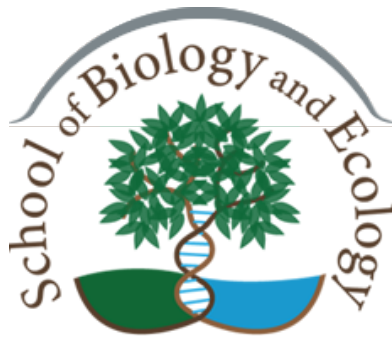


# **HANDBOOK OF BEST PRACTICES FOR FACULTY PEER REVIEW**

## **SCHOOL OF BIOLOGY AND ECOLOGY**



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## **I. Context**

### **A. Implementing Fair and Consistent Peer Review**

It is in the best interests of academic units to implement a fair and judicial process that is clear and consistent throughout the review of faculty for recruitment, retention, and advancement. This can be best applied through the development and application of peer review guidelines that take into account differences in career-stage and position-specific performance expectations. Such guidelines benefit from frequent review and revision, taking into consideration the criteria stated in the University's guidelines and AFUM contract criteria. A 'best practices' Peer review handbook for THE School of Biology and Ecology (SBE) should also reflect the goals of the University's ADVANCE Committee in supporting tenure-stream women faculty in the STEM and SBS disciplines at UMaine (see Section B. *Recognition of Implicit Bias*). This document serves as a 'best practices Handbook' for SBE and includes the unit and University guidelines as well as relevant AFUM contract criteria for reference. This Handbook also includes a brief discussion of 'implicit bias' (see below) and provides resources for further reading on this and other topics (see Appendix). The SBE Handbook for Peer Review is expected to continually undergo review and revision as needed. It will be available on-line and as hard copy to the University community. Supplemental materials, including a draft checklist and Peer letter templates, intended to help maintain consistency throughout the peer review process, are provided.

### **B. Recognition of 'implicit bias'**

According to the Kirwan Institute for the Study of Race and Ethnicity at Ohio State University (<http://kirwaninstitute.osu.edu/research/understanding-implicit-bias/>), the term 'implicit bias' "refers to the attitudes or stereotypes that affect our understanding, actions, and decisions in an unconscious manner". While such biases are generally unconscious and usually occur with no malicious intent, they can lead to prejudice and discrimination. (See resources in the Appendix for reports and examples; including Chapter 8 as excerpt from Hill et al. 2010, and the Provost's Promotion and Tenure Training presentation). It has been noted that unconscious stereotyping of faculty under review can occur in the writing of external evaluation letters and in evaluations by peer committees during the review process. The responsibility of the Peer committee, and perhaps all SBE administration, faculty and staff, should include heightened awareness of implicit bias and the ability to recognize and avoid it throughout the evaluation process.

## **II. University Guidelines for Tenure and Promotion Support Letters**

(<https://umaine.edu/hr/promotion-and-tenure/>)

The University provides general guidelines for developing support letters resulting from reviewing faculty for tenure and promotion by each unit's Peer Committee. It is noted that such letters should reflect the nature of the individual unit's review criteria. Further, the guidelines include criteria that should be brought to the attention of internal and external reviewers for inclusion in their letters to the Peer Committee.

To conform to Board of Trustee Review policy, the department chairperson (dean in units without chairpersons) must annually evaluate all employees, including faculty and those described above who are evaluated by the peer committee less frequently. This evaluation is part of the administrative review of faculty, which is distinct from the peer review process outlined in the contract. From the **Timetable and Administrative Guidelines for Promotion and Tenure at the University of Maine** (<https://umaine.edu/hr/promotion-tenure-timetable/>), “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.**”

(as noted, the University’s guidelines are copied verbatim below)

**A. The Departmental Peer Committee Letter** (The evaluation must be based on the Unit's [SBE] evaluation criteria.)

**1. Evaluation of Teaching**

- Evaluate the faculty member's performance as a teacher and advisor of undergraduates (classroom, laboratory, office, special projects, etc.). Comment on strengths and weaknesses, student evaluation results, syllabi, and evaluations by colleagues.
- Evaluate the faculty member's role in the program of the department, college, and/or 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 his/her field?
- Assess the faculty member's regional, national, and/or international reputation in his/her field. Has the faculty member been sought out to review papers submitted for publication/presentation, grant proposals, and/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. Letters that speak explicitly to the kind and quality of the faculty member's contributions should be requested from the responsible individual in such scholarly organizations.)

### 3. Evaluation of Service

- Evaluate the faculty member's public service activities, both compensated and uncompensated, that utilize professional expertise. These should be activities carried out 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. Departmental Peer Committee: Recommendation/Recommended Action Document

- The dated recommendation should be prepared on separate 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 to Board of Trustee policy. If this recommendation is an exception, the departmental peer committee evaluation should include a brief rationale for such an exception.

### C. Other Support Letters

(<http://www.maine.edu/about-the-system/system-office/academic-affairs/tenure-and-promotion/>)

**1. Letters internal to the Campus** Support letters should address one or more of the three areas of evaluation: teaching, scholarship, and service.

