names to assess their willingness to write an evaluation and explain the anticipated timeline. When the faculty member has submitted their application materials to the Administrative Peer Committee, that material will also be forwarded by the Director to the evaluators along with guidance on the development of the evaluations. The Director with input from the Administrative Peer Committee is not restricted to requesting evaluations from the list of names provided by the faculty member under review.

Faculty members submitting applications for tenure and/or promotion must follow the University of Maine System's complete Tenure and Promotion Format guidelines (above). For all other evaluations, this format is also encouraged, which can be found at:

<https://www.maine.edu/students/office-of-the-vice-chancellor-of-academic-affairs/tenure-promotion/>

Evaluation is not required for faculty members whose appointments will cease (due to retirement or resignation) by the end of the current academic/fiscal year.

### **C. Evaluation and Annual Reappointment of Pre-tenure Faculty members**

Following the performance evaluation of each pre-tenure faculty member, the Voting Peer Committee shall advise the SFR Director of its recommendation regarding reappointment or non-reappointment for that faculty member in accordance with Articles 7 and 9 of the AFUM Agreement. The recommendation of the Voting Peer Committee, although not binding on the SFR Director and College Dean, should be a major factor in their decisions to recommend or not recommend reappointment. A simple majority vote in favor will constitute the Committee's recommendation for reappointment to the Director. Lack of a majority in favor constitutes a recommendation not to reappoint. All members of the Voting Peer Committee participating in the report must sign the recommendation, which may include both majority and minority views. A tally of the vote record without specific voter names must be included. Dissenting opinions can also be submitted if signed by dissenting faculty members. The report must include names of the Voting Peer Committee.

To be reappointed, a pre-tenure faculty member should have demonstrated that continual progress towards satisfying the standards for tenure has been achieved. The varied nature of the School's missions and individual faculty member responsibilities preclude rigid and uniform performance standards for reappointment.

The Voting Peer Committee should provide an opportunity for an in-person discussion with the pre-tenure faculty member being evaluated prior to completion of the annual evaluation. Once complete, the Voting Peer Committee's evaluations will be sent to the Dean, along with the School Director's recommendation, concerning annual reappointment. Faculty may request a meeting with the Director to discuss the evaluation. Although this process does not guarantee a positive outcome for the tenure and/or promotion decision, it should allow sufficient time for adjustments to be made prior to the end of the pre-tenure period.

### **D. Evaluation of Instructors**

In accord with Article 8 of the AFUM Agreement, Instructors will be appointed as either tenure track or non-tenure track at the time of appointment. Those with tenure-track appointments will be evaluated in accord with the guidelines for tenure track candidates as described in this document. Instructors without tenure will be evaluated annually using the same criteria as tenured or tenure-track applicants with regard to teaching. Contributions in research and service should be included in activity reporting where applicable, but are not required to fulfill the teaching obligations for Instructor.

## **E. Evaluation of Research (Soft-Money) Faculty**

SFR employs a number of soft-money, non-tenure track faculty who contribute greatly to the mission of the unit. The evaluations of such research faculty (if employed full-time) will follow the procedures outlined in Sections II, A to C, of this document, and will reflect the nature of the faculty member's appointment (e.g., full or part-time; mix of teaching, research and/or service) over the evaluation period. As such, research faculty will be evaluated by the Voting Peer Committee at the Assistant Research Professor level on a yearly basis and after six years will be considered for promotion to Associate Research Professor with just-cause protection, as stipulated by contract.

After promotion to Associate Research Professor, faculty will be reviewed every four years and will be eligible for promotion to Research Professor after six years. Research Faculty are not eligible to receive tenure from the University. The Voting Peer Committee should provide an opportunity for an in-person discussion with the soft-money faculty member being evaluated prior to completion of the evaluation.

## **F. Tenure and/or Promotion**

Granting of tenure to any pre-tenure faculty member will be in accordance with Article 9 of the AFUM Agreement. The tenure decision is the ultimate decision to reappoint. To be reappointed, a pre-tenure faculty member should have demonstrated that progress towards satisfying the standards for tenure has been made. Any concerns about a faculty member or their program noted by the Voting Peer Committee in the years leading up to a tenure and/or promotion decision should have been addressed and rectified prior to making the tenure decision.

The Administrative Peer Committee must be instructed of any tenure and/or promotion actions by the SFR Director by the date stipulated under the current AFUM agreement (Article 9), and the Voting Peer Committee recommendation must be forwarded to the School Director and faculty member by the subsequent AFUM defined date. These dates will also be found at the University's web site for Tenure and/or Promotion: <http://www.maine.edu/about-the-system/system-office/academic-affairs/tenure-and-promotion/>.

All members of the Voting Peer Committee present during the evaluation must sign the recommendation, which may include both majority and minority views. A tally of the vote record without specific voter names must be included. Dissenting opinions can also be submitted if signed by dissenting faculty members. The report must include names of the Voting Peer Committee.

Faculty members applying for professor or early tenure may withdraw their package at any time during the deliberations.

Prior to submission for tenure and/or promotion to Associate Professor, a pre-tenure faculty member should have demonstrated a high degree of competence, as judged by the Voting Peer Committee, in their professional activities that address the responsibilities of the position and the mission of the School. In addition, the faculty member coming up for tenure is typically expected in the year prior to have received ratings of 'Above Satisfactory' in at least two of the three

categories of teaching, research, and service, including achieving a rating of ‘ Above Satisfactory’ in the dominant area of responsibility for their position (for appointments 50%/50% at least one requires an ‘ Above Satisfactory’ rating). Soft-money faculty members coming up for promotion are typically expected to have received ratings of ‘ Above Satisfactory’ in their primary area of responsibility. An ‘Unsatisfactory’ rating in any category in the year the faculty member is being reviewed for tenure or promotion will result in the faculty member not being considered for tenure or promotion. An ‘N/A’ rating is not ‘Unsatisfactory’, as the faculty member is not expected to perform duties in areas rated ‘N/A’.

To be considered for promotion to Professor, a faculty member should have maintained the above criteria for tenure and/or promotion to Associate Professor and in addition have consistently demonstrated a continued high degree of competence regarding responsibilities of their position. The faculty member should have peer ratings of ‘Above Satisfactory’ in two of the three categories of teaching, research, and service in the years leading up to their promotion including achieving a rating of ‘Above Satisfactory’ in the dominant area of responsibility for their position (for appointments 50%/50% at least one requires an ‘Above Satisfactory’ rating). In addition, the faculty member should have achieved a regional, national, and, when appropriate, international professional reputation within their discipline where appropriate that enhances the University’s reputation.

For all levels of promotion and/or tenure, faculty members are expected to promote professionalism, diversity, and inclusion in their professional pursuits.

## **PERFORMANCE EVALUATION**

### **I. INSTRUCTION**

#### **A. Teaching Load**

Faculty members with teaching appointments are expected to participate in formal classroom instruction, academic advising and mentoring, and other teaching-related activities. The level of teaching activity is at the Director’s discretion; however, it is expected to reflect the percent teaching appointment of the faculty member. As a guideline, the School expects an academic-year, 100% teaching appointment to average 12 credit hours of teaching per semester. This normally includes 9 credit hours of formal instruction per semester, with additional recognition given for contributions to the academic mission that include advising, recruiting, outcomes assessment, retention activities, and academic committee work in support of the School and/or College. The expected number of credit hours can also vary according to course level, number of students in classes, writing intensive status, availability of TAs, whether the course is new or repeated, and whether a laboratory or field component is offered. Other factors to be considered include the number of undergraduates advised, and the number and level (MF, MS, PhD) of graduate students advised. The School Director is expected to balance advisee loads whenever possible, and a faculty member will not be penalized for having low advisee numbers or lower teaching load when the issue is beyond their control.

#### **B. Broad Goals for Teaching Effectiveness Considered in Evaluations**

1. Knowledge in the Field is demonstrated by evidence that the faculty member has kept up with current developments in their area of expertise (e.g., scholarly writing, regularly attending professional meetings, taking part in workshops/symposia, and remaining current in the literature of their discipline) and that course content reflects such activity.

2. Classroom Effectiveness is demonstrated by evidence that the students achieve the learning outcomes of the course as stated in the syllabus. The faculty member under review or the Peer committee may request that a senior faculty member or other external observer provides direct observation followed by a written evaluation of teaching performance. The evaluation will be included with the faculty member's documentation at the discretion of the faculty member.

3. Laboratory Effectiveness is demonstrated by exercises that involve current techniques or software to properly prepare students for the current job market and to solidify students' grasp of theory and encourage further inquiry.

4. Exams and Grading should reflect the principles and objectives for the portion of the course material being tested. Generally, graded exams should be returned within one to two weeks.

5. Activities in Support of Academic Programs constitutes the portion of time spent while interacting with students outside of the classroom. The faculty member is expected to demonstrate a respectful attitude in their interactions with students. For student advising, the faculty member is expected to be available for individual consultation and mentoring at announced times and places or when students request appointments. The sessions will provide accurate information on curricular and other University requirements. In addition to advising, the faculty member will interact with the student through activities that maximize intellectual growth, foster professional development, support diversity, foster a stimulating learning environment, and assist with efforts of student retention.

5. Undergraduate Student Research Mentoring constitutes guiding students in independent studies, research-related capstone projects (when not the capstone instructor), REU mentoring, Honors theses advising or committee membership, proposal preparation for research grants, Center for Undergraduate Research (CUGR) activities, and related research-focused activities. Undergraduate mentoring could also take the form of intensive training in field procedures, statistical modelling, coding, or the use of laboratory equipment used in research. Faculty members are encouraged to participate in these mentoring activities as a means of enhancing the undergraduate academic experience.

6. Graduate Student Advising carries unique responsibilities and rewards for a faculty member involved in research and graduate education. As a graduate student advisor, the faculty member is expected to serve as mentor, advocate, teacher, and role model. Graduate student advising is expected to adhere to best practices now widely accepted in the sciences, including regular meetings (lab meetings and/or individual check-ins, typically weekly to bi-weekly), effective mentoring, and development of timelines and benchmarks.

### **C. Specific Evaluation Criteria for Teaching Evaluations**

1. Course load commensurate with teaching appointment, as outlined above.

2. Maintenance of high academic standards for student performance and students achieving desired learning outcomes.
3. Involvement in activities to improve teaching (attending workshops, seminars, or conferences on teaching, etc.).
4. Evidence of keeping up to date with course material, developing new courses, or improving existing courses by taking part in workshops/symposia aimed at improving pedagogy.
5. Development of teaching materials such as textbooks, workbooks, laboratory manuals and/or exercises, etc.
6. Quality and effectiveness of classroom teaching as demonstrated by student evaluations.
7. Quality and effectiveness of classroom teaching as demonstrated by peer evaluations when requested by a faculty member.
8. Demonstrated incorporation of current technology into classroom teaching and student learning situations.
9. Authorship of proposals to obtain grants for teaching-related activities.
10. Successful direction of student's undergraduate research projects, special problems courses, internships, or other scholarly activities.
11. Evidence of effective academic undergraduate advising, with number of advisees commensurate with appointment.
12. Professional involvement with students in other out-of-class settings (clubs, organizations, field trips, etc.)
13. Receipt of teaching awards.
14. Clear evidence of successful advising and mentoring of graduate students. Such evidence includes timely completion of program and, for MS and PhD students, dissemination of thesis results in appropriate outlets.
15. Willingness to deliver guest lectures and laboratories, as requested.
16. Participation in additional activities in support of academic programs, such as program assessment, providing assistance to students on academic probation, and mentoring first-year students.

## **D. Ratings in Teaching**

Above Satisfactory: Faculty member is highly successful in motivating and teaching students as evinced by information presented to the Voting Peer Committee. Faculty member consistently presents appropriately challenging material in an engaging learning environment, is in demand as a graduate advisor, and is a role model for effective teaching practices. Graduate-student advisees are consistently successful in coursework.

Satisfactory: Faculty member is conscientious and effective in teaching and advising based on the criteria outlined above.

Unsatisfactory: Faculty member fails to perform satisfactorily on one or more of the criteria specified above.

## **II. RESEARCH OR CREATIVE WORKS IN DISCIPLINE**

### **A. Research Load**

Faculty members with research appointments are expected to pursue a vigorous research program in their area of expertise and to address the areas of responsibility described in their position description, unless otherwise approved by the School. The level of research activity is expected to reflect the percent research appointment for each faculty member. Responsibilities and the balance between basic and applied research activities vary widely by necessity among School faculty and may reflect the specific discipline of the faculty member, and should thus be evaluated on a case-by-case basis. Expectations for faculty members with administrative appointments (e.g., Associate Director for Undergraduate Education) should be reduced proportionately to reflect the nature of the appointment.

### **B. Broad Goals for Research Impact Considered in Evaluations**

1. Knowledge in Field requires a thorough understanding of both basic and applied principles as well as current, state-of-the-art techniques and methodology in the field of expertise and their application to the field while maintaining high methodological and ethical standards.

2. Program Development pertains to an individual faculty member's ability to organize a coordinated research program with well-defined foci. Planning and organization of a program includes identifying a problem, anticipating the requirements necessary for its solution, acquiring funding, and disseminating the results through appropriate channels. Faculty members with Maine Agricultural and Forest Experiment Station (MAFES) appointments are expected to seek research grants that support the objectives of their approved MAFES projects. However, time commitments and grant-writing efforts related to MAFES research should reflect the percentage breakdown stated in these approved projects. Release time may be included in grant requests where the research for the grant does not build upon the faculty member's current MAFES project(s) objectives. Regular communications through meetings and correspondence with colleagues working on similar problems, as well as communications with stakeholders, is encouraged.



3. Publications and Creative Works and Communications in the Discipline. Publications and creative works can be judged as a pattern of achievement over time. Accordingly, the quality and number of publications a faculty member could reasonably be expected to produce depends on the nature of the research and the appointment. Quality of performance is evaluated by factors such as (a) the reputation of the journals in which papers are published, (b) the significance of individual contributions to a scientific field, and (c) the reputation of meetings or symposia where papers are presented. Faculty members are expected to exceed the minimum guidelines listed below in order to receive an 'Above Satisfactory' rating. Promotion and/or tenure are not based solely on publication number; faculty members are expected to regularly engage in communications other than publications in refereed journals. Pre-tenured faculty are strongly encouraged to seek input from their mentors regarding measures of research productivity.

### **C. Specific Evaluation Criteria for Research Evaluations**

1. Regular publication of original research results in professional outlets. Authorship (or editorship, if applicable) may include peer-reviewed journal articles, published scholarly books (including textbooks), book chapters, patents, computer software, peer-reviewed technical reports, or peer-reviewed technical manuals. A faculty member with a 100% research appointment should average at least two or more peer-reviewed publications per year for a 'Satisfactory' rating. The order of authorship is important, and priority is given to the faculty member or their graduate student or post-doc being first author, unless a disciplinary norm dictates an alternative ranking. Applied research publications in technical outlets should be recognized as acceptable but do not carry the same level of recognition as refereed journal publications. Such outlets may include MAFES publications, research reports, newsletters or other media outlets, appropriate social media or web sites, and participation in state and federal initiatives.
2. Regular authorship (principal or co-investigator) of proposals to fund research-related activities with demonstrated evidence of successfully securing grants.
3. Regular presentation of research results at professional meetings or conferences. This may include presentations given, session development, active participation in committees, meeting planning, etc., as opposed to attendance at a meeting.
4. Evidence of regional or national recognition in research and scholarly activity.
5. Consulting or similar professional work with businesses, associations or governmental agencies that leads to identification and/or solution of real-world problems. Written documentation (external, whenever possible) of the nature, scope, and professional significance of the work must be provided.
6. Involvement in faculty development activities to improve research skills or competencies (attendance at workshop, seminars, or conferences on research; acquiring knowledge of new research techniques, training on analytical equipment, etc.)

7. Evidence of successful progress in long-term research projects and programs which may include single or multiple foci.
8. Maintenance of successful research collaborations with colleagues internal or external to the University.
9. Receipt of awards and honors for scholarship.
10. Complying with high quality and ethical research standards.

#### **D. Ratings in Research**

Above Satisfactory: Faculty member is recognized as a leader and innovator in their field as evinced by recent and regular high-quality publications in refereed journals or books, a sustained research program, success in extramural funding, stakeholder recognition, and invited and contributed presentations at local, national or international meetings, conferences, and symposia.

Satisfactory: Faculty member presents evidence of sustained effort in scholarly research activity normally resulting in publications and presentations at professional meetings.

Unsatisfactory: Faculty member fails to perform satisfactorily on one or more of the criteria specified above.

### **III. SERVICE**

#### **A. Service Load**

All tenured and pre-tenure School faculty members are expected to participate in service activities, even though there is often no explicit allocation in their contract. Soft-money faculty and instructors will have limited expectations for service, but will be recognized for service contributions as part of their Peer evaluation process. Each tenured and pre-tenure faculty member is expected to dedicate their professional expertise and some portion of their time to serve the needs of the School, College, or University, as well as a variety of stakeholders, including professional organizations, K-12 education, and/or the public, especially the Maine public.

The service activities of faculty members will vary widely depending on the nature of the position. Pre-tenure faculty members should be especially careful in providing service, however, so that service responsibilities do not overwhelm their primary responsibilities in research and instruction. Service should be in the areas of the faculty member's expertise.

## **B. Broad Goals for Service Performance Evaluations**

1. University Service: Faculty members are expected to contribute willingly to the activities of the School. These contributions may include coordination of any of its various programs (e.g., graduate program, special seminar series), undergraduate/graduate student recruiting activities, committee involvement (e.g., ad hoc, Peer, Multicultural), representation of the School in larger units (e.g., search committees, curriculum committees or governance boards), or mentoring of pre-tenure or soft-money faculty. Faculty members are also expected to serve on University and College committees. Evaluation of these activities will be based on information provided by the faculty member and, where necessary, verifiable opinions of associated faculty and administrators.

2. Professional Service: includes membership in such groups, presenting papers on non-research topics, and promoting the group's effectiveness through activities such as membership recruitment, planning of meetings, serving as an officer, or chairing meeting sessions. It is also demonstrated through activities such as editorial work on non-research publications, notes, and replies in professional journals.

3. Public Service: Public service activities of the School vary widely in nature and extent depending on the appointment and job description of the individual and on their area of research expertise. Public Service can be demonstrated by documentation of professional involvement with non-university groups as a representative of the University. The research of some faculty members is immediately applicable to local industries and agencies. It is appropriate for them to engage in more activities that are designed to assist in the dissemination of their knowledge to the lay public than it would be for other faculty members. Some faculty members are able to contribute to community, state, or regional organizations and agencies with interests in their activities and expertise, for example by educational outreach.

All faculty members are expected to respond in a professional manner to individual inquiries within their area of expertise. Public Service could be considered as involvement in non-appointed extension activities for those faculty members lacking a formal Cooperative Extension appointment. This public service activity may involve assisting in problem solving on a case by case basis, and differs from a Cooperative Extension appointment in that it is not considered an on-going educational activity.

Paid consulting may be considered public service for the purposes of SFR Peer Committee reviews. However, paid consulting cannot be pursued when it limits the ability of the faculty to meet their normal SFR responsibilities including teaching, research and, especially, other public service activities expected. If the paid consulting results in scholarly publication or presentations, it can be listed under Research.

## **C. Specific Evaluation Criteria for Service Evaluations**

1. Involvement with University, College, or School committees or task forces. Leadership in such activities is generally valued more than participation or membership alone.

2. Involvement with community organizations, boards, or activity groups.
3. Providing public talks, interviews, professional advice, or other resources, to government agencies, NGOs, schools, or citizen groups.
4. Documented contributions to University or community betterment made by the faculty member as an individual.
5. Assumption of leadership roles in service activities.
6. Receipt of awards and honors for service activities.
7. Regular reviews of journal articles, books, manuscripts, or grant proposals for external agencies.
8. Service as a teaching mentor to colleagues (conducting teaching workshops, presenting teaching-related seminars, mentoring new faculty members, etc.)
9. Active involvement in professional organizations and societies related to the faculty member's area of expertise.
10. Demonstrated effectiveness in mentoring pre-tenure or soft-money faculty.

#### **D. Ratings in Service**

Above Satisfactory: Faculty member demonstrates leadership and extensive contributions in the areas of university, public or professional service.

Satisfactory: Faculty member participates willingly and effectively in university, public or professional service.

Unsatisfactory: Faculty member fails to perform satisfactorily on one or more of the criteria specified above.

## **GUIDELINES FOR REAPPOINTMENT, TENURE AND PROMOTION**

### **SCHOOL OF SOCIAL WORK - UNIVERSITY OF MAINE**

[Approved by the Faculty of the School of Social Work, May 4, 1994 with editorial revisions, September 14, 1995 and June 29, 2005]

#### **OVERVIEW**

The purpose of this document is to provide guidelines for the reappointment, tenure and promotion procedures and decisions in the School of Social Work. This document is designed to reflect the distinctive requirements of social work education and the mission of the School of Social Work.

