

**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

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**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.**