

## 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<sup>1</sup>

#### 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.

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<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.