- **In the area of teaching**, the letter should be based primarily on first-hand observation of the candidate in the classroom or in other recognized teaching contexts such as workshops, as well as on review of teaching materials and syllabi.
- **In the area of scholarship**, the letter should be based on examination of the candidate's written and/or creative work as well as on scholarly discussions with the candidate or attendance at conference presentations where applicable. The writer should have expertise in the area being evaluated.

- **In the area of service**, the letter should be based on first-hand experience with the candidate in some service activity. The service activity in question should be directly related to the candidate's academic expertise or to his/her collegial or governance role as a faculty member. The letter should address the candidate's academic contribution to the shared service activity or evaluate the way in which the candidate carried out his/her responsibilities as a faculty member.

**2. Letters internal to the University of Maine System but external to the Campus**  
(See section C.2 of the UNIVERSITY OF MAINE SYSTEM  
Guidelines for Tenure and Promotion Review Letters)

**3. Letters external to the University of Maine System and external to Campus**  
(See Section C.3 of the UNIVERSITY OF MAINE SYSTEM  
Guidelines for Tenure and Promotion Review Letters)

In the area of service, two conditions on acceptable letters of support should be highlighted:

- For the purposes of tenure evaluation, service activities do not include activities that one engages in simply as a neighbor, organization member, or citizen. Service activities must relate directly to the academic expertise of the candidate or to institutional expectations of faculty members as participants in the governance and administration of their campus.
- Those who comment on service activities from outside the campus and the University of Maine System should have first-hand experience of the candidate's activities and have the relevant expertise to evaluate the candidate's performance.

**D. University timeline for faculty review**

Timeline is based on that posted for 2018-19; exact dates may change from year to year and are available on the Office of Human Resources website  
<https://umaine.edu/hr/reappointment-non-reappointment-guidelines-2/> )

NOTE: THESE ARE GENERAL CONTRACTUAL DEADLINES REPRESENTING THE LATEST DATES FOR SAID ACTIONS. DEADLINES MAY BE ADVANCED TO MEET THE NEEDS OF THE ACADEMIC CALENDAR, HOLIDAYS, AND PEER COMMITTEE TIME TABLES.

**1. Faculty Reappointment/Non-Reappointment – Time Table for AFUM  
Reappointment Actions**

<b>Activity</b>	<b>First Year</b>	<b>Second Year</b>	<b>Third and Subsequent Year</b>
Chair instructs Peer Committee regarding specific faculty to be considered, the deadline and appropriate procedures for Peer Committee action.	December 17*	October 16*	March 18*
Faculty member submits credentials to Peer Committee. <b>Except for submission in the third and subsequent year appointment round, there is no standard form for this purpose.</b>	January 4	October 31	April 3
Peer Committee forwards its recommendation to the Chair and to the faculty member. The faculty member may respond to this recommendation, in writing, within one week.	January 15*	November 15*	April 30*
Chair (Dean or Director, as appropriate) receives faculty member's written response, if any, to the Peer Committee's recommendation.	January 22 or within one week of receipt of the Peer Comm.'s recommendation	November 21 or within one week of receipt of the Peer Comm.'s recommendation	May 7 or within one week of receipt of the Peer Comm.'s recommendation
Chair (Dean or Director) forwards the Peer Committee's recommendation, the written response of the faculty member, if any, and his/her recommendation to the Dean. The faculty member must be sent a copy of the Chair's recommendation at the time it is forwarded to the next level of review.	February 22	November 30	May 10

Provost receives the recommendations submitted to the Dean and the Dean's recommendation. The faculty member must be sent a copy of the Dean's recommendation at the time it is forwarded to the Executive Vice President and Provost.	March 8	December 7	May 24
Faculty receive notice of the President's decision.	March 31*	January 15*	June 30*
*Deadline specified in Article 7; other deadlines are administrative.			

## 2. Tenure and Promotion

Article 9 sets forth the procedure to be used for promotion, tenure, and continuing contract recommendations. (Continuing Contract applies only to faculty members in Cooperative Extension.) These recommendations are to be made in accordance with the criteria established in Article 10, Evaluations and consistent with Article 8, Academic Ranks.

Both contractual and administrative deadlines are described below and the actions required as of those dates are summarized. If you have questions about these guidelines or about Article 9, please contact the SBE HR Partner.

Some faculty members, such as department chairs, are not members of the collective bargaining unit. They should also indicate their desire to be considered for promotion and/or tenure, submit their credentials to the department Peer Committee, and observe the same deadlines as unit faculty.

Some faculty may receive an appointment with funding and / or responsibilities in more than one department, division or other appropriate unit. These appointments are called Joint Appointments.

Faculty holding joint appointments are, for the purpose of evaluation, reappointment, tenure and promotion, reviewed by a single peer committee. The composition of the peer committee for the unit member in a joint appointment shall reflect the proportion of responsibilities assigned to the unit member in each department, division, or other appropriate unit. For the purpose of evaluation, reappointment, promotion, and tenure, there shall be a single recommendation from the peer committee. Please note that a cooperating (unsalaryed) appointment is not a joint appointment.