The mission of the University of Maine School of Social Work is to improve the quality of life for all persons by promoting excellence in social work practice. The faculty view the domain of social work as the promotion of social justice, celebration of diversity, elimination of oppression, and promotion of human achievement, all of which are essential characteristics of a society in which individuals and groups can exercise their rights to grow and realize their potential to its fullest.

In order to be recommended for reappointment, promotion and tenure, faculty must demonstrate a commitment to the mission of the School and adherence to both the National Association of Social Work (NASW) Code of Ethics and the Council on Social Work Education (CSWE) standards for social work education (page 4 provides specifics). School citizenship (defined on page four) is essential for the recommendation of reappointment, tenure and/or promotion.

#### **REAPPOINTMENT, TENURE AND PROMOTION**

Each faculty member is judged individually. Evaluation will be based on academic commitment to teaching, research, and service to relevant communities and to professional execution of assigned duties. The evaluation and assessment of faculty should document achievements and identify areas in which applicants need to improve performance. This should facilitate timely progress toward tenure and promotion and contribute to strengthening the quality of the social work program. Because of the varied workload assignments and the individual differences of faculty, not every faculty member is expected to demonstrate equal output in all three areas of teaching, scholarship, and service, but all applicants must meet the School's expectations in each area. Yearly evaluation will also take into consideration special projects such as administrative duties, grant writing completed and submitted, funded research, and other activities not necessarily undertaken by all faculty in the School.

The specific categories of duties associated with teaching, scholarship and service are listed below.

## **TEACHING**

The School views teaching as a process by which students are empowered to be active seekers, critics and users of knowledge and enabled to develop requisite skills and knowledge in preparation for professional social work practice. Therefore teaching includes formal preparation and conduct of courses with particular attention to CSWE standards and curriculum sequencing, advising, maintaining faculty expertise, collaborating with other faculty in teaching and curricular concerns and issues, working with students and supervisors in the field and meeting the individual learning needs of students in a flexible but challenging manner.

Requirements for teaching include demonstrated respect for and commitment to the individual learning needs of students, preparation of syllabi which are consistent with program objectives and with CSWE standards, continued updating of courses to incorporate new knowledge, attendance and adequate preparation in all courses, availability to students, creation and implementation of classroom and home assignments which promote student accomplishment of the course objectives, responsible handling of field assignments, timely return of assignments and sequencing of course material with all other aspects of the curriculum.

Teaching competencies are listed below. These competencies are to be evaluated by reviewing applicant's self evaluation, student evaluations, peer and colleague evaluations, review of course syllabi in assigned courses, and review of other relevant documents as appropriate. Teaching faculty should be held to these competencies but they should be applied differentially to reappointments as contrasted to tenure and promotion to associate or full professor. New faculty at the assistant professor level in their first and second reappointments are consolidating their teaching skills and mastery of content. The criteria should be applied less rigorously to such faculty and applied more rigorously to those seeking tenure or promotion to associate or full professor.

### **Knowledge and command of subject matter**

- Command of subject matter and literature in assigned teaching areas
- Ability to communicate knowledge in meaningful ways
- Teaching course content congruent with School mission and curriculum requirements
- Teaching course content congruent with CSWE standards as reflected in course syllabi
- Clarity and completeness of course syllabi
- Fair and meaningful assignments as reflected in course syllabi
- Consideration of sequenced curriculum and horizontal course relationships
- Collaboration with other faculty in planning sequenced courses
- Classroom performance
- Use of appropriate teaching strategies
- Openness to student opinions
- Provision of challenges to enhance student learning

- Development of critical thinking
- Sensitivity to student feedback

### **Advising**

- Sensitivity to student needs
- Advising students so that they can pursue the most meaningful social work education within the structure of the curriculum and assisting students in planning career goals

### **Independent Study**

- Willingness to accept students for independent study within an area of expertise and within time limitations

### **Other**

- Preparation of reports and training grants as required or assigned

### **Field Liaison** (applies only to faculty assigned to this activity)

- Conduct meaningful field seminars
- Conduct efficacious and regular field visits, with careful attention to the evaluation process
- Field supervisor training and support as needed

## **SERVICE**

The faculty of the School of Social Work defines service as making one's expertise, scholarship, and knowledge available to others within the School, College, or University; the social welfare community; and the community at large. School service includes citizenship (defined as collaborative work with other School faculty, sharing of responsibility necessary for the maintenance of School operations, continued participation in curriculum review and revision, and adherence to the NASW code of ethics and CSWE standards), attendance at and participation in faculty meetings, and service on one or more School committees. Faculty are also expected to participate in selected service commitments within one's area of expertise to one or more projects within or outside the School. Service to the community specifically addresses making one's scholarship and expertise available to others. Community includes the local, regional, state, national or international community.

**Service to the School** (should be applied with increasing rigor with each year following initial appointment in terms of quality and quantity)

- Continued participation in curriculum review and revision
- Serving on School committees
- Taking leadership roles in School functions including administrative duties or positions
- Representing the School in various arenas
- Collegiality, i.e., cooperation and collaboration with other faculty and following through on commitments made to the School or to the faculty
- Service to the School may also include fund raising in the form of contracts, grant activity, negotiations

**Service to the College and University** (may include the following):

- Membership on College or University committees or other bodies
- Collaboration with faculty in other units: through team teaching, collaborative service projects, interdisciplinary research, grant activities or other scholarly or development activities

**Service to the Social Work Profession** (may include the following):

- Site team visits for CSWE
- Service on NASW and/or CSWE committees, commissions, boards, task forces
- Holding office or other significant participation in professional organizations

**Service to the Local, State, National, and International Community** (may include the following):

- Organizational membership on advisory or policy-making boards of voluntary associations or social welfare organizations, committees, task forces, etc., or consultation to these bodies
- Service on Commissions investigating social welfare issues or provision of expert testimony to legislative, executive or judicial bodies

## **SCHOLARSHIP**

Scholarship is viewed by the faculty as the foundation for building and teaching social work and developing and disseminating knowledge. All faculty are expected to engage in scholarship in a variety of ways. It is expected that all faculty will share research findings and knowledge in public forums including publication and presentation.



In order to be considered for tenure, faculty must demonstrate that their scholarship has been scrutinized and valued by social work educators and academic professionals in relevant fields of study. This acknowledgement may be in the form of publication of work in refereed journals, presentation of papers at juried conferences, invited publications and presentations, acquisition of grant funds for original and collaborative work, and other work that involves developing or disseminating knowledge and that is deemed scholarly by the School faculty. While there is no minimum for the number of scholarly works that faculty must have completed, it is expected that faculty will be engaged in scholarly activity on an ongoing basis, with research in process at all times.

**Conducting and publishing or disseminating results of individual research and development of knowledge of academic importance** (may include the following):

- Individual publication in refereed journals and other refereed publications
- Invited publications
- Other scholarly papers: self study documents, position papers, reports for governmental or private departments and agencies, evaluation of practice documents, monographs, chapters in books, books, materials designed for public education, written testimony, software programs
- Journal and manuscript review
- Work in progress
- Collaborative publication in refereed journals and other refereed publications
- Dissemination of knowledge at conferences and other professional forums

**DIFFERENTIATION AMONG REAPPOINTMENT, TENURE & PROMOTION**

**Recommendations for Reappointment**

In order to be recommended for reappointment by the Peer Committee, faculty must meet the criteria outlined below for assistant professors in each area of teaching, scholarship and service. Reappointments should be evaluated on the basis of progress toward formulating a research agenda in the first year, developing research projects in the second year and developing knowledge that can be disseminated in the third year. The Peer Committee will solicit appropriate information from faculty, other colleagues, field instructors, students, and relevant documents in order to make an informed recommendation.

**Recommendations for Tenure**

In order to be recommended for tenure by the School Peer Committee, faculty must meet the criteria outlined below in each area of teaching, scholarship and service. The Peer Committee will solicit appropriate information from faculty, other colleagues, field

instructors, students, and relevant documents in order to make an informed recommendation.

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

In order to be recommended for Associate or Full Professor by the School Peer Committee, faculty must meet the criteria outlined below in each area of teaching, scholarship and service. The Peer Committee will solicit appropriate information from faculty, other colleagues, field instructors, students, and relevant documents in order to make an informed recommendation.

### **Reappointment of Assistant Professors is based on the following criteria:**

1. Involvement in School citizenship and participation in the development and maintenance of School policies, procedures, and curriculum review and revision;
2. a record of scholarly activity, including publication in refereed journals and production of other scholarly products which make a contribution to social work practice;
3. recognition by students and faculty for development of appropriate teaching skills in a field of expertise;
4. planning research projects and conducting research to improve social work knowledge and/or practice; and
5. engagement in service activity.

### **Promotion to Associate Professor is based on the following criteria:**

1. Excellence in School citizenship and significant participation in the development and maintenance of School policies, procedures, and curriculum review and revision;
2. a substantial record of scholarly activity, including publication in refereed journals and production of other scholarly products which make a significant contribution to social work practice;
3. recognition by students and faculty for excellence in teaching in at least one field of expertise;
4. continued participation in research to improve social work knowledge and/or practice; and

5. significant engagement in service activity.

**Promotion to Professor is based on the following criteria:**

1. Leadership in the School with significant contribution to promoting collaborative relationships between the School and other university and/or community organizations concerned with social welfare issues;
2. a national and/or international reputation for scholarship in a domain of concern relevant to social work and social welfare and a substantial record of scholarly activity, including publication in refereed journals and production of other scholarly products which make a significant contribution to social work practice;
3. recognition by students and faculty for excellence in teaching in a field of expertise;
4. engagement in research aimed at improving social work knowledge and practice; and
5. ongoing service in a field of expertise.

**APPOINTMENT AND COMPOSITION OF THE PEER COMMITTEE**

The Peer Committee is elected by the tenure-line faculty and consists of at least three tenure-line members in the School of Social Work and one outside member. Peer Committee members of the School of Social Work will select the outside member. The Director of the School does not sit on the Peer Committee but attends meetings of the Peer Committee as an observer.

## EVALUATION CRITERIA

### **Department of Sociology University of Maine**

The Department of Sociology at the University of Maine is composed of individuals sharing a common concern but approaching that concern in different ways. This common concern consists of two dimensions. First, we share a focus of our intellectual activities which can be termed the "sociological perspective," that is, the study of phenomena generated through processes of social interaction. Second, we are committed, on a more general level, to the principle that, in attempting to comprehend these phenomena, the questions raised, as well as any answers proposed, are of central importance. The processes of questioning and seeking answers are basic to the human experience and to our professional life. Thus, the degree to which any faculty member engages in these processes must be fundamental for any evaluation of that person. Faculty are evaluated by the Chair and by a Peer Committee consisting of the tenured members of the Department.

#### ***Teaching***

The Department of Sociology demands high quality teaching of every Department member in order to further the teaching mission of the Department. The primary teaching mission is to stimulate the development of what C. Wright Mills called the "sociological imagination." This means that we, as teachers, must constantly raise questions and foster a critical outlook about conventional descriptions of society. We want to enable our students to seek beneath the surface of commonly accepted definitions of social reality and to identify the more fundamental social processes that impinge upon the individual. Each evaluation of the faculty member, whether it be the yearly evaluation, or the evaluations for promotion, will be based primarily upon this fundamental criterion. While factors such as meeting classes as scheduled and keeping office hours as scheduled will obviously enter the evaluation procedure, the evaluation of teaching quality must ultimately be an assessment of the individual's ability to stimulate the sociological imagination.

*08/19/80*

*(revised & approved*

*9/13/95) (revised 8/13/99)*

## EVALUATION CRITERIA

The Department of Sociology also demands high quality advising by each of its members. Faculty are expected to maintain adequate office hours to meet with advisees, provide clear and accurate advice about meeting degree requirements of the department, college, and university, and to be available to assist students with academic and career issues.

### **Research**

Every member of the Department is expected to be continuously involved in the research process. While the Department of Sociology recognizes that the ratio of research time to teaching may vary from individual to individual, quality research and quality teaching are inextricably tied together.

*1. Yearly evaluation:* In each yearly evaluation the faculty member's involvement in ongoing research will be assessed. The Department recognizes that the completion of quality research and the dissemination of its results often require considerable time in our discipline. Thus, we do not specify set levels of yearly output. However, we do require that there be clear evidence of a substantial involvement in research activity of a potentially high quality and of the completion of project goals. Examples of substantial involvement in research activity include, but are not limited to, presentations at professional meetings, publication in refereed journals, and preparation of working papers and manuscripts.

#### ***2. Evaluation for promotion from assistant to associate professor with tenure:***

In this evaluation process the faculty member must indicate significant progress in research activities. We normally expect that the candidate will have published at least five refereed journal articles or book chapters. A book will normally be considered the equivalent of three articles. In cases of exceptional merit, such as the publication of a highly acclaimed article or the acquisition of a major external grant(s), fewer articles may be considered acceptable. In addition, the candidate will be expected to have made substantial progress on a research project(s) beyond what was accomplished for the dissertation, although the candidate need not yet have published on these projects. These projects may involve collaboration with other scholars, but the candidate must, in the course of this research, show the capacity to develop new projects and not simply execute the projects of others.

***3. Promotion from associate professor to full professor:*** The individual faculty

## EVALUATION CRITERIA

member must indicate a significant scholarly contribution to the discipline of Sociology that has been accomplished since achieving the rank of associate professor. It is expected that this contribution will consist of a set of scholarly publications which may include articles, monographs or books and which illuminate major problems within the field. As a significant contribution may be achieved in several ways, we do not attempt to provide a quantified measure of research activity. Rather, we will take as the primary measure of quality the development of a national reputation in his or her field as assessed by departmental and outside evaluation.

**4. Tenure without Concurrent Promotion:** Faculty members may be brought in at the rank of Associate Professor or Full Professor and subsequently granted tenure at that rank. Persons appointed at the rank of Associate Professor or Professor without tenure will be evaluated for tenure on the basis of the criteria for promotion to Associate Professor or Professor respectively.

**5. Public Service:** Faculty members will also be evaluated in the area of public service. Public service, or citizenship, is manifested at three levels.

**a. Departmental:** The Department of Sociology is a small unit that is, by design, thoroughly democratic. Every member must play a part in the functioning of the Department if it is to run smoothly. Therefore, all Department members are expected to willingly take part in the everyday activities of the Department and to do so in a collegial manner. This involves advising students, planning curriculum, serving on committees, and engaging in those other activities that are necessary for the successful functioning of the Department.

**b. College and university:** We all gain, as individuals and as a Department if the College of Liberal Arts and Sciences and the University of Maine run smoothly. Therefore, each member is expected to be willing to represent the Department at the College and University level by serving on committees and participating in other college and university activities.

**c. Professional:** Each staff member is encouraged to contribute professionally to the general community, whether at the local, state, national or international level. The activities involved here range from giving talks related to the profession to high school or citizen groups, to serving in staff and leadership positions for

## EVALUATION CRITERIA

professional organizations. Service at the professional level is not a requisite for favorable evaluation, but will be positively valued when it is present.

### ***Post-Tenure Review***

We expect faculty who have achieved tenure to continue to meet our standards for teaching and advising, research and publication, and public service. We outline our criteria for promotion to Associate Professor and Professor in a previous section. We have the following expectations for faculty who have been promoted to these ranks. First, they should continue to demonstrate high quality in teaching and advising, as outlined in the "Teaching" section earlier in this document. Second, they should be active researchers and publishers at a level appropriate to their positions as outlined in the criteria for promotion. Third, they should be good public citizens of the Department, the University, and the larger community. Our post-tenure review of the extent to which these faculty meet these expectations consists of annual evaluations by the Chair and periodic evaluations by the Peer Committee.

## **UNIVERSITY OF MAINE**

### **DEPARTMENT OF SOCIOLOGY MISSION STATEMENT**

The Department of Sociology contributes to the liberal arts mission of the College of Liberal Arts and Sciences and the University of Maine. We are committed to excellence in teaching, research, and public service. We emphasize critical thinking and analysis in our teaching, and provide our majors intensive training in research methodology. We seek in this manner to prepare our students for the complex intellectual and vocational demands of modern society.

To all our efforts in teaching, research, and service, we seek to bring the unique perspective of our discipline on social structure and social interaction and to put into practice what C. Wright Mills called the "sociological imagination." As our evaluation criteria state, this means that as sociologists we try to "seek beneath the surface of common sense definitions of social reality and identify the more fundamental social processes that impinge upon us." To further this goal, our work in all three areas of our mission emphasizes cultural diversity and pluralism, a focus integral to the sociological tradition. Through our application of the sociological imagination we contribute to a more comprehensive understanding of society and social change.

**School of Economics  
The University of Maine**

**(excerpt from SOE merger document)**

VI. Criteria for Reappointment, Tenure/Promotion, and Post-tenure Review

1. General Procedures

All tenure-track faculty members are required to submit an annual report of professional activities for the preceding year to the School Director. In the annual report, faculty members provide information on their activities in each of the following areas:

- A. research and scholarly activities including progress on projects, publications completed and in progress, grants, contracts and other external funding awarded;
- B. teaching activities including courses taught, course modifications, and student advising activities;
- C. professional, university, and public service activities performed; and
- D. activities undertaken for professional improvement.

2. Tenure and/or Promotion

The tenure decision is the ultimate decision to reappoint non-tenured faculty. The Peer Committee, therefore, should be guided by the standards for tenure when voting to reappoint or not to reappoint. In order to be reappointed, a non-tenured faculty member should have demonstrated that progress towards satisfying the standards for tenure has been made. Satisfactory annual evaluations in themselves do not guarantee the awarding of tenure. Only faculty members who have demonstrated high quality performance in carrying out their responsibilities will be recommended for tenure by the Peer Committee.

Three types of faculty activities are evaluated by the School: teaching (including student advising), funded and unfunded research, and service (to the School, College, University, profession, and public). The evaluation of a faculty member's teaching and research activities is weighted in accordance with the percentage of time assigned to each activity in their appointment mix. However, all faculty are expected to perform scholarly activity. In addition, all tenure-track faculty are expected to perform service (some combination of public, professional, and University service activities).



The Peer Committee must be instructed of any impending tenure and/or promotion actions by the date stipulated under the current AFUM agreement, and the Peer Committee recommendation must be forwarded to the School Director and faculty member by the subsequent AFUM Agreement defined date. All members of the Peer Committee must sign the recommendation (both majority and minority views) and a record of the vote must be included.

### 3. Evaluation Criteria for Teaching Performance

#### A. Elements of Teaching Effectiveness

The primary consideration in the evaluation of teaching performance will be the instructor's ability to communicate material effectively to students and the instructor's ability to inspire and lead students. Effective teaching requires the use of a variety of skills which cannot be precisely enumerated, but which must be included in any evaluation process. There are, however, some components of the teaching process which we can specifically identify:

- a) Clear communication of course objectives by the instructor to students at start of course;
- b) Broad consistency between course objectives and school descriptions of course;
- c) Accomplishment of course objectives;
- d) Implementation of a course design which challenges students to learn and yet is tailored to the needs and capabilities of the students;
- e) Fair and understandable grading policy, including examination processes which are related to course objectives and which provide effective feedback to students;
- f) A sense of responsibility in class attendance, office hours availability to students, and sensitivity to student concerns;
- g) Efforts to improve the quality of courses taught, based upon an on-going self-evaluation, exposure to new developments in one's field, and the infusion of personal scholarly development into one's teaching wherever possible.

#### B. Teaching Effort

The effort required to teach effectively is not simply a function of total number of courses taught or number of students enrolled in those courses. The school recognizes both the importance and difficulty of teaching classes with large enrollments. Providing individualized instruction, as in readings or theses courses at either graduate or undergraduate level, places special demands on the instructor and also meets special needs of

the School. The level of effort necessary for the preparation of new courses and development of innovative approaches should be recognized.

#### C. Advising

The school considers school and college advising responsibilities to be important elements in the workload of all tenured and tenure-track faculty. Effective advising requires that the faculty member be available to meet with advisees at appropriate times, to be able to communicate the requirements of the school, college, and university to the student, and to demonstrate an interest in each advisee's academic progress and concerns.

#### D. Methods of Evaluation

The primary evaluation tool will be the standard form for student evaluation of teaching. When deemed appropriate by the Director and the Peer Committee, the faculty member may be offered the option of in-class peer observation or one or more video recordings of classroom presentations.

In addition, the Director and/or Peer Committee may request that tenure-track faculty submit for consideration a self-evaluation of teaching performance. For each course taught during the period covered by the evaluation, the self-evaluation will contain, but will not necessarily be limited to, the syllabus, a description of any instructional aids, and a narrative describing the instructional techniques used in the course. In addition, if deemed appropriate to the professional development of the faculty member, the peer committee may by agreement with the faculty member, appoint a mentor to assist the faculty member in developing his or her teaching program.

When a faculty member is hired under terms that count some years of prior service toward the date for promotion and/or tenure, the new faculty member will be required to provide documentation of teaching performance, including student evaluations if available, during those years of prior service and this information will become part of the faculty member's personnel file and will be used for personnel decisions.

