

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:

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| 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:

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| 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.