#### 4. Evaluation Criteria for Research and Scholarship Performance

The evaluation of qualitative content by the School is necessarily an imprecise task. However, there are some objective criteria which are important to the evaluation process. Work that has been subjected to external evaluation will tend to be weighed more heavily. Similarly, works which have been published usually represent a more substantial contribution than those which have received

more limited circulation. Somewhat greater emphasis is placed on original scholarly work than upon texts or editorships of collections of readings. The School also recognizes the special significance of invited contributions. In the case of jointly conducted research and scholarly activities and co-authored publications, the School will assess relative contribution. Professional recognition is reflected by the standards of review imposed by the publishers of a faculty member's materials. The School utilizes these implicit evaluations in its own evaluation process. Specific attention is paid to the generally acknowledged ratings of professional journals and to the editorial standards (such as acceptance rates) of journals.

The following list suggests an implicit ranking; however, in evaluating each of these criteria, prime consideration must be given to qualitative differences.

- a) Articles in refereed professional journals and refereed scholarly books and monographs.
- b) Accepted peer or panel reviewed major research funding.
- c) Texts and unrefereed books.
- d) Invited journal articles and chapters in monographs.
- e) Refereed comments, notes, and replies in professional journals, and encyclopedia entries.
- f) Editorship of monographs.
- g) Book reviews in professional journals.
- h) Grant and technical reports.
- i) Scholarly participation in professional meetings, including presenting papers, organizing and/or Chairing sessions, and serving as a discussant.
- j) Unpublished papers and unfunded grant proposals.
- k) Research in progress.
- l) Other professional and scholarly activities such as participation in colloquia, on-campus paper presentations, and development of software.

## 5. Evaluation Criteria for Service

All tenured and tenure-track faculty are expected to provide service to the University, as described below. All faculty are expected to demonstrate a willingness and ability to work constructively and cooperatively in matters related to School and University service. Tenured faculty are expected to be responsive to reasonable opportunities to engage in service to the public and service to the profession. The service activities of faculty will vary widely depending on the nature of the position. Non-tenured faculty should be especially careful in providing service, however, so that service responsibilities do not overwhelm their primary responsibilities in research and instruction.

Service to the University includes such activities as: participation in and service to the school Policy Advisory and Peer committees, where appropriate; holding School support positions such as School Director, Graduate or Undergraduate Coordinator, or student association advisor; participation in college, university, or system-wide committees or assignments.

Service to the public includes such activities as: membership in State and Federal committees and task forces, publication of analyses of public policy issues, uncompensated consulting with State or Federal agencies or officials or with non-profit organizations, and interviews with the news media.

Service to the profession includes such activities as: leadership positions in professional associations; membership on editorial boards of professional journals, and editorial work for journals or publishers.

## VII. Standards for Evaluation and Post-tenure Review

The standards for annual evaluation shall apply to Peer Committee evaluations conducted for each cycle pursuant to the terms of the AFUM agreement and the university's guidelines for faculty evaluations.

1. For tenure-track faculty: The faculty member will submit a report of activities and accomplishments in each of the categories listed above and a plan stating his or her intentions with respect to activities and achievements in each of these areas for the upcoming evaluation period. In a year in which the faculty member is not currently subject to a personnel action decision, the Director with peer committee advice shall inform the faculty member of its assessment of his or her performance in regard to each of the criteria listed above and of its assessment of his or her progress toward meeting the standards for reappointment and promotion as they apply to reappointment and promotion to the rank of associate professor. The Director with peer committee advice shall inform the faculty member of those areas in which improved performance is expected. The School may work with the faculty member, at his or her request, to devise a plan for improving performance in the areas in question.

2. For those holding the rank of associate professor: The faculty member will submit a report of activities and accomplishments in each of the categories listed above and a plan stating his or her intentions with respect to activities and achievements in each of these areas for the upcoming evaluation period. The Director with peer committee advice shall inform the faculty member of its assessment of his or her performance in regard to each of the criteria listed above and of its assessment of his or her progress toward meeting the Standards for Reappointment and Promotion as they apply to promotion to the rank of professor. The assessment of performance shall indicate, for each functional area, whether performance is considered to be superior, acceptable, or in need of

improvement. The peer committee shall inform the faculty member of those areas in which improved performance is expected.

3. For those holding the rank of professor: The faculty member will submit a report of activities and accomplishments in each of the categories listed above and a plan stating his or her intentions with respect to activities and achievements in each of these areas for the upcoming evaluation period. The Director with peer committee advice shall inform the faculty member of its assessment of his or her performance in regard to each of the criteria listed above. The assessment of performance shall indicate, for each functional area, whether performance is considered to be superior, acceptable, or in need of improvement. The peer committee shall inform the faculty member of those areas in which improved performance is expected.

#### VIII. Standards for Reappointment, Promotion, and Tenure.

These standards will apply beginning September 1, 2010, and all faculty will be evaluated according to their appointment mix. Until September 1, 2010, the standards that the School Peer Committee and Director will apply in evaluating each faculty member are those that exist at the end of 2006 in each faculty member's respective department (Economics or REP).

1. A candidate for reappointment at the rank of assistant professor is expected to demonstrate:

A. satisfactory teaching and advising performance,

B. a program of scholarly activity that is generating or, during the first and second years in the probationary period, holds promise of generating publications in refereed journals,

C. a level of service to the university that does not unreasonably impinge on the maintenance of satisfactory teaching and a successful program of research and publication,

D. candidates for a second reappointment must have completed the requirements for the Ph.D,

E. reasonable progress towards meeting the criteria for promotion to the rank of associate professor with tenure.

2. A candidate for promotion to the rank of associate professor with tenure is expected to demonstrate:

A. high quality teaching and advising,

- B. a minimum research and publication quantity of five refereed articles in professional journals of acceptable standing, all judged as sufficiently high quality by the Peer Committee based on various measures including the written comments made by external reviewers.
  - C. a program of scholarly activity that holds promise of continuing achievement, and
  - D. an appropriate level of service
3. A candidate for promotion to the rank of professor is expected to demonstrate:
- A. high quality teaching and advising,
  - B. a minimum research and publication quantity of twelve articles in refereed professional journals of acceptable standing over the candidate's career, with at least five accepted for publication while at associate rank, all judged as sufficiently high quality by the Peer Committee based on various measures including the written comments made by external reviewers.
  - C. an appropriate level of service,
  - D. evidence of national and/or international recognition will constitute an important consideration for promotion to full professorship.
4. A candidate for tenure appointed at the rank of associate professor, but without tenure, is expected to demonstrate:
- A. high quality teaching and advising,
  - B. a level of research and publication assessed by the Peer Committee as equivalent to at least a combined total of five articles in refereed professional journals of acceptable standing, all judged as sufficiently high quality by the Peer Committee based on various measures including the written comments made by external reviewers, during the periods: (1) credited towards tenure, and (2) while at associate rank at the University of Maine,
  - C. a program of scholarly activity that holds promise of continuing achievement, and
  - D. an appropriate level of service.
5. A candidate for promotion to the rank of professor appointed at the rank of associate professor, but without tenure, is expected to demonstrate:

- A. high quality teaching advising,
- B. a minimum research and publication quantity of twelve articles in refereed professional journals of acceptable standing over the candidate's career, with at least five accepted for publication while at associate rank, all judged as sufficiently high quality by the Peer Committee based on various measures including the written comments made by external reviewers, during the periods: (1) credited towards tenure, and (2) while at associate rank at the University of Maine
- C. an appropriate level of service,
- D. evidence of national and/or international recognition will constitute an important consideration for promotion to full professorship.

# **Criteria for Faculty Evaluations**

## **Department of Spatial Information Science and Engineering**

### **Statement of Purpose**

The stated goal of the University of Maine is quality public higher education for Maine citizens. This goal is to be met through the University's efforts in the general areas of teaching, research, and service.

Consonant with the goal of the University, the goal of the Department of Spatial Information Science and Engineering is to provide high quality programs in spatial information engineering with the objectives of:

- preparing individuals to become professional practitioners of spatial information engineering;
- advancing the professional competence of spatial information engineers to high levels by means of graduate education;
- enabling practicing spatial information engineers to keep abreast of current developments by means of continuing education;
- conducting research for the advancement of knowledge in the profession and in support of the educational programs;
- encouraging implementation of significant research findings;
- serving the University, the local community, the State of Maine, and the nation through professional activities;
- promoting and advancing the profession of spatial information engineering; and
- seeking to assure that the profession of spatial information engineering is continually responsive to the ever-changing needs, desires, and aspirations of society

The purpose of this document is to provide criteria for evaluating faculty of the Department of Spatial Information Science and Engineering. Each individual will be assessed on their contributions toward departmental goals and objectives. It is also expected that these criteria will be used as the common basis for making decisions concerning promotion, tenure, and other University rewards and compensations.

### **Framework for Evaluation**

The Department of Spatial Information Science and Engineering is a heterogeneous unit comprised of several program areas. Differing faculty contributions within the department at a given time, and changing contributions by a given faculty member over time, may be a desirable and practical necessity for the department to operate and grow in an orderly manner. Diversity of faculty talents and interests is a strength that is to be preserved and orchestrated for the betterment of the department, the University, and the individual.



## **Criteria for Evaluation**

The three categories for evaluating performance are teaching, research, and service. The criteria for evaluations within each category shall be identical for all faculty members, but it is not expected that all faculty attain the same level of performance in each category. In weighing an individual's contributions, recognition shall be given not only to the accomplishments achieved, but also to the constraints and the opportunities affecting the achievements as a consequence of that individual being a member of the departmental team.

The strength of the department lies in the effective combination of teaching, research, and service. Because it is unrealistic to expect that all Spatial Information Science and Engineering faculty will demonstrate outstanding performance in all three areas, it is expected that criteria for promotion and tenure can be fully satisfied in a number of ways within the judgmental jurisdiction of the peer committee.

Faculty considered for promotion will demonstrate a high level of competence in two areas (one of which will be teaching), and will demonstrate supporting capabilities in the third. Central to the judgments made in all cases will be the effect of the promotion on the overall distribution of talent within the Department of Spatial Information Science and Engineering among the areas of teaching, research, and service.

Promotion from assistant professor to associate professor requires that the unit member has demonstrated creative performance in areas consonant with the goals of the department. The unit member must show high promise for continued development. Normally, the evaluation of the performance will be based upon information and documentation supplied by the unit member, by the peer committee, and/or by other sources from within the University.

Promotion from associate professor to professor requires a sustained record of accomplishment and a high level of recognition and maturity. The level of accomplishment will be determined from evaluation of the unit member's reputation among knowledgeable individuals external to the University as well as evaluation of information and documentation supplied by the unit member relevant to activities in teaching, research, and service. Demonstrated leadership abilities are required.

### **Teaching and Advising:**

Teaching and advising are important functions for all faculty. The evaluation of the degree to which a faculty member effectively contributes to teaching and advising is based on evidence from the faculty member's peers, chairperson, students through course evaluations, and other constituents such as employers of program alumni.

Evidence indicative of teaching and advising contributions may include but is not limited to the following:

- classroom instruction, preparation, and supervision;
- student advising
- teaching innovations including new courses or new methods of instruction

- continuing education activities;
- supervision and evaluation of teaching assistants;
- introduction of undergraduate students to research experience
- receipt of teaching awards.

### **Research:**

Faculty involvement in research is an essential component of a high quality program and represents one of the avenues by which an individual can contribute to the growth of the department and the field.

Publication of research results in refereed journals is considered to be excellent evidence of research accomplishments, but it is not the only evidence that is acceptable. Sound research, carried out to its logical conclusion and transmitted to key user groups in a form convenient for their use, may be sufficient evidence of significant research accomplishments, provided that some form of appropriate review is conducted to establish research quality. Research results should be published in professional journals and in user-oriented reports, as a means of enhancing technology transfer while at the same time utilizing the long-established peer review process.

Evidence indicative of research contributions include the following. (Numbers indicated are targets not all of which need to be met).

- publication of research results in recognized professional refereed journals; (on average at least one refereed journal article per year)
- receipt of research grants (on average of at least one externally funded, competitive research grant every second year)
- preparation of research proposals (at least one per year)
- presentation of research results at professional meetings--particularly invited presentations at national or international meetings; (at least one per year)
- publication of technical or user-oriented reports;
- receipt of research awards; and
- direction of student research. (indicated by number of student dissertations being supervised or successfully completed)

### **Service:**

Service activities appropriate for the evaluation of faculty members are broadly defined to include service to the campus community and professional service to various levels of government, professional societies, and to the general public.

Evidence indicative of service contributions may include but is not limited to the following:

- serving on committees of the department, the college, or the University;
- serving as an engineering advisor or as a member of advisory committees at the national, state, or local level;

- participating in seminars and short courses designed to make information or expertise of the University available to the public;
- reviewing research proposals or technical manuscripts as part of the peer review process;
- participating as a member of accreditation teams or other program review committees;
- chairing/organizing sessions at professional meetings or conferences;
- serving as an advisor for student organizations;
- appropriate professional consulting activities;
- editing professional journals or newsletters; and
- serving on thesis committees for students in other departments or other institutions.

Evidence will include documentation of numbers, dates, names of committees or meetings as appropriate

### **Post tenure review**

The expectation is that all individuals within the department will make sustained contributions toward the department's goals and objectives. Similar to promotion and tenure, contributions fall in the areas of teaching, research, and public service.

Evidence of sustained contributions in teaching and advising include:

- contributions to undergraduate and graduate instruction
- contributions to undergraduate advising
- contribution of new or innovative instructional methods
- submission and receipt of grants for improvement of undergraduate instruction
- contributions to student recruitment and retention

Evidence of sustained contributions in research will include the following. (Numbers indicate targets not all of which need to be met).

- regular publication in peer reviewed outlets (on average at least one refereed article per year)
- receipt of external research grants (on average at least one externally funded, competitive refereed grant every second year)
- regular submission of research proposals (at least one every year)
- regular participation in academic conferences (at least once a year)
- supervision of graduate research to successful completion (successful completion of 1 PhD every three years is desirable).
- mentoring of post-doctoral researchers

Evidence of sustained contribution to public service

- regular service on college and university committees
- regular service to professional societies
- continued service in peer review functions (e.g., service on editorial boards, proposal and manuscript review).
- contributions to technology transfer (e.g., workshops, short courses)

DIVISION OF THEATRE/DANCE  
of the  
School of Performing Arts

- I. Mission and Goals
- II. Faculty Evaluation Guidelines
- III. Criteria for Faculty Evaluation
- IV. Full-time initial Appointment
- V. Criteria by Rank for Promotion and Tenure
- VI. Post-Tenure Review
- VII. Appointment to the Graduate Faculty

I. Mission and Goals

The central mission of the Division of Theatre/Dance in the School of Performing Arts is to provide for the education of undergraduate and graduate students majoring in theater and undergraduate students with a concentration in dance, as well as that of interested students from the university at large. Through the integration of academics and production, the division furthers the knowledge and appreciation of performance on campus, throughout the state, in the region, and beyond. Thus, the Division of Theatre/Dance puts emphasis on the fact that study and activity in the classroom will support and illuminate the production program, and the production program will contribute knowledge and evidence of important application of theory to courses. Whenever possible, the division stresses research and creative activity that is multicultural, which serve the state education system on the elementary and secondary levels through such activities as adjudication of one-act play festivals, in-house workshops and performances, career-day counseling, annual touring productions in the schools and in the parks, and UM scholarships for outstanding high school students.

The division offers a Bachelor of Arts and a Master of Arts in Theatre. Students may elect concentrations in: Acting, Directing, Design and Technology, and Dance. It is our hope to prepare students for pursuing a career in theatre or dance, or applying the knowledge and values of performance to other disciplines and to their lives.

## II. Evaluation Guidelines Faculty

Faculty in theatre and dance shall be artist-teachers who, through their creative work in one or more major aspects of theatre and dance, shall possess deep interest in educating and serving as models for their students. Both in the classroom and in production, Theatre/Dance faculty should evidence knowledge of the history and theory of theatre and dance, as well as an understanding of the skills and techniques required of teach discipline.

Each faculty member will be evaluated as provided for in the University contract. The peer committee as well as the administrative evaluation will consist of a complete and thorough evaluation of: 1) teaching, including course effectiveness and advising; 2) performance scholarship, including creative activity and/or publication; and 3) service, including institutional and state activities. In general, to gather material for examination, the peer committee will visit classes, examine course materials, assess student evaluations with regard to teaching and advising, view productions, attend American College Theatre Festival adjudications, read publications, and survey annual activity reports with regard to service and outreach activities as defined by the institution (and previously mentioned in the Mission and Goals).

Further, in addition to the criteria in the following sections, the Division of Theatre/Dance will adhere to the attached principles of the American Theatre for Higher Education's (ATHE) and the United States Institute for Theatre Technology's (USITT) guidelines for evaluating the Teacher/Director and the Designer, respectively.

As an added component of this process, the Division of Theatre/dance may engage an outside evaluator to observe and report to the Peer committee on the merit of the artistic work of the faculty member. This outside evaluator shall be acceptable to the faculty member, the peer committee, and the director of the School of Performing Arts, and should submit a timely report that provides a reasonable opportunity for the faculty member to respond. This normally will be accomplished by having the evaluator view the faculty member's work on a major production. The evaluator may also be afforded an opportunity to observe appropriate classes and to respond to portfolios or other pertinent evidence of scholarly and creative achievement. Within a week after these observations, the evaluator will provide a written report to the director who will provide copies to the faculty member and to the peer committee. A copy will be placed in the personnel file as part of the permanent record.

### III. Criteria for Faculty Evaluation

Full-time, tenure track faculty must hold a terminal degree, either an M.F.A. or a Ph.D. (See “Section V. Criteria by Rank for Promotion and Tenure”). Adjuncts and part-time instructors must hold an M.A., be enrolled in the graduate program, or have the equivalent professional experience. Nevertheless, the following professional activities will be considered in evaluation and advancement of all faculty:

#### A. Evidence of exceptional contributions to the mission of the Division of Theatre/Dance – subject to annual review.

##### 1. Exceptional and Creative Teaching.

Clear evidence of setting and achieving course goals and communicating with and inspiring students, as determined primarily by course materials (syllabi, lesson plans, study guides, exams, and other germane teaching materials), student evaluations, and class observations by peer committee members.

##### 2. Commitment to Advising.

Significant activities in academic advising, including guidance to regular advisees, majors, graduate students, and other enrolled students. Office hours, involvement in the first-year programs of the college, committees on advising and student life, letters of recommendation, and other student-focused activities will be evaluated.

##### 3. Performance Scholarship

Success in production and performance in one or more areas of theatre or dance, (usually both M.F.A. & Ph.D.).

American College Theatre Festival adjudications, other outside professional evaluations, student evaluations of production, reviews, letters, awards, and other materials will be used for evaluation. Consideration will be given to productions that project the reputation of the institution beyond the campus.

##### 4. Service and outreach.

a. Activities such as curriculum development, development of the production programs, and committee services within the division, school, college, and the university.

b. Membership and service to professional organizations, such as board and committee memberships, and consultations.

c. Outreach activities throughout the area, state and region such as lectures, demonstrations, workshops, high school play festival adjudications, and career day counseling. As well, other public service such as consulting participation in professional organizations. These include professionally oriented activities that make use of the faculty member’s expertise in his or her particular discipline.

#### B. Evidence of continuing professional development.

1. Work toward advanced degrees, or work in advanced professional studies, as well as additional training.

2. Creative works off-campus (both M.F.A. and Ph.D.).  
Continuing involvement in theatre or dance production (acting, directing, design, playwriting, choreography, etc.). Priority will be given to artistic work that projects the reputation of the institution. Faculty will present evidence, through disinterested and qualified testimony, drawings, photographs and awards, of the nature, success, and quality of artistic work done beyond the campus.
3. Research and publication (usually Ph.D.).  
Evidence of significant and scholarly publication in books, adjudicated journals, trade magazines, newsletters, and other professional works, as well as editorships on both the national and international levels. Further, addresses, workshops, panel participation, papers given at state, regional, and national conferences are included. It is the responsibility of the faculty to present evidence of publication by making available copies of their publications for reading and for files in the school office.
4. Offices held in state, regional, and national organizations, awards, grants, fellowships.  
It is the responsibility of the faculty to supply evidence of duties and accomplishments in offices, and copies of proposals that result in grants.



IV. Full-time Initial Appointment

A. Tenure Track

1. Full-time initial appointments in theatre at UM customarily require that each faculty member's workload assignment be divided between classroom teaching and theatre production. Within our present academic structure, it is not envisioned that any full-time appointment will be made in which the workload consists solely of theatre production and performance. All faculty should be qualified to teach both undergraduate and graduate courses.
2. Normally all new faculty appointed to tenure track positions will possess a terminal degree, Ph.D. or M.F.A., appropriate to their areas of teaching and production assignments.
3. In a truly exceptional case of recognized extraordinary achievement in the area of specialization, an appointment without such a terminal degree may be recommended.

V. Criteria by Rank for Promotion and Tenure

- A. Instructor – Instructor is the rank available for qualified persons beginning their teaching careers. Normally, the instructor will hold the terminal degree appropriate to his or her teaching and/or production assignments.
- B. Assistant Professor – Presumes that the individual possesses the potential to successfully achieve promotion and tenure according to Division of Theatre/Dance criteria. Ordinarily the faculty member should have the terminal degree appropriate to their area of responsibility. A faculty member is normally hired as an artist-teacher, with the expectation that they will demonstrate capability in both areas of the initial appointment – one in teaching, the other in production and performance. Research and publication and/or evidence of excellence in production is expected.
- C. Associate Professor – A faculty member must possess the terminal degree appropriate to their area and assignment – either M.F.A. or Doctorate. The candidate must have significant, demonstrated achievement as outlined in the Division of Theatre/Dance statement of criteria of faculty. They must show promise of continuing development, and should have demonstrated a productive professional working relationship with their peers. A person appointed at the rank of Associate Professor without tenure will be evaluated for tenure on the basis of the criteria for promotion to Associate Professor.
- D. Professor – The faculty member must have demonstrated exceptionally high achievement within the Division of Theatre/Dance criteria for faculty. A professor should have a reputation beyond the state for making creative and/or scholarship contributions to their field. A person appointed at the rank of Professor without tenure will be evaluated for tenure on the basis of the criteria for promotion to Professor.

VI. Post-Tenure Review

The post-tenure review process will follow the criteria previously outlined according to rank. This review will adhere to the University/AFUM contract and be carried out biannually. Please refer to “Section V. Criteria for Rank for Promotion and Tenure.”

VII. Appointment to the Graduate Faculty

Appointment to the Graduate Faculty will adhere to the minimum requirements laid out by the Graduate School as follows. On the divisional level, Graduate faculty must meet the minimum requirements for rank as outlined previously in this document.

Categories of membership

**Full Graduate Faculty.** Full members of the Graduate Faculty must hold formal faculty appointments at the University of Maine or must be a full member of an established, multi-institutional graduate faculty group. Full members of the Graduate Faculty who possess doctoral degrees may serve on University of Maine master’s and doctoral committees, either as the chair or as a committee member. A Full member of the Graduate Faculty possessing a master’s degree may not chair a doctoral committee, but on the recommendation of the unit graduate committee and with the permission of the Graduate School, may serve as a member of a doctoral committee, if the individual possesses a specific area of expertise essential to the makeup of the committee. Full members of the Graduate Faculty may also advise graduate students in non-thesis programs.

Although it is expected that Full members of the Graduate Faculty shall possess the highest level of achievement in scholarship, graduate teaching, and public service, each institutional unit shall set the specific criteria for appointment to its faculty.

**Associate Graduate Faculty.** Members of the Associate Graduate Faculty are individuals at the University of Maine, who do not meet all the criteria for appointment as Full Graduate Faculty but who have significant qualifications for graduate instruction. Associate members of the Graduate Faculty possess all the privileges of Full Graduate Faculty members with the exception of chairing student committees, although Associate members may serve as co-chairs of committees. Associate members of the Graduate Faculty who do not hold doctoral degrees may serve on doctoral committees only on the recommendation of the unit graduate committee and with the permission of the Graduate School.

**External Graduate Faculty.** Members of the External Graduate Faculty are individuals who do not hold appointments at the University of Maine. External members of the Graduate Faculty possess all the privileges of Full Graduate Faculty with the exception of chairing student committees, although external members may serve as co-chairs of committees. External members of the Graduate Faculty who do not hold doctoral degrees may serve on doctoral committees only with the permission of the Graduate School.

Individuals who qualify for External Graduate Faculty status but who were previously appointed as Associate Graduate Faculty shall be automatically reappointed as External Graduate Faculty for the duration of their current appointments. Thereafter, such individuals shall be eligible for reappointment as External Graduate Faculty. Associate Graduate Faculty who qualify for Full Graduate Faculty status as full members of an established graduate faculty group shall be automatically reappointed as Full Graduate Faculty for the duration of their current appointments. Thereafter, such individuals shall be eligible for reappointment as Full Graduate Faculty.

**Graduate Instructors.** Graduate instructors must have earned at least a master's degree. Graduate instructors may teach graduate-level (500 and 600) courses but may not advise graduate students or serve on graduate student committees.

**Ex officio members.** The CAO of the Graduate School may appoint appropriate persons holding administrative positions as ex officio Graduate Faculty members. The Graduate School's administrative leadership and all department chairpersons and graduate coordinators shall be ex officio members unless holding a different category of graduate faculty appointment. Individuals appointed as ex officio members normally do not serve on graduate committees.

**UMaine Cooperative Extension  
Faculty Performance Evaluation  
Reappointment, Promotion, Continuing Contract, and Post Tenure Compensation  
Table of Contents**

**Section I: Guidelines**

**A. Introduction**

**B. Responsibilities of the Faculty Member**

**C. Responsibilities of the Supervisor**

**D. Peer Committee**

1. Primary Responsibilities
2. Composition
3. Length of Term

**E. Promotion Review Committee**

1. Primary Responsibilities
2. Composition
3. Length of Term
4. Process for Selecting Members and Alternates
5. Code of Conduct
6. Recommended Operating Procedures
7. Rules of Voting

**F. Letters of Evaluation and Recommendation**

**G. Faculty Evaluation**

1. Timeline
2. Contents of Packet
3. Performance Areas, Criteria, Indicators, and Standards
4. Weighting of Performance Areas
5. Additional Criteria for the Ranks of Associate Extension Professor and Extension Professor
6. Years of Credit Towards Continuing Contract
7. Guidelines for Early Continuing Contract Submissions
8. Letters of Support for Promotion and Continuing Contract

**H. Post Tenure Compensation Review**

1. Eligibility
2. Determining Satisfactory Performance

3. Format
4. Role of the Peer Committee
5. Role of the Promotion Review Committee
6. Minimum Salary Increases and the Role of Administration

#### **I. Tips on Preparing Packets**

1. Content
2. Organization and Formatting

#### **J. Late Packet Guidelines**

#### **K. Joint Appointments**

#### **L. Fixed-Length, Soft-Money, and Non-Continuing Contract Appointments**

#### **M. Salary Adjustment at Promotion**

#### **N. Revision of Faculty Evaluation Document**

#### **O. Definition of Terms**

### **Section II: Performance Areas, Criteria, Indicators, and Standards**

#### **Introduction**

#### **Performance Area I: Educational Program Development**

#### **Performance Area II: Undergraduate and Graduate Teaching and Advising**

#### **Performance Area III: Scholarship and Professional Activity**

#### **Performance Area IV: County, Organizational, and Campus Service**

#### **Performance Area V: Public Service**

#### **Performance Area VI: Awards and Recognition**

### **Section III: Application Format**

#### **Cover Letter**

#### **I. Face Data**

- A. Name
- B. Current Rank
- C. Cooperative Extension Office and Location
- D. Professional Experience
- E. Educational Background

## **II. Record of Actions**

- A. Initial Probationary Appointment
- B. Reappointments
- C. Promotion(s)
- D. Continuing Contract Recommendations
- E. Exceptions to Board of Trustees Policy
- F. Transmittal Letters

## **III. Candidate's Profile**

- A. Job Description
- B. Performance Areas, Criteria, Indicators, and Standards
- C. Professional Development Plan

## **IV. Program Summaries**

### **V. Expanded Curriculum Vitae**

### **VI. Evaluations of Teaching**

- A. Student Evaluations of Teaching
- B. Other Evaluations of Teaching

### **VII. Departmental Peer Committee Evaluation**

- A. Evaluation Letter
- B. Recommendation – Recommended Action

### **VIII. Letters of Support**

- A. Letters Internal to UMaine Cooperative Extension, UM, and UMS
- B. Letters from Program Clients, Members of Advisory Groups, and Program Volunteers
- C. Letters from Collaborators in Institutions, Agencies, and Organizations External to UMS

## **Section IV: Evaluation Form**

### **Evaluation Form**

### **Recommendation of the Promotion Review Committee**

## **Section V: Template for Soliciting Letters of Support for UMaine Cooperative Extension Faculty Members**

### **Template**

# Section I: Guidelines

Effective December 1, 2000  
Revised November 28, 2006  
Revised January 07, 2008  
Revised August 27, 2008  
Revised July 1, 2010

## A. Introduction

General information on the process, committees, roles, responsibilities, and definitions related to Extension Faculty Performance Evaluation is located in this section. All Faculty members should review these guidelines before creating a personnel action packet. Personnel actions include reappointment, promotion, continuing contract, and post tenure compensation.

The performance areas, criteria, indicators, and standards used to evaluate a Faculty member's performance for reappointment, promotion, continuing contract, and post-tenure compensation are located in [Section II](#).

The format required for all personnel action packets is located in [Section III](#).

The evaluation form used by the PRC to provide written comments to the Faculty member is located in [Section IV](#). Extension Administrators have the option of using this form or providing their comments in a narrative format.

The template used by the Faculty member's Supervisor to solicit letters of support for promotion and continuing contract is located in [Section V](#).

---

## B. Responsibilities of the Faculty Member

The Faculty member's responsibilities are to:

- Understand the Faculty Performance Evaluation and personnel action processes and timelines
- Report accomplishments on Maine Planning and Reporting System (MRPS) in a timely manner
- Select members of their Peer Committee (PC)
- Convene meetings of their PC as appropriate
- Work with their Peer Committee on an ongoing basis to prepare a high quality packet
- Provide MPRS data to their Peer Committee as requested
- Meet with their Supervisor as necessary
- Discuss preparation and content of personnel action packets with their Supervisor prior to submission
- Submit personnel action packets according to the timeline in [Table 1](#)
- Request a meeting with the Promotion Review Committee (PRC), if necessary, to present information that was mistakenly omitted from the packet; in addition, this meeting could provide an opportunity for the Faculty member to ask or respond to questions regarding the clarity of the information submitted; meetings between the PRC and the Faculty member can take place in person, by telephone, or using video-conferencing or other electronic means
- If the Faculty member chooses not to meet with the PRC, the Faculty member should provide the PRC chair with their contact information in case the PRC has questions of clarification

---

## C. Responsibilities of the Supervisor

The responsibilities of the Faculty member's supervisor are to:

- Discuss preparation and content of the Faculty member's packet
- Review Faculty member's entries in the MPRS reporting prior to proceeding with personnel action requests
- Evaluate the personnel action packet, provide feedback to the Faculty member, and make a recommendation on their request for reappointment, promotion, continuing contract or post tenure compensation

---

## D. Peer Committee (PC)

### 1. Primary Responsibilities

- Guide the Faculty member in compiling their personnel action packet using [Section II.](#) and [Section III.](#)
- Provide feedback on the Faculty member's packet prior to submission to the PRC
- Provide the Faculty member with ongoing peer support and feedback throughout their professional career with UMaine Cooperative Extension

### 2. Composition

The Peer Committee shall consist of at least three UMaine Cooperative Extension Faculty members, including:

- At least one member from outside the Faculty member's immediate program area
- At least one member with continuing contract

Faculty members are encouraged to include at least one member who has achieved a positive personnel action within the past five years. Additional committee members may include peers from outside UMaine Cooperative Extension.

For additional information about Peer Committees, refer to [Formulating & Working with an Effective Peer Committee.](#)

### 3. Length of Term

Peer committee members are appointed for three year renewable terms that run from January through December. Peer committee members are appointed on a rotating basis.

---

## E. Promotion Review Committee (PRC)

### 1. Primary Responsibilities



PRC members will:

- Determine which member will serve as PRC Chair each year
- Evaluate Faculty member's packets for personnel actions based on the contents of their packet using the performance areas, criteria, indicators, and standards located in [Section II](#).
- Meet with the Faculty member when the PRC is in session, if a meeting is requested
- Provide the Faculty member and Supervisor with evaluative feedback in writing using [Section IV](#)
- Participate fully by attending all session dates as designated by the PRC Chair
  - Hold the first full week in Jan, Apr, and Oct for PRC sessions until otherwise notified by the PRC chair
  - Be notified by the PRC Chair if not all dates will be needed to complete the work
  - Be asked to add one additional day after the PRC session for the review of revised packets, if necessary
- Participate in the discussion of each Faculty member's packet, including the initial discussion and vote
- Participate in the review of the final written Evaluation Form
- Participate in discussions with Faculty members; although it is preferable that all PRC members participate, at least three members must be present in discussions with each Faculty member, including the PRC member responsible for completing the draft evaluation form
- If the PRC has serious concerns about the packet, i.e., a likely negative vote, and the Faculty member has not scheduled a meeting, in person or by phone, with the PRC, the PRC chair will contact the Faculty member and their supervisor to discuss the committees' concerns and to provide the Faculty member with an opportunity to revise their packet

*Note:*

- It is the responsibility of the PC to provide feedback on preparation of the packet; it is the responsibility of the PRC to evaluate the packet presented to them and provide written feedback
- It is the role of PRC to evaluate the quality of the programs and activities undertaken by the Faculty member; it is not the role of the PRC to determine the value or appropriateness of the programs and activities undertaken by the Faculty member

## **2. Composition**

PRC Members

- Five will be selected, all with continuing contract
- Will include at least two females and two males, two specialist and two educators.

PRC Alternates

- Six will be selected, all with continuing contract
- Will include at least two females and two males, two specialists and two educators

## **3. Length of Term**

PRC Members

- Serve three-year terms from January to December
- Are appointed on a rotating basis by the Policy Advisory Council (PAC)
- Are randomly drawn from the pool of eligible Faculty members

- After serving a term on PRC, are removed from the pool of eligible Faculty members for four years

#### PRC Alternates

- Are in the pool for a one-year term from January through December
- After serving, are removed from the pool of eligible Faculty members for one year
- Those not serving on PRC are immediately returned to the pool of Faculty members eligible to serve as a PRC member or alternate

#### 4. Process for Selecting Members and Alternates

PAC is responsible for the selection of PRC members and alternates after the PRC meets in October. Faculty members who are selected are notified by the end of November for service beginning in January of the following year (approximately 13 months advance notice). Requests for deferral, by both PRC member-elects and alternate-elects, must be submitted to the PAC within a month of receiving their notification letter, usually by the end of December. This allows sufficient time to draw additional names as needed and provide approximately one year advance notice. PAC will:

A. Determine how many new PRC members will be needed and in what categories (gender, role)

B. Determine which Faculty members are eligible to serve

- Must have continuing contract
- After serving as a PRC member, are ineligible for four years
- After serving on PRC as an alternate (being named an alternate does not equate with serving on PRC), are ineligible for one year

C. Divide the list of eligible Faculty members into two categories:

- A – Those who have not served as a PRC member in the past 10 years
- B – All other eligible Faculty members

D. Randomize both lists of eligible Faculty members (for example, using [www.random.org/lists/](http://www.random.org/lists/))

E. Select PRC member-elects:

- Start with Faculty members in category A
- Start at the top of the randomized list
- No more than two PRC members can be chosen from category A in any one year
- If there are still unfilled positions after going through all Faculty members in category A, move to category B to complete the selection

F. Select PRC alternate-elects

- Start with Faculty members remaining in category A
- Start at the top of the randomized list
- No more than three PRC alternates can be chosen from category A in any one year
- If there are still unfilled positions after going through all Faculty members in category A, move to category B to complete the selection

G. Send letters to PRC member-elects and alternate-elects informing them of their selection and asking that they hold the first full week of January, April, and October during their term of service until the PRC Chair informs them otherwise. If selected, Faculty members have the option of requesting a deferral for one year if there are extenuating circumstances that cannot be accommodated with a one-year advance notification. Requests for deferral should be sent to the PAC Chair(s) within a month of receiving their notification letter, usually by the end of December.

H. If a member-elect defers, an alternate-elect is chosen to serve in their place.

I. If an alternate-elect defers, return to the randomized list to select another alternate-elect.

PAC will make every effort to ensure that during each PRC session there are at least two Faculty members who have served on PRC during the most recent five years.

The list of Faculty members who have served on PRC, as members and alternates, and who have served on joint appointment Peer Committees, will be maintained by PAC with assistance from the support staff member working with PRC.

## **5. Code of Conduct**

*Guiding Principles* – These behavioral norms are expected of PRC members during PRC sessions:

- Hold in confidence the content of Faculty materials and committee discussions
- Cooperate
- Listen to others with your full attention; be open-minded
- Be courteous; let others finish their statements without interruption
- Be honest; if you feel strongly about something, say it
- Reserve value judgment of colleague's work; recognize that there are many ways to conduct Extension work; diversity of staff means diversity in approaches to programming
- Help to create a supportive environment
- Avoid side conversations; share your thoughts with the whole group
- Be attentive to the amount of time you are speaking
- Speak about the submitted packet, not your own or second-hand experience
- Be aware of your intentions when relating your thoughts to others
- Help keep the group on track

## **6. Recommended Operating Procedures**

Prior to each session, the PRC Chair will establish procedures and logistics for that session, including:

- Scheduling a meeting time for the Administrative liaison to PRC
- Establishing PRC meeting times – if meeting time outside regular work hours is needed, times will be decided by consensus of all PRC members
- Scheduling meeting times with Faculty members
- Review of packet materials – for sessions with a large number of packets, review may need to happen prior to the PRC session
- Completing evaluation forms, both draft and final
- Follow-up review of revised packets – usually occurs within two weeks of the end of the PRC session
- By prior arrangement, and ensuring confidentiality, arranging for PRC member to participate via conference call or videoconference
- Working closely with the Support Staff person assigned to PRC

A conference call with all PRC members during the week preceding the session may be helpful in ensuring shared understanding of the upcoming work and address and questions or concerns.

All PRC members should:

- Be familiar with this document
- Review the Code of Conduct
- Bring or arrange access to a laptop computer

At the conclusion of the session, all PRC members should review the process – what worked well and what needs attention – and share this information with the Administrative liaison as well as the incoming PRC Chair, as appropriate.

## 7. Rules of Voting

- Before voting begins, the Chair appoints a member to be the primary author of the PRC's recommendation for each packet
- Each Faculty member's request is voted on separately
- Voting takes place using yes-no ballots that are counted
- Majority rules
- Discussion follows the vote
- Any member can make statements that reflect a minority or majority view
- Any committee member may call for a second vote after discussion
- After each vote, the committee members agree on written comments to be included in the Evaluation Form ([Section IV](#))
- Written comments and a tally of the vote are sent to the Faculty member and their supervisor

*Note:* Faculty members with joint appointments should refer to [Section I.K](#) for further information on composition of your Peer Committee.

---

## F. Letters of Evaluation and Recommendation

Letters of evaluation and recommendation written by the Promotion Review Committee, Supervisor, and Extension Director should be evaluative and not just repetitions of what is presented in the packet. They should contain enough information to provide a context for the reader who may not be familiar with the Faculty member's field of work. Letters of Evaluation and Recommendation should comment on the quality of the work done using the performance areas, criteria, indicators, and standards for guidance.

---

## G. Faculty Evaluation

### 1. Timeline (see [Table 1](#))

- The Faculty member's date of appointment determines when the first year reappointment packet is due
- Faculty members appointed prior to December 1 must submit a first-year reappointment packet for consideration by PRC at their January session in the next calendar year. For example, a

Faculty member appointed July 1 would submit a first year reappointment packet approximately six months later

- Faculty members appointed after December 1 submit their first year reappointment packet for consideration by PRC at their January session of the second calendar year. For example, a Faculty member appointed December 1 would submit their first year reappointment packet approximately 13 months later
- Years of credit towards continuing contract, negotiated at the time of hire, do not affect the timeline for the reappointment cycle (refer to [Section I.H.6](#))

After the Faculty member has received a letter from the UMaine President notifying them of the outcome of their requested personnel action, a copy of the narrative portion of the packet, all recommendations, and any Faculty member response is placed in the Faculty member's personnel file

- If the AFUM contract has expired, the Faculty member will use personnel action dates based on the previous year's contract

**Table 1. Deadlines for Personnel Action<sup>1</sup>**

	<b>1st Year Reappointment<sup>2</sup></b>	<b>2nd Year Reappointment</b>	<b>3rd to 6th Year Reappointment &amp; Post Tenure Compensation</b>	<b>Promotion &amp; Continuing Contract<sup>3</sup></b>
Extension Director notifies Faculty member <sup>4</sup>	November	August	February	August
Faculty member requests consideration for Promotion or Continuing Contract <sup>5</sup>	n/a	n/a	n/a	September 15*
Faculty member submits names of possible authors of letters of support to Supervisor	n/a	n/a	n/a	August 1
Extension Director instructs PRC regarding specific Faculty members to be considered, and the deadline and appropriate procedures for PRC action	December 15*	September 15*	March 15*	September 25*
Packet due to Extension Director; Director submits packet to PRC <sup>6</sup>	two weeks prior to PRC meeting	two weeks prior to PRC meeting	two weeks prior to PRC meeting	two weeks prior to PRC meeting
PRC meets, <sup>7</sup> usually the first full week in ...	January	October	April	October
Recommendation from PRC to Faculty member, Supervisor and Extension Director <sup>6</sup>	January 15*	October 15*	April 30*	November 10*
Faculty member's response due to Supervisor and Extension Director (optional)	January 22*	October 22*	May 7*	November 17*
Recommendation from Supervisor to Faculty member and Extension Director <sup>6</sup>	February 29*	October 29*	May 14*	November 26*
Recommendation from Extension	March 5*	November 12*	May 29*	December

Director to Faculty member and Supervisor; recommendations from PRC, Supervisor, and Extension Director and personnel action packet <sup>8</sup> to Provost <sup>6</sup> ; packet reviewed by the UM Promotion & Tenure Committee (PTC <sup>9</sup> ) <sup>6</sup> and then to UM President <sup>6</sup>				10*
UM President notifies Faculty member of personnel action decision	March 31*	January 15*	June 30*	February 28*
Option to file a grievance against a negative personnel action decision <sup>10</sup>	within 20 working days	within 20 working days	within 20 working days	within 20 working days

<sup>1</sup> Deadline dates that are set by the AFUM contract are indicated by \*; actions may occur before these dates but not after; all dates are approximate and may vary slightly each year; refer to [www.umaine.edu/hr/faculty/reappt/table07.htm](http://www.umaine.edu/hr/faculty/reappt/table07.htm) and [www.umaine.edu/hr/faculty/promten/guidelinestine.htm](http://www.umaine.edu/hr/faculty/promten/guidelinestine.htm) for current contractual deadlines.

<sup>2</sup> Faculty members hired prior to December 1 are required to submit a 1st Year Reappointment packet for consideration by PRC in January. Faculty members can request a waiver but should consult with their Supervisor about the implications of doing so.

<sup>3</sup> Faculty members typically apply for promotion to Associate Extension Professor and for Continuing Contract in their 5th year of employment, and for promotion to Extension Professor in their 10th year of employment or later.

<sup>4</sup> It is strongly recommended that Faculty members meet with their Peer Committee and Supervisor at least six weeks prior to submitting packet to discuss preparation and content.

<sup>5</sup> For early continuing contract submissions see [Section I.G.7](#)

<sup>6</sup> Faculty members may withdraw their packet at any point after initial submission by notifying the Extension Director in writing.

<sup>7</sup> Meeting dates may vary slightly from year to year.

<sup>8</sup> For 1st year, 2nd year, and 4th to 6th year reappointments, only the recommendation goes to upper administration. For 3rd year reappointment, promotion, and continuing contract, the recommendation and the narrative portion of the packet is sent to upper administration and the PTC; support documents are not sent.

<sup>9</sup> PTC is composed of Deans, Director of UMaine Cooperative Extension, and Provost

<sup>10</sup> Grievance will be filed with the first administrative officer (Supervisor, Extension Director, Vice President) making a negative recommendation. There is no provision in the contract for Faculty members to file a grievance against the PRC.

## 2. Contents of Packet

Until continuing contract is achieved:

- Primary focus of the packet (narrative and support documents) should be on the last year's work
- Packet should demonstrate professional growth; this often will require inclusion of work done since date of hire

When applying for promotion to Associate Extension or Extension Professor:

- Focus narrative and support documents on the most recent five years
- Use earlier work to demonstrate professional growth
- Address the criteria for promotion to this rank (see [Section I.G.5](#))

## 3. Performance Areas, Criteria, Indicators, and Standards

Performance Areas are the major areas of work expected of all Faculty members. Criteria are the essential elements of a Performance Area. Indicators are the activities that demonstrate achievement of a criterion. Standards are the minimum work performance necessary to achieve the requested personnel action. Performance Areas, Criteria, Indicators, and Standards are detailed in [Section II](#), and should be used in preparing your packet for submission to ensure that all applicable criteria, indicators, and standards have been addressed.

Faculty member's performance will be evaluated using the criteria, indicators, and standards for each performance area. It is expected that evidence of activity and increasing quality of performance in each criterion in each applicable performance area will increase with time in rank. It is expected that first and second year reappointment packets will be relatively brief because they are early in the program development process.

Standards should be considered minimums for documented work performance over time, and can be used as guides for advancement. It is expected that after performance has been achieved at a new level, it will be sustained. For promotion to Extension Professor, Standards must be met within the most recent five years of employment with UMaine Cooperative Extension.

#### 4. Weighting of Performance Areas

Each Performance Area is assigned a weight, within the minimum-maximum range, to indicate its relative importance in the job description and Plan of Work (POW) of each Faculty member. Specific weights are determined collaboratively by the Faculty member, their Program Administrator, and their Peer Committee. For new Faculty members, weights are to be determined within three months of the date of hire. It is not expected that weights will change except when there is a significant shift in the POW or other job responsibilities, or in the case of a change in, or move to, a joint appointment.

The minimum and maximum weights in each Performance Area are:

Performance Area	Minimum & Maximum Weights (%)	Maximum & Minimum Number of Days
I	50 to 70	115 to 161
<b>II – Teaching Appointment</b>	Equals percent of teaching appointment	
III	10 to 25	23 to 58
IV	10 to 15	23 to 35
V	1 to 5	2 to 12
<b>Research Appointment</b>	Equals percent of research appointment	
<b>Total</b>	100	230

The total of the weights (including teaching and research appointments) should equal 100%. Individuals are not expected to set maximum weights in all Performance Areas. For Faculty members with 100% Extension appointments, the total weight for Performance Areas I and II must be at least 70%. For Faculty members with joint appointments, the total of weights in Performance Areas I, III, IV, and V should equal the percent of Extension appointment. For Faculty members with teaching appointments, the total weight for Performance Areas I and II should not exceed 70%.

Faculty members submitting personnel action packets will indicate weights of each Performance Area as part of the Job Description in the Candidate's Profile ([Section III](#)).

#### 5. Additional Criteria for the Ranks of Associate Extension Professor and Extension Professor

UMaine Cooperative Extension has developed additional criteria for Extension Faculty ranks that should be kept in mind when determining whether a Faculty member has met the requirements for reappointment, promotion, and continuing contract.

#### Assistant Extension Professor

- Master's Degree is the minimum degree requirement; Specialists usually have an earned doctorate as the minimum degree requirement

#### Associate Extension Professor:

- Master's Degree is the minimum degree requirement; Specialists usually have an earned doctorate as the minimum degree requirement
- Sustained high level of competence in the implementation of all assigned responsibilities
- Evidence of continued professional development
- Evidence of recognition as an educator in the assigned geographical area
- Increasing skill in the program development process
- Creative performance in the conduct of Extension or related educational programs

#### Extension Professor

- Master's Degree is the minimum degree requirement; Specialists usually have an earned doctorate as the minimum degree requirement
- Evidence of sustained outstanding performance in the implementation of assigned responsibilities
- Continued professional development through the exploration of new areas of Extension programming
- Recognition as an educator beyond the assigned geographical area
- Excellent program development skills as evidenced by outstanding ability and consistent sustained performance in determining clientele needs, establishing program priorities, and conducting Extension or related educational programs

### **6. Years of Credit Towards Continuing Contract**

Occasionally a Faculty member is hired who negotiates a specific number of years "credit" towards continuing contract. Typically this will be one or two years of credit; rarely are three years of credit awarded. This means that the Faculty member has the opportunity to document work performance at a level that supports the awarding of continuing contract within a shorter period of time. According to the AFUM contract, credit granted at the time of appointment towards the completion of the probationary period may be used at the discretion of the Faculty member. The Faculty member electing to use the credit granted shall make a one time application for the award of tenure and there shall be only one tenure decision.

UMaine Cooperative Extension policy allows Faculty members hired with years of credit towards continuing contract to include documentation of their most recent experience and achievement in their continuing contract packet for a time period equivalent to that of the years of credit, up to a maximum of three years. This is consistent with University of Maine System policy concerning years of credit toward tenure.

Years of credit do not affect the Faculty member's position in the reappointment cycle. For example, a Faculty member hired with two years of credit towards continuing contract would submit their first reappointment packet according to the timeline for first year reappointment, not third year reappointment.

### **7. Guidelines for Early Continuing Contract Submissions**



If the criteria for continuing contract are met in year four or five a Faculty member may seek continuing contract, provided that the Faculty member also demonstrates that they exceed the basic standards (in quality and quantity) in at least four performance areas. Examples of exceeding standards include but are not limited to:

- Exemplary educational program development with clear long-term impacts
- Regional or national leadership and notoriety
- Attainment of externally funded grant, contract, or special funding in support of Extension educational programs or research
- Scholarly productivity

## **8. Letters of Support for Promotion and Continuing Contract**

Letters of support should not be included in reappointment packets. Letters of support are required for promotion and continuing contract packets and must be solicited by the Faculty member's Supervisor.

Letters of support should address one or more of these three areas of evaluation:

- Educational program development and applied research (Performance Area I)
- Scholarship and professional activity (Performance Area III)
- Organizational, campus, and public service (Performance Areas IV and V)

Letters of support are most effective when they describe the specific work of the Faculty member and its substantial contributions and accomplishments relative to the mission of UMaine Cooperative Extension and the University of Maine. Most appropriate are letters from colleagues or individuals who can evaluate the Faculty member's work but who are not close personal friends, former mentors, or academic advisors. When members of the academic community are asked to be evaluators, they should have a rank or professional recognition at least equivalent to the Faculty member's. Letters of support should not be requested from people supervised by the Faculty member.

Letters that address educational program development and applied research should be based primarily on the evaluator's first hand observations of the Faculty member and a review of the Faculty member's educational materials and syllabi.

Letters that address scholarship and professional activity should be from individuals who have expertise in the Faculty member's area of expertise. Letter of support should be based on an examination of the Faculty member's scholarly works, professional interactions, and observations of the Faculty member's participation in conferences and presentations at professional conferences.

Letters that address organizational, campus, and public service should be based on first hand experience of the Faculty member's work. The service should be directly related to the Faculty member's expertise, collegial, or governance role as a Faculty member. Letters should address the Faculty member's academic contribution to the service activity or evaluate the way the Faculty member conducted their responsibilities as a Faculty member. Letters should be printed on letterhead and signed. Unsigned letters and faxes are not acceptable.

There are three categories of letters of support:

- Internal to UMaine Cooperative Extension, UM, and UMS
- Program clients, members of advisory groups, and volunteers
- Collaborators in institutions, agencies, and organizations external to UMS

Letters of support from all three categories should be included. Faculty members must include letters in the third category from at least three established scholars at institutions external to the University of Maine System or from established collaborators who work in agencies and organizations and are well respected in the Faculty member's field of work. Support letters should be from individuals whose objectivity is not open to challenge. Faculty member's should not request letters from personal friends, colleagues with whom they have a long standing on going working relationship, former mentors, members of their PC or current PRC members. Faculty members may include the curriculum vitas of these evaluators in their supporting documents. A maximum of five letters from each category can be included. Typically two to three letters per category is sufficient. Quality is more important than quantity.

In the packet, include a cover sheet that lists the categories and identifies which letters are in each category. For each letter, indicate the correspondent's name, institution or place of work, and a brief statement of their connection to the Faculty member.

The Supervisor will solicit letters of support for Faculty member's requesting continuing contract or promotion using the template in [Section V](#).

The process and timeline for soliciting letters is:

Date	Action
<b>Aug 15</b>	Faculty member submits, to the Program Administrator (PA): <ul style="list-style-type: none"> <li>• names of possible individuals to write letters of support (including name, title, address, and brief description of the individual's relationship to the Faculty member)</li> <li>• current job description</li> <li>• list of current Peer Committee (PC) members</li> </ul> Faculty member can indicate names of individuals from whom letters should not be requested. PA adds additional names if desired.
<b>Sept 1</b>	PA forwards list to Faculty member's PC and to the current Promotion Review Committee (PRC) and requests additional names if desired.
<b>Sep 15</b>	Additional names received from PC and PRC.
<b>Oct 1</b>	PA selects names of individuals and requests letters of support.
<b>Oct 15</b>	Letters of support received by PA; letters are inserted into the Faculty member's packet when the packet is received.

Faculty members should notify individuals that they might be contacted to write a letter of support. All letters received will be included in the Faculty member's packet. After the Faculty member has received a letter from the UMaine President notifying them of the outcome of their request for continuing contract or promotion, a copy of the narrative portion of the packet, all recommendations, all letters of support, and any Faculty member response is placed in the Faculty member's personnel file. Letters of support will be available to the Faculty member for review at that time.

## H. Post Tenure Compensation (PTC) Review

### 1. Eligibility

A Faculty member's year of eligibility is calculated by adding multiples of four to the year they received continuing contract or promotion to full professor. A Faculty member is eligible for PTC every four years.

## **2. Determining Satisfactory Performance**

The Faculty member must be performing satisfactorily for their rank (see Section II) to receive a positive decision by the PRC, the Supervisor, the Executive Director, and Upper Administration. If the PRC recommendation is overturned, the Executive Director must supply the PRC with compelling reasons.

## **3. Format**

See [Section III](#). *Note that only the cover letter, job description, program summaries, and expanded CV are required for PTC; other sections, including appendices, should not be included.*

## **4. Role of the Peer Committee (PC)**

- Guides the Faculty member in preparing their post tenure packet
- Provides feedback on the Faculty member's packet prior to submission to the PRC
- Regularly offers ongoing support and feedback during the Faculty member's career

## **5. Roles of the Promotion Review Committee (PRC)**

- Reviews materials submitted by the Faculty member to determine if they are maintaining the performance standards established for their current rank based on the standards and criteria outlined in [Section II](#) of this document
- Makes recommendation on the action requested
- Provides the Faculty member with general written comments and feedback
- Meets with the Faculty member during the time period when PRC is in session, if requested
- Reviews the Faculty member's revised packet as necessary

## **6. Minimum Salary Increases and the Role of Administration**

Faculty members identified as performing satisfactorily by the PRC, Program Administrator (PA), and Extension Director, and approved by the Upper Administration, will receive a 3.5% increase to their base salary. Faculty members considered to be performing above the minimum by their PA and the Director can receive an increase of up to an additional 3.5%. Salary increases for Faculty members who successfully complete the review will be effective July 1.

If you have any questions, please contact your Program Administrator.

---

## **I. Tips on Preparing Packets**

These tips provide the Faculty member with suggestions for organizing the structure and layout of their packet. The more organized and concise the packet is, the easier it will be for others to locate and evaluate the materials presented.

### **1. Content**

- For each criterion, address all the indicators that are applicable to your work

- Be specific about program efforts and accomplishments, particularly when you are part of a team; identify team members by name, affiliation, and role
- Clearly describe programs and client groups, including their purpose, number, origin, and priority in your Plan of Work; do not assume that readers of your packet know your programs
- Clearly link needs assessments and planned educational programs to client-centered objectives and expected outcomes and impacts
- Clearly link objectives with achieved outcomes and impacts
- The narrative should be able to stand on its own; when your packet is passed on to the UM Promotion & Tenure Committee, only the narrative is reviewed; support documents are sent separately and are usually not reviewed
- Keep repetition of the same information to a minimum; reference to material already presented is preferable to “cut-and-paste” repetition
- Documentation of Maine Planning and Reporting System reporting should include a brief statement in your narrative that you did report, the number of days reported, and a brief description of narratives submitted; you do not need to include complete printouts of each goal reported under, or copies of success stories reported
- Support documents are an essential part of your packet; choose documents with care; include only those support documents that have been specifically referred to in the narrative
- Arrange support documents in the order they are referred to in the narrative
- Number or label each support document so that it can be referred to specifically and can be found easily
- Bound journals, reports, or publications that include multiple authors, if submitted, should be tabbed to indicate where your work can be found
- With bulky documents, consider submitting just the cover or title page and a sample of the contents
- Support documents should be clean, clear, and easy to read; if something doesn't photocopy well, consider an alternative such as a photograph, or simply describe it in the narrative
- Consider providing a list of acronyms, abbreviations, and definitions of terms that are used repeatedly
- Provide the necessary context for those readers who are unfamiliar with your program area, discipline, and the venues where your work was published

## 2. Organization and Formatting

- Packets should be organized as described in [Section III](#).
  - Clearly label every part of the narrative and supporting documents, using tab dividers or other similar devices, so that it is obvious where everything is located; refer to documents or sections using the numbers or labels
  - Consider placing the narrative in one binder and supporting documents in another; reviewers can then easily read through both at the same time, maintaining the flow of the narrative while referring to the supporting documents
  - Use one-and-a-half or double spacing; yes, it takes more paper, but it is much easier to read
  - Borders, fancy fonts, and shading may enhance a packet, but can easily be overdone; the packet should look professional; off-white paper can make a packet easier to read
  - Be sure to check for and avoid:
    - typos, incorrect spelling, incomplete or run-on sentences, punctuation mistakes, and hand-written corrections
    - multiple examples of the same documentation
    - jargon, acronyms, and abbreviations that have not been defined
    - wrinkled, soiled, illegible, and other poor quality materials
    - plastic page-protectors, colored ink, sticky dots, highlighter, or colored pencils
  - Have others proofread the text
-

## J. Late Packet Guidelines

1. Under extenuating circumstances, packets may be accepted up to one business day after the deadline provided the UMaine Cooperative Extension Executive Director (or their designee) agrees that circumstances beyond the Faculty member's control prevented timely submission of the packet.
2. If significant extenuating circumstances occur, an additional five (5) business days from the deadline may be granted, subject to approval from both the PAC and the UMaine Cooperative Extension Executive Director (or their designee). It is the Faculty member's responsibility to justify their request to the PAC and to the Executive Director. Note: an extension can not be granted if it would affect the ability of PRC and others to meet deadlines established by the AFUM agreement.

Examples of significant extenuating circumstances may include:

- death or severe injury in one's family
  - personal medical emergency
  - accident
3. Deadlines for applications should be set to fall on a Monday
  4. Notification will be sent to Faculty members two months prior to the packet due date. The notification will include a description of the information that should be included in the packet. An additional reminder will be sent to Faculty members two weeks prior to the date packet's are due.
- 

## K. Joint Appointments

1. Faculty members with a joint appointment must adhere to the Faculty performance evaluation and personnel actions of both UMaine Cooperative Extension and the unit or department where the joint appointment is held.
2. A Faculty member's primary unit is the unit or department in which the majority appointment is held; the secondary unit is the unit or department in which the minority appointment is held.
3. A Faculty member's Extension work will be evaluated using UMaine Cooperative Extension's Faculty evaluation standards. Research and teaching work will be evaluated using the standards set by the appropriate unit or department.
4. The primary unit has the responsibility to ensure that the Faculty member is evaluated in accordance with the AFUM agreement and that a peer committee is appointed that represents both the primary and secondary units.
5. The peer committee makes its report to the Department Chair and the Extension Program Administrator.
6. The recommendation from the Department Chair is sent to the Dean and the Dean's recommendation is sent to the Executive Vice-President/Provost.

7. The recommendation from the Extension Program Administrator is sent to the Extension Director; the Extension Director's recommendation is sent to the Executive Vice-President/Provost.
  8. For reappointment decisions, the Executive Vice-President/Provost's recommendation is sent to the President for action.
  9. For continuing contract, tenure, and promotion decisions, after review and discussion by the Administrative Promotion and Tenure Review Committee, the Executive Vice-President/Provost's recommendation is sent to the President for action.
- 

## **L. Fixed-Length, Soft Money, and Non-Continuing Contract Appointments**

For a full explanation of fixed-length and soft-money appointments please refer to the [AFUM Contract \[PDF\]](#), Article 7 – Appointment, Reappointment and Non-Reappointment, and Contract Status.

Faculty members with these types of appointments are encouraged to use their cover letter to address any specifics of their job description or responsibilities that affect their ability to meet criteria that are “expected” or meet standards for their current years of service.

Fixed-length and soft-money faculty members can be reappointed for multiple years, typically two, if there is a guarantee of funding and, for fixed-length appointments, the multi year appointment does not extend beyond the fixed-length employment period. Fixed-length and soft-money faculty members should work closely with their supervisor to determine the appropriateness of a multi-year reappointment, and clearly state their request in their cover letter.

---

## **M. Salary Adjustment at Promotion**

The UMaine Cooperative Extension Leadership Team may recommend salary adjustments above the rank minimum increase when Faculty members are promoted. Salary adjustments are effective when promotion takes effect, usually on July 1. No formal request for salary adjustment is required. The criteria for administrative decisions on salary adjustment are:

- Greatest value is placed on:
  - Program impact
  - Quality of one's service and cooperation with others
  - Program creativity
  - Competency
- Intermediate value is placed on:
  - Past contributions to the organization
  - Potential for future contributions to the organization and programs
  - Salary of peers with similar years of service and rank
- Lesser value, but still relevant to the analysis, is placed on:
  - Market value
  - Total years of service
  - Past entry-level salary within the group at time of hire

The final decision regarding any recommended salary adjustment is made by the UM Provost in consultation with the UM Office of Equal Employment Opportunity.

Note: For other Faculty salary adjustment options, please refer to the [UMaine Faculty Handbook](#).

---

## **N. Revision of Faculty Evaluation Document**

If a UMaine Cooperative Extension Faculty member or Administrator wants to amend the UMaine Cooperative Extension Faculty Evaluation document, this procedure is to be followed:

1. The Faculty member or Administrator identifies the specific section(s) of the document to be amended and prepares a proposed amendment(s) in consultation with the Policy Advisory Council (PAC) and the Extension Leadership Team (ELT). In doing so, the Faculty member or Administrator becomes the identified author(s) of the proposed change.
2. The author(s) submits the proposed amendment(s), electronically or hard copy, to the PAC and ELT.
3. After reviewing the proposed amendment(s), PAC and ELT members can propose changes that are then incorporated into the proposed amendment(s) by the author(s).
4. If the proposed amendment(s) do not affect forms, procedures, or criteria (AFUM Contract, Article 10), PAC and ELT approve the amendment(s). Skip to step 9.
5. If the proposed amendment(s) affect forms, procedures, or criteria, they must be voted on by the Extension Faculty. The proposed amendment(s) will be presented to the Faculty, electronically or by hard copy. If the proposed amendment(s) is to be discussed at a Faculty meeting, it will be sent to the Faculty members at least one week prior to the meeting. If the proposed amendment(s) is only being reviewed electronically, deadlines will be set for submission of comments.
6. The proposed amendment(s) will be reviewed and revised as necessary. The final version of the amendment(s) will be approved or not approved by majority vote of those Faculty members present at a Faculty meeting, or by majority vote of those responding electronically by the designated deadline.
7. The amendment(s) approved by the Faculty will then be forwarded to the ELT for final review and approval.
8. The revised document is then sent to upper administration for review and approval.
9. The amendment(s) approved by the Faculty and the ELT, and by upper administration as necessary, will then be incorporated into the Faculty Evaluation document and posted on Plugged In with revisions dates attached.
10. When the revision(s) is on-line, PAC will notify Faculty members, electronically, that the revision(s) is complete. The timeline for implementation of the revision(s) will be described in accordance with the provisions in the AFUM contract.
11. An amendment(s) not approved by PAC (and the Faculty if appropriate) or the ELT will be returned to the author(s). If the author(s) chooses to resubmit the amendment(s) the same procedure will be followed beginning with the first step.

---

## O. Definition of Terms

**Advisory groups** – Groups of volunteers, colleagues, collaborators, or stakeholders who provide advice to UMaine Cooperative Extension employees. Advisory groups may be internal to UMaine Cooperative Extension, such as County Executive Committees, 4-H Leader's Associations, and Extension Homemaker Councils, or external to UMaine Cooperative Extension such as the Maine Potato Board.

**Applied research** – Research that accesses and uses some part of the research communities' accumulated theories, knowledge, methods, and techniques, for a specific, often state, commercial, or client-driven, purpose. For Extension, applied research often provides information that:

- Supports an Extension program area
- Expands the discipline's knowledge base
- Addresses the needs of Maine people

This work should follow standard qualitative and quantitative research and statistical methods to evaluate the work as appropriate to the study design. UM policies and procedures related to research with humans (Human Subjects Institutional Review Board) and animals (Animal Care and Use Committee) must be followed.

*Examples:*

- You want to determine whether or not adoption of a particular nutrition principle you have been teaching to a specific group will lead to lower cholesterol levels. You set up a study comparing the participating group to a similar but non-participating group. The hypothesis is that the group with improved eating habits will have lower blood cholesterol levels. You monitor the groups, collect the data, do statistical analysis, and report your findings.
- You want to determine the effective distance of pollen spread from genetically engineered (GE) corn. Your hypothesis is that the distance away from the GE corn affects degree of pollination. You have two fields of corn that are standard hybrids, one of which is GE. You sample corn in the non-GE field at set distances from the GE pollen source and grow the seed in the greenhouse. The plants are then sprayed with glyphosate and you measure the surviving plants. Statistical methods are used to determine how far the GE pollen spreads.
- A new 4-H club has started, with members who attend the same school. You want to determine if participation in 4-H affects their self-esteem, grades, drug use, and so on. You work with the school to set up a comparison group of students who are similar but do not participate in 4H. You use appropriate assessment methods to compare the 4-Hers to the control group over a period of time. Statistical methods are used to determine the significance of your results, and you publish them in the *Journal of Extension*.
- A newly discovered aquatic organism (*Dinoflagellus horribilus*) is endangering the shellfish industry in a local bay. Town officials think that phosphorus runoff from a large dairy farm is contributing to the proliferation of this organism. Two other bays have reduced incidence of the organism. To assess the effect of the farm, you and your assistants test the waters feeding the bays for storm runoff P levels over the course of the summer. Using appropriate statistical methods, you correlate the incidence of *D. horribilus* with the P levels in each bay, and make inferences from the results. You present your findings to town and government officials at a marine conference.

**Contract** – An intentional verbal or written agreement between a UMaine Cooperative Extension employee and the client or customer that outlines the roles and responsibilities of all parties, projected timeframe, planned activities to reach desired outcomes, and reporting commitments.



**Criteria** – Essential elements of a performance area.

**Electronic Publication** – A publication produced for on-screen delivery with obvious attention to format, layout, text, and font for enhanced usability and readability. Unlike a website, database, or other electronic data, regardless of length, an electronic publication is published under a single title as a fact sheet, circular, bulletin, newsletter, book, handbook, and so on. It is not necessary for the electronic publication to have a paper equivalent.

**External Funding** – Funding that is acquired through an application process, rather than as part of base funding from USDA, UM, UMaine Cooperative Extension, or through the County budget process. External funding includes funding received through a team or collaborative effort, as a subset of a larger grant, or by the Faculty member serving as Principle Investigator (PI) or co-PI. UMaine Cooperative Extension may or may not serve as the fiscal agent for grants, contracts, and special funds that are the result of collaborative efforts. Funding received through processes internal to UMaine Cooperative Extension, such as Program Leadership Team budgets, are not considered external funding.

*Examples:*

- Grants from public and private foundations, including the Pine Tree State 4-H Foundation
- Grants and contracts from state agencies
- Grants from federal agencies

**Indicators** – Activities that demonstrate achievement of the criterion.

**Multi-county efforts** – Collaborations that involve two or more counties.

**Multi-disciplinary** – Efforts that represent research, education, or extension programs in which the principal investigators or other collaborators from two or more disciplines or fields of specialization work together to accomplish specified goals.

**Multi-state efforts** – Collaborations that involve the programs of institutions located in two or more states or territories. Multi-state efforts should be reported on the Maine Planning and Reporting System.

*Examples:*

- Educational materials developed by Faculty members from two or more states, including Natural Resource, Agricultural, and Engineering Services (NRAES) publications and resources
- New England Teen Conference
- New England Small Fruit and Vegetable Growers Meeting
- New England-wide food safety fact sheets and training in Hazard Analysis Critical Control Point (HACCP)
- Eastern States Exposition 4-H activities and New England Council

**New media technologies** – electronic technologies used in educational materials and programs, including “one-to-many” technologies such as eXtension, websites, electronic newsletters, tweets, and videos, and “many-to-many” technologies such as blogs, wikis, and social media

**Non-professional publications** – Educational materials that have not been peer-reviewed

**Organizational committees** – Standing committees such as Policy Advisory Council (PAC), Promotion Review Committee (PRC), Diversity Group; ad hoc committees; Peer Committees

**Peer-reviewed** – A publication that is reviewed by peers in the Faculty member's discipline. Ideally, this will be done by colleagues outside UMaine Cooperative Extension; however, other UM Faculty members may be excellent peer reviewers. If the paper is being published in a peer-reviewed journal or other publication, the review process is clearly set forth by the journal or publication. If the work is being published in another form, the review process will be set up by a third party (the Faculty member's supervisor, a colleague, or a UM Faculty member) to ensure a blind review.

**Performance Area** – Major areas of work expected of all Faculty members.

**Professional presentation** – Presentations made to an organization of peers, including national or multi state meetings, statewide meetings, or other similar groups. Presentations made to clients are usually not considered to be professional presentations.

**Professional publications** – Educational materials that have been peer-reviewed.

*Examples:*

- Fact sheets
- Curricula
- Technical reports
- Journal articles
- Computer software

**Program** – A collection of projects, activities, events, and resources focused around an issue.

**Program Leadership Team** – Extension colleagues organized to coordinate and manage organizational resources (people, materials, internally- and externally-generated funds) to achieve state Plan of Work goals.

**Publishing** – Communicating the results, insights, and findings emerging from creative Extension educational or applied research activities to peers, program participants, stakeholders, and the public.

*Examples:*

- Submitting an article to the Youth News newsletter or the *Journal of Extension* that highlight findings of your focus group research on 4-H teens' ability to market their skills in job interviews
- Contributing an article to a trade magazine on your ongoing applied research on compost tea and its effectiveness in disease and fungal suppression for commercial farmers and home gardeners
- Writing a regular newspaper column that highlights the synthesis of your ongoing literature review of early childhood intervention practices that are home- and community-based and their impact on family development
- Sending an article on creative group problem-solving techniques to *Group Facilitation: A Research & Applications Journal*

**Public service** – One-time presentations that draw on the Faculty member's professional expertise as a representative of UMaine Cooperative Extension but do not require engagement in the full educational program development process; usually will not include evaluation and documentation of impact and outcomes for participants; does not include service rendered in the role of a citizen such as being a 4-H or Scout leader, or service on civic or religious committees or boards.

**Scholarly work** – The discovery, development, and integration of original creative, intellectual work; includes professional and peer-reviewed publications and teaching and research methods, technologies, and program materials such as curricula, displays, and software.

**Scholarship** – The three components of scholarship are:

1. The discovery, development, and integration of creative intellectual work, i.e., scholarly work
2. Communicating about the creative intellectual work to a variety of audiences
3. Having that work validated by peers

Forms of scholarship include teaching and learning, artistic creativity, and the discovery and application of knowledge. Products of scholarship (scholarly work) include professional and peer-reviewed publications and teaching and research methods, technologies, and program materials such as curricula, displays, and software. Audiences include peers, program participants, stakeholders, and the general public. Validation by peers means it is presented in some way (for example through a paper, an abstract, a poster or a verbal presentation), discussed, and found to be valid. Validation can, but does not always, mean peer-reviewed.

**Standard** – Minimum work performance expected for a specific criterion.

**Under-represented** – Individuals, groups, and organizations who may not have participated fully in a program, including, but not limited to, women, racial and ethnic minorities, persons with disabilities, and limited-resource clients.

**Under-served** – Individuals, groups, and organizations whose needs have not been addressed in past programs.

## Section II: Performance Areas, Criteria, Indicators, and Standards

**Performance Areas, Criteria, and Indicators Effective December 1, 2000**  
**Standards Effective December 1, 2001**  
**Revised July 31, 2009**  
**Revised July 1, 2010**

### Introduction

Evaluation of a Faculty member's performance in relation to the standards for each criterion should take into account the job description and changes in the Plan of Work. Standards should be considered minimums for documented work performance over time. It is expected that after performance has been achieved at a new level, it will be sustained.

Standards represent the minimum performance expected in each criterion. A Faculty member may receive a positive action if they do not meet the standard in all criteria if they are seen as progressing well toward the desired standard or there are sufficient extenuating circumstances.

In general, Faculty members should spend approximately 50 to 70 percent of their time in [Performance Area I](#), 10 to 25 percent in [Performance Area III](#), 10 to 15 percent in [Performance Area IV](#), and 1 to 5 percent in [Performance Area V](#). The sum of weights for Performance Area I and III must be at least 70 percent.

*Notes:*

- Continuing contract and promotion to Associate Extension Professor are independent actions and do not necessarily occur at the same time unless requested by the Faculty member

- Post-tenure Compensation packets will be evaluated using the standards for the current rank of the Faculty member

---

## **Performance Area I: Educational Program Development**      **Weight** \_\_\_\_\_

### **PA I: Criterion 1: Conducts issues and needs assessment (Expected)**

#### **Indicators:**

- a. Methods used, e.g., focus group, observation, interview, test
- b. Tools used, e.g., survey, questionnaire, phone call records, information requests, program requests
- c. Sources used, e.g., professional peers, program team, advisory groups, personal knowledge and experience, research results, intuition, review of records and reports, contact with under-served and under represented groups

#### **Standards:**

##### **1st to 3rd Year Reappointment – by the 3rd year:**

- Employs at least one method
- Uses at least one tool
- Draws upon available data

##### **4th to 6th Year Reappointment, Continuing Contract, Promotion to Associate Extension Professor – between the 4th and 6th years:**

- Employs at least three methods
- Uses at least three tools
- Draws upon multiple sources of data, professional judgment, and advisory groups

##### **Promotion to Extension Professor – since last personnel action, with primary focus on the most recent five years:**

- Integrates multiple methods
- Relies upon diverse tools
- Integrates personal and professional analysis of needs into program development

### **PA I: Criterion 2: Sets goals and outcome-based objectives in relation to the State Plan of Work (Expected)**

#### **Indicators:**

Goals and outcome-based objectives should be:

- a. Specific
- b. Measurable
- c. Attainable
- d. Realistic
- e. Timely
- f. Prioritized

**Standards:**

- Throughout one's career, program goals and outcome-based objectives are SMART and prioritized
- Goals and outcome-based objectives align with local and state priority issues and aspirations.

**PA I: Criterion 3: Designs, delivers, evaluates, refines, and reports programs; individually or as part of a team (Expected)**

- For each indicator, address how it is incorporated into educational programs
- For team efforts, indicate your specific role(s)
- For evaluation, include tools used and a brief summary of results of specific evaluations; do not include individual participant evaluation forms or data not yet analyzed

**Indicators:**

- a. Involves clients in program design
- b. Involves internal and external advisory groups in program development, e.g., county executive committees, UM, UMS, local, state, or regional agencies and organizations
- c. Uses a variety of program delivery methods - e.g., one-on-one consultation, demonstration, lecture, hands-on activity, workshop, learn-by-mail, train-the-trainer, fact sheet, web page, newsletter, newspaper article, case study, new media technologies
- d. Enhances program development through effective use of people, e.g., recruits, trains, and manages volunteers and students, works with program staff to enhance program delivery
- e. Develops innovative educational materials and adapts program delivery methods to the audience
- f. Adapts educational materials and technology focused on audience needs
- g. Develops and uses evaluation tools, e.g., to evaluate teaching effectiveness, program content, and learner outcomes in relation to the stated goals and objectives
- h. Revises educational programs in response to evaluation results
- i. Reports program impacts in a timely, accurate and complete way, e.g., Maine Planning and Reporting System, county, state, and federal reports, exemplary program reports, success stories, contract or grant updates and reports
- j. Demonstrates commitment to civil rights, EO, and affirmative action in reaching diverse audiences that are reflective of the population - e.g., publicizes programs and modifies programs to reach new and diverse audiences with special attention to reaching under-served and under-represented audiences

**Standards:**

All Faculty members, throughout their careers with UMaine Cooperative Extension, are required to:

- Involve clients, advisory, peer, and professional groups in program design as appropriate
- Report program impacts in a timely, accurate, and complete manner including entries into Maine Planning and Reporting System, and where relevant, county, state and federal reports, success stories, contract and grant updates and reports
- Demonstrate a commitment to civil rights, equal employment opportunity, and affirmative action in designing educational programs, serving the public, collaborating with colleagues in and outside of UMaine Cooperative Extension, and reaching new and diverse audiences with special attention to reaching under-served and under-represented audiences

**1st to 3rd Year Reappointment – by the 3rd year:**

- Uses at least two program delivery methods
- Where applicable, recruits and supports volunteers to enhance program impact
- Develops educational materials to address audience needs and issues
- Conducts consistent program evaluation and incorporates findings into future programs
- Reports program accomplishments on Maine Planning and Reporting System and through other means as appropriate

**4th to 6th Year Reappointment, Continuing Contract, Promotion to Associate Extension Professor – between the 4th and 6th years:**

- Uses varied program delivery methods as appropriate
- Where applicable, implements an effective volunteer management system and staff management system
- Develops, refines & enhances educational materials to reflect learning styles and current educational theory and practice
- Designs and adapts program evaluation tools that assess multiple dimensions of client impact
- Reports program accomplishments on Maine Planning and Reporting System and through other means as appropriate

**Promotion to Extension Professor – since last personnel action, with primary focus on the most recent five years:**

- Uses multiple program delivery methods to address varied learning styles and educational needs over time
- Where applicable, demonstrates high degree of effective volunteer management, including ongoing program and volunteer development, and staff management
- Educational materials & technologies are reflective of emerging audience needs and educational theory and practice and contribute to clients' capacity to teach others
- Draws upon current evaluative research to assess impacts and offers new evaluative models to peers
- Reports program accomplishments on Maine Planning and Reporting System and through other means as appropriate

**PA I: Criterion 4: Documents program impact with emphasis on economic, environmental, and social conditions for Maine citizens and others (Expected)**

**Indicators:**

- a. Economic impacts such as businesses started, jobs created or retained, costs reduced, etc.
- b. Environmental quality enhanced, protected, restored or changed
- c. Client growth and development
- d. Community, business, group or organizational change

**Standards:**

All Faculty members, throughout their careers with UMaine Cooperative Extension, are expected to assess and report the impact of their work with emphasis on at least one of economic, environmental, or social conditions

**1st to 3rd Year Reappointment – by the 3rd year:**

- Assess and report short-term impacts that occur in less than one year post-program
- Develop a plan for assessing long-term impacts that occur beyond one year post-program

**4th to 6th Year Reappointment, Continuing Contract, Promotion to Associate Extension Professor – between the 4th and 6th years:**

- Assess and report short-term impacts that occur in less than one year post-program
- Assess and report long-term impacts that occur beyond one year post-program

**Promotion to Extension Professor – since last personnel action, with primary focus on the most recent five years:**

- Assess and report short- and long-term impacts that document substantial participant outcomes

**PA I: Criterion 5: Engages in professional development to enhance teaching preparedness and effectiveness (Expected)**

- For each activity indicate title, date(s), and a brief explanation of how the activity enhanced your skills or contributed to educational program development
- Include sabbatical leaves

**Indicators:**

- a. Has a professional development plan
- b. Engages in professional development
- c. Learns educational techniques for more effective and efficient work, e.g., computer programs for teaching, distance learning technology
- d. Enhances effectiveness and efficiency, e.g., shares program materials with others, uses relevant program materials produced by others
- e. Stays current with literature
- f. Acquires funds to support professional development, e.g., grants and contracts with funds for professional development, special grants or scholarships received for professional development, use of UMaine Cooperative Extension flexible staff development funds

**Standards:**

All Faculty members, throughout their careers with UMaine Cooperative Extension, are expected to:

- Develop and implement a professional development plan
- Participate in at least two significant professional development activities faculty at least one of which expands professional connections beyond UMaine Cooperative Extension, e.g., workshops, conferences, or other similar activities
- Demonstrate how professional development has enhanced program development and professional skills and knowledge

**1st to 3rd Year Reappointment – by the 3rd year:**

- Is encouraged to create opportunities to share the results of professional development activities with colleagues to enhance their skills and knowledge

**4th to 6th Year Reappointment, Continuing Contract, Promotion to Associate Extension Professor  
– between the 4th and 6th years:**

- At least once, will create opportunities to share the results of professional development activities with colleagues to enhance their skills and knowledge

**Promotion to Extension Professor – since last personnel action, with primary focus on the most recent five years:**

- At least twice, will create opportunities to share the results of professional development activities with colleagues to enhance their skills and knowledge

**PA I: Criterion 6: Conducts or collaborates on applied research to support program development (Expected)**

For each project include date(s), topic or activity, your role(s), name(s) and role(s) of collaborators, summary of findings, how the research contributed to program development.

**Indicators:**

- a. Conducts or collaborates on research
- b. Reports findings
- c. Incorporates results into program development

**Standards:**

All Faculty members, throughout their careers with UMaine Cooperative Extension, are expected to conduct or collaborate on applied research on an on-going basis to support program development and incorporate applied research.

**1st to 3rd Year Reappointment – by the 3rd year:**

- Is involved in at least one applied research project

**4th to 6th Year Reappointment, Continuing Contract, Promotion to Associate Extension Professor  
– between the 4th and 6th years:**

- Is involved in at least one applied research project
- Uses findings in program development

**Promotion to Extension Professor – since last personnel action, with primary focus on the most recent five years:**

- Provides leadership in collaborative applied research
- Uses findings in program development at least once every three years

**PA I: Criterion 7: Seeks and acquires grants, contracts, and special funds in support of educational program development (Expected)**

- Indicate agency name, date applied, dollar amount, and disposition



**Indicators:**

- a. Number of grants sought
- b. Dollars and resources requested
- c. Number received
- d. Dollars and resources raised or received
- e. Responsibly manages fiscal resources

**Standards:**

**1st to 3rd Year Reappointment – by the 3rd year:**

- Is familiar with the grant-writing process and potential grant and contract sources
- Seeks external funding through at least one grant, contract, or special fund proposal
- May raise funds through a development strategy in collaboration with relevant partners

**4th to 6th Year Reappointment, Continuing Contract, Promotion to Associate Extension Professor – between the 4th and 6th years:**

- Seeks external funding through at least three grant or contract proposals
- Receives at least one externally-funded grant, contract, or special fund
- May raise funds through a development strategy in collaboration with relevant partners
- Acquired funding through a development initiative

**Promotion to Extension Professor – since last personnel action, with primary focus on the most recent five years:**

- Supports new program(s) through externally-funded grants or contracts
- Seeks external funding through at least three grant or contract proposals
- Receives at least one externally-funded grant, contract, or special fund
- May raise funds through a development strategy in collaboration with relevant partners
- Acquired funding through a development initiative

**PA I: Criterion 8: Demonstrates educational program leadership (Expected)**

**Indicators:**

- a. Collaborates with others, including UM and UMS colleges and departments, and outside agencies and organizations
- b. Is involved in multi-county and multi-state programming efforts
- c. Serves as statewide Program Leadership Team member or leader
- d. Enhances the reputation of UM and UMaine Cooperative Extension

**Standards:**

**1st to 3rd Year Reappointment – by the 3rd year:**

- Collaborates with UMaine Cooperative Extension colleagues, and local and state agencies and organizations
- Is involved in at least one multi-county program

- Participates in at least one Program Leadership Team (PLT)

**4th to 6th Year Reappointment, Continuing Contract, Promotion to Associate Extension Professor – between the 4th and 6th years:**

- Collaborates with colleagues in UM and UMS colleges and departments, and in local and state agencies and organizations
- Participates in at least one multi-county program and at least one multi-state program
- Participates in at least one PLT

**Promotion to Extension Professor – since last personnel action, with primary focus on the most recent five years:**

- Collaborates with colleagues in UM and UMS colleges and departments, and in local, state, multi-state or national agencies and organizations
- Provides leadership in at least three multi-county programs and at least one multi-state program
- Participates in at least one PLT

---

## **Performance Area II: Undergraduate and Graduate Teaching and Advising**

If applicable, please note percent of time devoted to teaching and advising: \_\_\_\_\_%.

Evaluation of undergraduate and graduate teaching and advising is conducted by the appropriate department.

### **PA II: Criterion 1: Teaching philosophy, strategies, and approaches**

**Indicators:**

- a. Describe your main field of teaching responsibility
- b. Has a written teaching philosophy
- c. Strategies used
- d. Approaches used

### **PA II: Criterion 2. Efforts to address multiculturalism, gender, and international issues, and other curricular goals of UMS**

**Indicators:**

- a. Integral part of teaching responsibilities
- b. Work undertaken with k-12 schools

### **PA II: Criterion 3. Efforts to enhance teaching effectiveness**

**Indicators:**

- a. Seeks ongoing professional development in teaching effectiveness

- b. Shares effective teaching techniques and tools with colleagues

## **PA II: Criterion 4. Courses taught**

### **Indicators:**

- a. Number and title of each course
- b. Average number of students
- c. Indicate those courses taught regularly, those you have developed, and those you have substantially restructured

## **PA II: Criterion 5. Special teaching assignments or innovations**

## **PA II: Criterion 6. Strategies and approaches to student advising**

### **Indicators:**

- a. Number of undergraduate students (majors, undeclared students, honors students) advised during the academic year
- b. Regular meetings with advisees
- c. Contact with students who do not come to office
- d. Method of ensuring students meet general education requirements
- e. Results of evaluations by advisees

## **PA II: Criterion 7. Advising commitments for honors theses, master's theses and doctoral dissertations**

### **Indicators:**

- a. Number of theses and dissertations for which you serve as advisor
- b. Number of theses and dissertations for which you serve as a committee member

## **PA II: Criterion 8. Student evaluations**

- Refer to summary provided elsewhere
- Do not include individual student evaluation forms

### **Indicators:**

- a. Qualitative evaluations
- b. Quantitative evaluations

---

## **Performance Area III: Scholarship and Professional Activity Weight \_\_\_\_\_**

The Faculty member's job description will detail assigned duties, relevant areas of scholarship, and the relative balance of effort among assigned roles, scholarship, and public service. Scholarly achievement is expected of all Faculty members and may reflect individual as well as collaborative efforts.

### **PA III: Criterion 1: Scholarly works completed and in progress (Expected)**

- Include examples of the various types of works
- Sort by type and list under separate headings (e.g., peer-reviewed articles, other articles, edited publications, electronic publications, eXtension content development as part of a Community of Practice, fact sheets, curricula, books, monographs, textbooks, technical reports, reviews, published computer software, chapters, conference proceedings, abstracts, miscellaneous publications, educational materials and programs presented using new media technologies such as websites, electronic newsletters, eXtension blogs, wikis, social media)
- Briefly describe your current work and future direction

#### **Indicators:**

- a. Number of scholarly works in progress
- b. Number of scholarly works completed
- c. Documentation of impacts of one's scholarly works

#### **Standards:**

##### **1st to 3rd Year Reappointment – by the 3rd year:**

- Has at least one scholarly work in progress

4th to 6th Year Reappointment, Continuing Contract, Promotion to Associate Extension Professor – between the 4th and 6th years:

- Has at least one scholarly work in progress
- Results of applied research published in at least one professional or non-professional publication or conference proceedings

##### **Promotion to Extension Professor – since last personnel action, with primary focus on the most recent five years:**

- Has at least one scholarly work in progress
- Results of applied research published in at least one peer-reviewed journal or other publication and in at least one other professional or non-professional publication or conference proceedings

### **PA III: Criterion 2: Unpublished professional presentations (Optional)**

- Unpublished papers authored or co-authored by you and delivered at professional conventions or before professional groups
- Asterisk those that were peer-reviewed
- Indicate those for which you were the presenter

#### **Indicators:**

- a. Number of unpublished papers authored or co-authored
- b. Number of unpublished papers presented
- c. Number of unpublished papers peer-reviewed

#### **Standards:**

**1st to 3rd Year Reappointment – by the 3rd year:**

- Authors or co-authors at least one professional paper

**4th to 6th Year Reappointment, Continuing Contract, Promotion to Associate Extension Professor – between the 4th and 6th years:**

- Authors or co-authors at least one professional paper
- Presents at least one professional paper

**Promotion to Extension Professor – since last personnel action, with primary focus on the most recent five years:**

- Authors or co-authors at least one professional paper
- Presents at least one professional paper
- Has at least one unpublished paper peer-reviewed

**PA III: Criterion 3: Other scholarly activities (Optional)**

- List professional organizations, meetings attended, journals for which you serve as reviewer, panels on which you served, etc.
- Include appropriate dates, positions, roles, topics, etc.

**Indicators:**

- a. Professional organizations
  - Memberships
  - Offices held
  - Committee memberships
  - Other activities
- b. National and regional meeting
  - Attended
  - Sessions chaired
- c. Papers, chapters, or books reviewed
- d. Member of review panel for grant proposals- number and type of proposals reviewed
- e. Other activities

**Standards:**

**1st to 3rd Year Reappointment – by the 3rd year:**

- Member of a local, multi-state, or national professional organization(s)
- Attends local, multi-state or national professional meeting(s)

**4th to 6th Year Reappointment, Continuing Contract, Promotion to Associate Extension Professor – between the 4th and 6th years:**

- Member of and active in a local, multi-state, or national professional organization(s)
- Attends and is an organizer or participant in local, multi-state or national professional meeting(s)

**Promotion to Extension Professor – since last personnel action, with primary focus on the most recent five years:**

- Member of and active in a local, multi-state, or national professional organization(s)
- Holds, or has held, a leadership position in a local, multi-state, or national professional organization
- Presenter, organizer, or session chair in local, multi-state or national professional meeting(s)

---

## **Performance Area IV: County, Organizational, and Campus Service**

**Weight**

---

### **PA IV: Criterion 1: Serves on organizational committees (Expected)**

- Indicate committee, activity, leadership roles, length of service, unique assignments, outcomes of committee work, and dates

#### **Indicators:**

- See Definitions in [Section I.O.](#)
- Examples of organizational committees include the Promotion Review Committee, UMaine Cooperative Extension Diversity Group, and Peer Committees

#### **Standards:**

##### **1st to 3rd Year Reappointment – by the 3rd year:**

- Serves on at least two committees, including at least one peer committee

##### **4th to 6th Year Reappointment, Continuing Contract, Promotion to Associate Extension Professor – between the 4th and 6th years:**

- Serves on at least two committees, including at least one peer committee

##### **Promotion to Extension Professor – since last personnel action, with primary focus on the most recent five years:**

- Serves on at least four committees, including at least two peer committees
- Serves as a mentor to new faculty
- Serves as UMaine Cooperative Extension plan of work performance goal contact

### **PA IV: Criterion 2: Serves on search and interview teams (Expected)**

- Indicate position and dates

#### **Standards:**

##### **1st to 3rd Year Reappointment – by the 3rd year:**

- Service on team is optional

**4th to 6th Year Reappointment, Continuing Contract, Promotion to Associate Extension Professor – between the 4th and 6th years:**

- Serves on at least one team

**Promotion to Extension Professor – since last personnel action, with primary focus on the most recent five years:**

- Serves on at least one team

**PA IV: Criterion 3: Enhances skills and knowledge of County Executive Committees (CEC) and other advisory groups (Expected)**

- Indicate role and dates

**Standards:**

All Faculty members, throughout their careers with UMaine Cooperative Extension, are expected to:

- Be knowledgeable about current and emerging issues related to their POW and the work of the advisory group
- Demonstrate leadership, facilitation, and group skills
- Enhance the skills and knowledge of advisory groups to:
  - Develop the Faculty POW
  - Enhance marketing of and publicity for extension programs
  - Secure housing for county extension staff
  - Secure county and other funding

**Standards:**

**1st to 3rd Year Reappointment – by the 3rd year:**

- Has worked with at least one group
- Advisory group members have demonstrated improvement in leadership, facilitation, or group process skills

**4th to 6th Year Reappointment, Continuing Contract, Promotion to Associate Extension Professor – between the 4th and 6th years:**

- Has worked with at least one group
- Advisory group members have demonstrated improvement in leadership, facilitation, or group process skills
- Exchanges information about current and emerging issues with members of advisory groups

**Promotion to Extension Professor – since last personnel action, with primary focus on the most recent five years:**

- Has worked with at least two groups
- Advisory group members have demonstrated improvement in leadership, facilitation, or group process skills
- Exchanges information about current and emerging issues with members of advisory groups

**PA IV: Criterion 4 - Builds and sustains UMaine Cooperative Extension linkages with county, UM, and UMS (Optional)**

- Indicate topics, activities, and dates as appropriate

**Indicators:**

- a. Departmental teaching or seminars
- b. Professional development of colleagues
- c. Program collaboration
- d. Interdepartmental or campus committees

**Standards:**

**1st to 3rd Year Reappointment – by the 3rd year:**

- Explores potential for collaboration

**4th to 6th Year Reappointment, Continuing Contract, Promotion to Associate Extension Professor – between the 4th and 6th years:**

- Has initiated and conducted at least one inter-departmental or inter-campus activity

**Promotion to Extension Professor – since last personnel action, with primary focus on the most recent five years:**

- Has initiated and conducted at least two inter-departmental or inter-campus activities

**PA IV: Criterion 5: Performs administrative duties, including those of county coordinator (Expected)**

- Include supervision, duties in the county coordinator job description, duties as office contact (e.g., safety, civil rights, etc)
- Indicate dates served as county coordinator

**Indicators:**

- a. Number, category, and dates for people supervised
- b. Office administrative or county coordinator duties performed (see Maine Planning and Reporting System for county coordinator responsibilities)

**Standards:**

**1st to 3rd Year Reappointment – by the 3rd year:**

- Assists in supervision or evaluation of at least one Extension employee, AmeriCorps VISTA, or volunteer, or serves on a graduate committee
- Participates in supervisory training
- Assists with office administrative duties, as appropriate



**4th to 6th Year Reappointment, Continuing Contract, Promotion to Associate Extension Professor – between the 4th and 6th years:**

- Supervises or evaluates at least one Extension employee, AmeriCorps VISTA, or volunteer, or serves on a graduate committee
- Incorporates supervisory skills training and knowledge into the supervision or evaluation of others
- Assists with office administrative duties, as appropriate

**Promotion to Extension Professor – since last personnel action, with primary focus on the most recent five years:**

Since last personnel action, with primary focus on the most recent five years:

- Supervises at least one Extension employee, AmeriCorps VISTA, or volunteer, or serves on a graduate committee
- Continues to enhance supervisory skills and knowledge
- Incorporates supervisory skills training and knowledge into the supervision of others
- Assists with office administrative duties, including serving as county coordinator or campus office contact person, as appropriate

**PA IV: Criterion 6: Demonstrates commitment to UMaine Cooperative Extension civil rights expectations, and UMaine Extension and UM diversity goals (Expected)**

**Standards:**

All Faculty members, throughout their careers, are required to:

- Be familiar with and adhere to UMaine Cooperative Extension civil rights expectations, and UMaine Extension and UM diversity goals and policies
- Participate in diversity training to increase awareness and support one's commitment to diversity

---

**Performance Area V: Public Service**

**Weight** \_\_\_\_\_

**PA V: Criterion 1: Presentations and programs that do not require engagement in the full educational program development process (Expected)**

- Indicate topic or activity and date(s) offered
- Up to approximately 5 percent of Plan of Work

**Indicators:**

- a. Number and type of programs or talks given

**Standards:**

**1st to 3rd Year Reappointment – by the 3rd year:**

- Provides public service at least once a year

**4th to 6th Year Reappointment, Continuing Contract, Promotion to Associate Extension Professor – between the 4th and 6th years:**

- Provides public service at least once a year

**Promotion to Extension Professor – since last personnel action, with primary focus on the most recent five years:**

- Provides public service at least once a year

---

## Performance Area VI: Awards and Recognition

Weight \_\_\_\_\_

### PA VI: Criterion 1: Type of award or recognition (Optional)

This section is an opportunity to further demonstrate the quality of your work and the recognition that your work has received. There are no specific standards.

- Indicate granting agency or organization, date
- Can serve as further indication of recognition within and beyond area of assigned duties
- Are not needed to receive a positive recommendation

#### Indicators:

Number and type of award(s) and recognition(s)

## Section III: Application Format

Effective December 1, 2000

Revised August 4, 2003

Revised July 1, 2010

**Note:** This format is used for all Extension Faculty personnel action packets, except Post Tenure Compensation. It corresponds to that required of all UMaine Faculty members, including section and sub-section numbering. PTC packets include only the cover letter, job description, program summaries, and expanded CV; **other sections, including appendices, should not be included.**

### Cover Letter

A cover letter should accompany the Faculty member's packet. The cover letter provides a context for the Faculty member's work as described in their packet and guidance for reviewers. The cover letter should include:

- A statement of the personnel action and rank requested and the date it is to be effective
- Faculty members with a joint appointment should indicate the proportional breakdown of the appointment
- Faculty members on fixed length, soft money, or non-continuing contract should indicate the specifics of their appointment
- Information about any extenuating circumstances that reviewers should be aware of, such as additional work taken on during a colleague's absence or during a position vacancy
- A brief overview of how the packet was compiled, such as how supporting documents are arranged

### I. Face Data

A. Name

B. Current Rank

C. Cooperative Extension Office and Location

D. Professional Experience

(Provide a list of previous salaried positions, with dates, beginning with the most recent.)

E. Educational Background

(For each degree obtained, provide field, institution, and date received.)

## II. Record of Actions

A. Initial Probationary Appointment

(Provide date of hire, rank, and number of years credit towards any continuing contract, if any.)

B. Reappointments

(Provide effective date and length of each reappointment.)

C. Promotion(s)

(Provide effective date and new title and rank information for any promotion.)

D. Continuing Contract Recommendations

(This section will be completed as the application for Continuing Contract moves forward.)

1. Promotion Review Committee's Recommendation:		
Positive _____	Negative _____	Date: _____
2. Program Administrator's Recommendation:		
Positive _____	Negative _____	Date: _____
3. Director's Recommendation:		
Positive _____	Negative _____	Date: _____
4. Chief Academic Officer's Recommendation:		
Positive _____	Negative _____	Date: _____
5. President's Recommendation:		
Positive _____	Negative _____	Date: _____

E. Exceptions to Board of Trustees Policy

(not applicable to Faculty members with majority Extension appointments)

F. Transmittal Letters

(The appropriate administrative review letters will be inserted in the application for continuing contract as it moves forward.)

1. President
2. Chief Academic Officer
3. Director
4. Program Administrator

**III. Candidate’s Profile** (This section must start on a new page.)

**A. Job Description**

Include a copy of your current job description, followed by a listing of the Performance Areas with days and weights assigned to each and the POW issues and outcomes addressed in Performance Area I. Please provide a space at the bottom of the page for your Program Administrator’s signature and date.

**Example 1:**

Performance Area	Days	Weight (%)
I – Educational Program Development	140	61
Sustainable Communities	(60)	(42)
Entrepreneurship - Small and Home Based Business	(40)	(29)
Community Development: Capacity-Building Skills	(40)	(29)
II – Undergraduate and Graduate Teaching and Advising	n/a	n/a
III – Scholarship and Professional Activity	40	17
IV – County, Organizational, and Campus Service	20	9
V – Public Service	5	2
Unassigned	25	11
<b>Total</b>	<b>230</b>	<b>100</b>

Program Administrator: \_\_\_\_\_ Date: \_\_\_\_\_

**Example 2:**

Performance Area	Days	Weight (%)
I – Educational Program Development	140	61
Youth Development	(70)	(50)
Healthy Lifestyles	(40)	(29)
Sustainable Communities	(30)	(21)
II – Undergraduate and Graduate Teaching and Advising	n/a	n/a
III – Scholarship and Professional Activity	40	17
IV – County, Organizational, and Campus Service	20	9
V – Public Service	5	2
Unassigned	25	11

Total	230	100
-------	-----	-----

Program Administrator: \_\_\_\_\_ Date: \_\_\_\_\_

## B. Professional Development Plan

Include a copy of your **Professional Development Plan** using the form [[Word](#); [PDF](#)] provided on Plugged In.

## IV. Program Summaries

Packets can include between one and six program summaries. The number of summaries should reflect the nature of the appointment and the length of the evaluation period. Each program summary should be no more than two pages in length. Program summaries should address these criteria:

Performance Area I: Educational Program Development

Criterion 1: Conducts issues and needs assessment

Criterion 2: Sets goals and outcome-based objectives in relation to the State Plan of Work

Criterion 3: Designs, delivers, evaluates, refines, and reports programs; individually or as part of a team

Criterion 4: Documents impact with emphasis on economic, environmental, and social conditions for Maine citizens and others

Criterion 6: Conducts or collaborates on applied research to support program development

Criterion 7: Seeks and acquires grants, contracts, and special funds in support of educational program development

Note: Criteria 5 and 8 are addressed in the Expanded CV.

It is not expected that every program summary will fully address each criterion; however, each criterion should be addressed at least once among all the program summaries submitted.

## V. Expanded Curriculum Vitae (CV)

The remainder of a Faculty member's packet consists of an expanded CV that principally covers the evaluation period. The CV is composed of two parts.

Part one should contain:

- Brief job description
- Personal information
- Academic background
- Employment experience
- Professional organizations
- Licenses and certifications
- Teaching experience (if applicable)

Part two should contain:

- Performance Area I: Educational Program Development
  - Criterion 5: Engages in professional development to enhance teaching preparedness and effectiveness

- Criterion 8: Demonstrates educational program leadership
- Performance Area III: Scholarship and Professional Activity
  - Criterion 1: Scholarly works completed and in progress
  - Criterion 2: Unpublished professional presentations (Optional)
  - Criterion 3: Other scholarly activities (Optional)
- Performance Area IV: County, Organization, and Campus Service
  - Criterion 1: Serves on organizational committees
  - Criterion 2: Serves on search and interview teams
  - Criterion 3: Enhances skills and knowledge of County Executive Committees and other advisory groups
  - Criterion 4: Builds and sustains UMaine Cooperative Extension linkages with county, UM, and UMS (Optional)
  - Criterion 5: Conducts administrative roles and responsibilities including the role of county coordinator (Optional)
  - Criterion 6: Demonstrates commitment to UMaine Cooperative Extension civil rights expectations, and UMaine Extension and UM diversity goals
- Performance Area V: Public Service
  - Criterion 1: Presentation and programs that do not require engagement in the full educational program development process
- Performance Area VI: Awards and Recognition
  - Criterion 1: Type of award or recognition (Optional)

**VI. Evaluations of Teaching** (applicable only to Faculty members with joint teaching appointments who teach undergraduate and graduate credit courses)

#### **A. Student Evaluations of Teaching**

Provide a summary of qualitative and quantitative student evaluations. Sample formats for reporting student evaluations are provided in the tenure packet. A candidate is not limited to using only these formats if another method of exhibiting the data is preferred. Individual student evaluation forms should not be included.

#### **B. Other Evaluations of Teaching**

- Provide Peer Evaluations, if any
- List teaching awards, if any
- If your department has a graduate program, provide evaluative information on your teaching of graduate students in the classroom and on your thesis advising (e.g., student evaluations, peer evaluations, administrative evaluations, presentation and publications of your students)

Candidates are encouraged to include the number of enrolled students as well as the departmental or college mean in any statistical summaries, if available.

**VII. Departmental Peer Committee Evaluation** (applicable only to Faculty members with joint appointments – see [Section I.K](#) for information about Peer Committees for Faculty members with joint appointments)

#### **A. Evaluation Letter** (Evaluation must be based on the Unit's evaluation criteria.)

**1. Evaluation of Teaching** (Note: Candidates should submit copies of course syllabi to the departmental peer committee in an appendix.)

- Evaluate the Faculty member's performance as a teacher and advisor of undergraduates (classroom, laboratory, office, special projects, etc.). Comment on strengths, weaknesses, student evaluation results, syllabi, and evaluations by colleagues
- Evaluate the Faculty member's role in the program of the department, college, and University
- Evaluate the Faculty member's performance as a graduate teacher and thesis advisor when applicable
- Note any special efforts undertaken to enhance the effectiveness of the Faculty member's teaching

## **2. Evaluation of Scholarship**

- Evaluate the quality of the Faculty member's scholarly writing and the journals in which it appears; which appear in the major refereed journals in their field?
- Assess the Faculty member's regional, national, and international reputation in their field; has the Faculty member been sought out to review papers submitted for publication or presentation, grant proposals, or to serve as a member of a review panel?
- Frequently Faculty members are active in more than one area of scholarship and collaborate with persons in other departments or in scholarly groups off campus; if appropriate, letters that speak explicitly to the kind and quality of the Faculty member's contributions should be requested from the responsible individuals in such scholarly organizations

## **3. Evaluation of Service**

- Evaluate the Faculty member's public service activities, both compensated and non compensated, that utilize professional expertise; these should be activities conducted as a Faculty member, rather than those performed as a citizen
- Particular emphasis should be given to service that contributes to the economy, culture, and quality of life of citizens of Maine, the region, and the nation; if appropriate, letters of evaluation of public service activities should be included in the appendices
- Evaluate the Faculty member's service to the department, if applicable, and to the University, school, or college, or other committees

## **B. Recommendation – Recommended Action**

- The dated recommendation should be prepared on departmental letterhead; it must list the names of the voting members of the committee along with their signatures and be copied to the unit member
- If the recommendation for action is not unanimous, the vote tally should be noted
- The recommendation should include a notation that the Faculty member received a copy
- Recommendations for tenure before the end of the probationary period represent an exception of Board of Trustee policy; if this recommendation is an exception, the departmental peer committee evaluation should include a brief rationale for such an exception

## **VIII. Letters of Support**

Include in applications for promotion and continuing contract only. Organize letter of support under these headings:

- A. Letters Internal to UMaine Cooperative Extension, UM, and UMS
- B. Letters from Program Clients, Members of Advisory Groups, and Program Volunteers
- C. Letters from Collaborators in Institutions, Agencies, and Organizations External to UMS

# Section IV: Evaluation Form

Effective December 1, 2000  
Revised July 1, 2010

**Note:** PRC uses this form to provide comments to the Faculty member on their performance in each of the Performance Areas and Criteria. Extension Administrators have the option of using this form or providing their comments in a narrative format.

Evaluation Form	
<b>Faculty member:</b>	
<b>Performance Area I: Educational Program Development</b>	
<b>Criterion 1:</b> Conducts issues and needs assessment	<b>Comments:</b>
<b>Criterion 2:</b> Sets goals and outcome-based objectives	<b>Comments:</b>
<b>Criterion 3:</b> Designs, delivers, evaluates, refines, and reports programs	<b>Comments:</b>
<b>Criterion 4:</b> Documents impact with emphasis on economic, environmental and social conditions	<b>Comments:</b>
<b>Criterion 5:</b> Engages in professional development to enhance teaching preparedness and effectiveness	<b>Comments:</b>
<b>Criterion 6:</b> Conducts or collaborates on applied research to support program development	<b>Comments:</b>
<b>Criterion 7:</b> Seeks and acquires grants, contracts, and special funds in support of educational program development	<b>Comments:</b>
<b>Criterion 8:</b> Demonstrates educational program leadership	<b>Comments:</b>
<b>Performance Area II: Undergraduate and Graduate Teaching and Advising</b>	
<b>Criterion 1:</b> Teaching philosophy, strategies, and approaches	<b>Comments:</b>
<b>Criterion 2:</b> Addresses multiculturalism, gender, and international issues, and other curricular goals of	



UMS

**Comments:**

**Criterion 3:** Efforts to enhance teaching effectiveness

**Comments:**

**Criterion 4:** Courses taught

**Comments:**

**Criterion 5:** Special teaching assignments or innovations

**Comments:**

**Criterion 6:** Strategies and approaches to student advising

**Comments:**

**Criterion 7:** Advising commitments for honors theses, master's theses, and doctoral dissertations

**Comments:**

**Criterion 8:** Student evaluations

**Comments:**

**Performance Area III: Scholarship and Professional Activity**

**Criterion 1:** Scholarly works completed and in progress

**Comments:**

**Criterion 2:** Unpublished professional presentations (Optional)

**Comments:**

**Criterion 8:** Other scholarly activities (Optional)

**Comments:**

**Performance Area IV: County, Organizational, and Campus Service**

**Criterion 1:** Serves on organizational committees

**Comments:**

**Criterion 2:** Serves on search and interview teams

**Comments:**

**Criterion 3:** Enhances skills and knowledge of County Executive Committees (CEC) and other advisory groups

**Comments:**

**Criterion 4:** Builds and sustains UMaine Cooperative Extension linkages with UM and UMS (Optional)  
**Comments:**

**Criterion 5:** Conducts administrative roles and responsibilities (Optional)  
**Comments:**

**Criterion 6:** Demonstrates commitment to UMaine Cooperative Extension and UM diversity goals  
**Comments:**

**Performance Area V: Public Service**

**Criterion 1:** Presentations and programs that do not require engagement in the full educational program development process  
**Comments:**

**Performance Area VI: Awards and Recognition**

**Criterion 1:** Type of award or recognition (Optional)  
**Comments:**

**Letters of Support:**

**Promotion and continuing contract only:** Content of letters, categories of authors, number of letters  
**Comments:**

**Additional Comments:**

Recommendation of the Promotion Review Committee:

<b>Date:</b>	<b>Name:</b>	<b>Signature:</b>
Promotion Review Committee Member:		
Promotion Review Committee Member:		
Promotion Review Committee Member:		
Promotion Review Committee Member:		
Promotion Review Committee Member:		

Promotion Review Committee Member:		
---------------------------------------	--	--

## Section V: Template for Soliciting Letters of Support for UMaine Cooperative Extension Faculty Members

Effective April 28, 2003  
Revised July 1, 2010

Dear (Mr.-Ms.-Dr.) (Last name):

(First name Last name), Assistant (or Associate) Extension Professor, University of Maine Cooperative Extension, is seeking (Continuing Contract and promotion to Associate Extension Professor or promotion to Extension Professor). This action recognizes outstanding performance on the part of the Faculty member. As part of the documentation of workplace performance, letters of support from individuals familiar with the Faculty member's work and who are able to speak to the criteria for Continuing Contract and promotion are sought. (First name Last name) has submitted your name as someone who could speak to their performance and in doing so could support their application. I appreciate your consideration of this request. If you are unable or unwilling to write a letter of support, please let me know as soon as possible.

If you are able to submit a letter it should include the name of the Faculty member, your name, how long you have known the Faculty member, and the nature of the work relationship between you and the Faculty member.

It is important to address the Faculty member's performance in as many of these areas as possible.

- **Educational Program Development** – assessing the need for specific programs, developing programs to address identified needs, evaluating the program and reporting any outcomes of the program.
- **Undergraduate and Graduate Teaching and Advising** – teaching and advising strategies and approaches, efforts to address issues of diversity, and results of student evaluations. Applies only to Faculty members with teaching appointments at the University of Maine.
- **Scholarship and Professional Activity** – development of scholarly works, such as curricula, professional papers, or software, some of which have been peer-reviewed, presentations at professional conferences or workshops, and involvement in professional organizations.
- **Organizational and Campus Service** – involvement in committees that support the on-going work of Cooperative Extension, such as search and interview teams, work with advisory groups including county Executive Committees, activities that build and sustain linkages with the University of Maine and University of Maine System, supervision of UMaine Cooperative Extension employees and other administrative work, and demonstrated commitment to addressing civil rights and reaching out to diverse audiences.
- **Public Service** – presentations that utilize professional expertise but that do not require engagement in the full educational program development process such as one-time talks to civic organizations.

In addition, it would be helpful if you can address what you believe has been the impact or effect of the Faculty member's work. That is, what changes have individuals, groups, or communities made as a result of participating in the Faculty member's program.

You are welcome to include any other comments that would be helpful to those reviewing (First name Last name)'s application for reappointment.

Thank you for your assistance with this important process. Please submit your letter of support to me by (date). If you have any questions, I can be reached by phone at 207 581 \_\_\_\_\_ or email at \_\_\_\_\_@maine.edu.

Sincerely,

(First name Last name)  
Program Administrator

# **Department of Wildlife Ecology**

## **Promotion and Tenure Guidelines**

**January 27, 2006**

Peer evaluation is central to the recommendation to grant tenure or promotion to faculty in the Department of Wildlife Ecology. The tenure track is intended to allow faculty to demonstrate to their peers that they are capable of academic teaching, research, and service of a quality deserving of the protections afforded by tenure. Promotion in rank is similarly dependent on demonstrating to colleagues that performance in one's present rank has been consistently of the quality appropriate to the higher rank. The diversity of teaching, research, and service means that decisions as to the quality of academic work are inherently subjective and therefore best evaluated by peer judgment. In the Department of Wildlife Ecology this evaluation is provided by the Peer Review Committee, which consists of the tenured faculty of the Department as voting members, with the Chair as a non-voting member.

In the event that there are less than three tenured faculty (excluding the Chair) in the Department, the Committee will be augmented by the addition of an additional tenured faculty member from a Department in a related discipline. This member is to be elected with the approval of a majority of all Wildlife Ecology faculty, to serve a non-renewable term of four years.

Peer evaluation is to consider the contributions of the candidate in three areas—teaching, research, and service. Criteria for evaluation and standards of performance are presented for each area below, followed by comprehensive standards for tenure and promotion.

Untenured faculty and non-tenure track faculty will be evaluated for reappointment on the basis of the same criteria used for tenure decisions. The Peer Review Committee is expected to provide untenured faculty with a forthright indication of their progress, explain where improvement is required, and offer suggestions on how performance can be improved.

### **TEACHING**

Teaching includes developing and delivering undergraduate and graduate courses, guest lectures, academic advising and mentoring of undergraduate and graduate students, and related instructional activities. Professional development in pedagogy and contributions to development of department and university teaching programs also are considered teaching activity. The expectation for teaching load is prorated based on the teaching appointment. Members of the Maine Cooperative Fish and Wildlife Research Unit (MCFWRU) with faculty appointments have graduate teaching assignments defined by a Cooperative

Agreement. All faculty except MCFWRU faculty are normally expected to teach both at undergraduate and at graduate levels.

The Peer Committee and Chairperson will review the following areas in evaluations of teaching: 1) teaching load, 2) instructional planning, 3) teaching level appropriate for the department and university, 4) the ability to stimulate students to pursue and achieve course goals, 5) academic advising of undergraduate and graduate students, 6) mentoring of graduate students, 7) level of involvement in field courses, laboratory instruction, and recitation periods, and 8) other evidence of teaching activity. Evaluation will seek clear evidence of performance. Evaluation will be made based on the following materials or information:

- course syllabi
- data on courses taught, enrollments, and credit hours
- data on student evaluations of courses
- peer evaluation
- number of undergraduate and graduate students advised and indicators of advising performance as described in the 2<sup>nd</sup> and 3<sup>rd</sup> paragraphs below.
- numbers of graduate students graduated
- graduate committees served on
- student contact hours
- number of students advised
- number of graduates advised
- student success in meeting graduation requirements in a timely manner as an indicator of advising performance
- other documentation of teaching effort including, but not limited to, guest lectures, written student opinions of courses, development of web-based or other tangible course components, and attendance at faculty instruction or development courses.

Course syllabi will be used to evaluate instructional planning, course content, course updating, and communication of course goals and student expectations. When evaluating teaching loads, the Peer Committee will consider not merely the credit hours and number of students enrolled in courses, but whether a laboratory or recitation component was present, any duplication of sessions used to accommodate class size, student contact hours involved, and the availability of teaching assistants in conducting and grading the class. Student evaluations can vary among course types, subjects, and student populations and the Peer Committee may therefore consider evidence that anomalous evaluations reflect this. However, a consistent pattern of generally excellent or generally poor evaluations is considered a reliable indicator of performance. Written comments on courses or faculty from course evaluations must be verifiable with student signatures.

Advising is a critical element in the academic effort. The administrative record of advisee actions should be one of timely and appropriate actions by faculty. Faculty should, however, be able to document their availability to students via posted office hours or open door policies, and may offer other evidence, e.g., “thank you“ letters from graduating

advisees. Evidence of other actions assisting students, such as advising student extramural groups or activities, may be offered.

The advising activities of Wildlife Ecology faculty will typically include graduate advising. In addition to data on numbers of graduate students advised and numbers of graduate committees served on, candidates may provide a variety of evidence of their activities in this area including evidence of being consulted by students other than those they serve as major advisor, papers co-authored with students, acknowledgment lines within student-authored papers, and scientific and professional contributions of the student.

### **Teaching Standards**

Successful performance for the evaluation period must show evidence for:

- Clear and helpful syllabi.
- Course content that is at the appropriate level and evidence of updating content to reflect advances in the field, particularly in advanced courses
- Course evaluations, student written comments or other evidence of teaching performance that indicates successful teaching of course material and the ability to stimulate students to pursue and achieve course goals.
- Course loads commensurate with teaching assignment based on a typical load of one 3-credit undergraduate course each academic year, one 2-credit graduate course in alternate years, plus one additional course at either level in alternate years for a 50% teaching appointment. The load is commensurate with the faculty member's assignment time if it is at or above the level computed from the College's current formula for such loads.
- Successful academic advising of undergraduates
- Successful advising and mentoring of graduate students. For tenure decisions, applicants should normally have advised 3 or more graduate students through to graduation.

Other teaching activities, such as guest lectures, attendance at faculty instructional courses, web-based courses, can be used as supporting evidence of teaching performance in the above criteria as appropriate.

To be rated excellent, the candidate must be rated at least successful in all the above criteria, have high quality course content and evidence of superior teaching performance that indicates the ability to stimulate students to pursue and achieve course goals, exhibit superior performance in graduate student advising and mentoring, and receive departmental, college or university recognition of teaching excellence.

## RESEARCH

Research primarily refers to effort to discover new knowledge, but also includes other forms of scholarship that increase scientific knowledge and understanding. Candidates for tenure or promotion must provide evidence of success in scientific research or related scholarly activity. Faculty are expected to accommodate graduate students in their research. The research expectation depends on the research appointment of the faculty member.

Research and scholarly activity includes formulating research proposals, obtaining funding for proposals, conducting research satisfactorily, publishing in the scientific literature, and other related activities. The nature of wildlife ecology research can vary considerably on a continuum from laboratory to field-oriented research. However in all cases it is typical for individual research projects to take a number of years from inception to initial publication. This timeline includes initial project development with agencies, 2-4 years of field and/or laboratory work by graduate students, 1-2 years of data analyses and thesis/dissertation writing, and completion of the publication process in the scientific literature. Field work typically involves considerable logistical coordination of multiple employees, management of vehicles (including trucks, boats, or planes), arranging off-campus housing, and safety planning. Laboratory work has similar or parallel demands.

Evaluation will seek clear evidence of performance. The Peer Committee and Chairperson will make their evaluations based on the following materials or information:

- peer-reviewed publications
- research (especially invited) presentations at seminars and conferences
- technical publications (not peer-reviewed), subject to the Peer Committee being satisfied as to their quality
- proposals submitted, proposal success rate, and total grant funding obtained
- graduate student involvement in research
- fostering productive interdisciplinary collaborations
- evidence of regional, national or international recognition
- other documentation of scientific productivity including, but not limited to, development of computer models, databases or technical manuals, the development of new techniques, and the application or practical use of research results

Publication of peer-reviewed publications in scientific journals is required, but technical publications (not peer-reviewed) in other outlets add to overall research productivity. The Peer Committee and Chairperson recognize that both the availability of grants and the size of grants differ markedly across research areas. Regional, national or international recognition may be indicated by a variety of evidence including, but not limited to, invited presentations, research and publication awards, publications in high quality or prestigious journals, statements from external or internal reviewers made in letters of support, and editorships.



## **Research Standards**

Successful performance for the evaluation period must show evidence for:

- regional or national recognition in research and scholarly activity.
- expectations for numbers of publications will be dependent on publication quality as judged by the Peer Committee, but the typical expectation is an average of 2-4 peer-reviewed journal articles per year over the review period for a full-time research appointment, and *pro rata* otherwise, i.e., 1-2 articles for a 50% appointment.
- regular presentation of research at regional and national conferences
- demonstrated effort and success at obtaining sufficient external funding to maintain research activity
- evidence that graduate students have a central role in research

Other documentation of scientific productivity can be used as supporting evidence of research and scholarly performance in the above criteria as appropriate. In particular, book chapters will be evaluated based on their apparent significance, as judged by the Peer Review Committee.

To be rated excellent, the candidate must be rated at least successful in all the above criteria, publish and present high-quality research at an above average rate, and be nationally or internationally recognized.

## **SERVICE**

Service includes all work based in the faculty member's professional expertise and knowledge and designed to promote social and infrastructure components of science and academe. Faculty are expected to contribute to the activities of the Department, College, and University, as well as to the larger scientific community. Presently, all faculty members of the Department, regardless of rank, participate in faculty meetings, but there are a number of external committees on which the Department must be represented. In general the Department discourages extensive participation by tenure-track faculty in such representation because teaching and research are the primary criteria by which tenure candidates are judged. Tenured candidates for promotion, however, are expected to have a track record of active participation in extra-Departmental committees and by serving the College and University by their individual memberships on appropriate committees and working groups. Candidates should provide details of such service as part of their evaluation package, together with any documentation available as to the quality or content of their service.

Professional service is expected of candidates for promotion and may include such activities as service on Councils or Boards or Committees of professional societies, on editorial boards of professional journals, on statutory and review boards for Federal and State agencies, and as peer reviewers for grant proposals and manuscripts. Evidence of these

activities testifies to the standing of the candidate within the profession. Talks and articles for the general public are also evidence of service activity.

### **Service Standards**

Successful performance for tenure-track candidates during their evaluation period must show evidence for:

- appropriate participation in Department, College, or University service, but acknowledging the limits to such service inherent in an untenured position
- evidence of some professional service outside the University e.g., as a peer reviewer for grant proposals or manuscripts, service on national committees, etc.
- other measures of service e.g., on regional or national committees - may be offered here if they do not duplicate items being offered elsewhere as evidence of standing as a researcher

Excellent performance would include, but not be limited to, such additional service as active involvement or leadership in professional societies and service on editorial or public boards.

## **STANDARDS FOR REAPPOINTMENT, TENURE, AND PROMOTION**

The standards set out below apply to reappointment and the granting of tenure to faculty originally hired as Associate or Full Professor without tenure, to promotion from Assistant Professor to Associate Professor with tenure, and to promotion from Associate Professor to Professor. The ratings of “successful” and “excellent” as used below are specifically defined above in the sections on Teaching Standards, Research Standards, and Service Standards

### **Reappointment**

For reappointment, a faculty member must have successful performance or be making progress toward meeting requirements for tenure or promotion to Associate Professor.

### **Tenure as and/or Promotion to Associate Professor**

A candidate must receive a rating of successful in teaching and research together with a successful service record for the evaluation period. A candidate’s overall evaluation will be made relative to their teaching: research appointment.

### **Tenure as and/or Promotion to Professor**

A candidate must receive an excellent rating in teaching or research for the evaluation period together with a successful service record that includes extramural service. A candidate’s overall evaluation will be made relative to their teaching: research appointment.

## **Early Promotion**

Faculty may be considered for early promotion if they clearly exceed the standards for promotion.