**Faculty and Peer Committee Deadlines (\*Denotes AFUM Contractual Deadline Dates) from the 2018/2019 <https://umaine.edu/hr/promotion-tenure-timetable/>**

**1. September 15\*:** Deadline for faculty member's written request to chairperson (director or dean in those units without chairpersons) for consideration for tenure or continuing contract prior to the sixth year of service or for consideration for promotion.

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.

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\*:** 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.

**3. October 3:** Deadline for unit member's submission of application materials for consideration by the Peer Committee.

**4. November 10\*:** Deadline for Peer Committee to forward the application for tenure, continuing contract, or promotion, the Committee's recommendation and any other supporting documentation that is to accompany the application to the chairperson (dean or director). The chairperson should make sure that the unit member receives a copy of

the materials from the Peer Committee and is aware of his or her right to reply or comment within one week of receipt of the Peer Committee materials by the chairperson. Letters of recommendation solicited and received as part of the promotion/tenure review must be included in this material that is copied and provided to the unit member. Supporting documentation submitted by the faculty member need not be copied and sent to the faculty member. The documentation should, however, be forwarded in its entirety to the next level of review.

**5. November 16** or within one week of receipt of the Peer Committee materials by the chairperson (dean or director in those units without chairperson): Deadline for receipt by chairperson (dean or director) of the faculty member's response, if any, to the Peer Committee recommendation.

### **Administrative Action Steps**

The following administrative deadlines are not governed by the collective bargaining agreement. These deadlines have been set to enable the campus to meet the Chancellor's Office deadline that typically falls in early February. Administrators are encouraged to plan carefully to avoid unnecessary delays.

**6. November 21:** The chairperson prepares his/her recommendation, distinct from that of the Peer Committee, at the end of the one-week response period or after receipt of written comments, if any. The chairperson's recommendation is forwarded to the dean, along with the recommendation of the Peer Committee and the faculty member's written response, if any. A copy of the chairperson's recommendation should be sent to the faculty member at the time it is submitted to the dean,

The unit member shall not grieve a negative recommendation until formally notified of the decision by the President. Therefore, if a unit member requests the opportunity to meet with an administrator during promotion or tenure consideration, the administrator is not obligated to meet with the unit member.

If a faculty member grieves the promotion, tenure, or continuing contract decision, the grievance will be filed with the first administrative officer (department chairperson, dean, vice president) making a negative recommendation. There is no provision in the contract for a faculty member to file a grievance against a Peer Committee.

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 promotion or tenure consideration only in very limited circumstances; specifically: in extraordinary circumstances (e.g., being awarded a Nobel Prize); to correct factual errors in the material submitted; and to receive outside evaluations solicited during the review process which are received prior to the President's decision.

If materials are added to the file after the faculty member's response to the Peer Committee recommendation, the consideration will be remanded to the Peer Committee and, if necessary, new deadlines will be set. This remanding may be waived on the

mutual agreement of the faculty member and the University. Please call John Kidder if you have questions about adding materials to the file.

**7. December 7:** The dean/director will submit their recommendation to the Provost. The unit member must be sent a copy of this recommendation at the same time it is sent to the Provost.

**8. Early to mid-January:** The Provost, after consultation with the appropriate Dean and the Provost's Advisory Committee, will submit his recommendations regarding tenure, continuing contract and promotion to the President. The unit member (candidate) will receive a copy of the recommendation at the time it is submitted.

The unit member shall have an opportunity to submit a written response to these recommendations within 5 (five) working days from receipt of the Executive Vice President for Academic Affairs and Provost's recommendation. The statement submitted by the unit member shall become part of the official material reviewed by the President.

**9. February 8:** The President's recommendations regarding tenure are due in the Chancellor's office. The President notifies the candidate of his/her decision regarding continuing contract and promotion and his/her recommendation to the Chancellor and Board of Trustees regarding tenure when it is transmitted to the System Office but no later than February 28, 2017.

**10. March 24-25:** The Board of Trustees will act on tenure nominations. Informal notice of Board action will be made by telephone. A formal letter of notification will follow from the President.

**11. May/June:** The original Promotion and Tenure submissions will be returned to the department for placement in the individual's official personnel file.

**12. April/June:** In consultation with Equal Opportunity and Human Resources the Deans recommend and the Provost approves any promotional salary increases above the minimum specified in the collective bargaining agreement. These increases will be effective July 1, 2017 for fiscal-year faculty and September 1, 2017 for academic-year faculty.

13. The Office of Human Resources will initiate Employee Data Change Forms to reflect the tenure, promotion, and continuing contract decisions and to implement promotional increases.

## **E. Formats for submitting review materials**

### **1. First and second-year reviews**

- Cover letter requesting a review
- Narrative highlighting accomplishments during the review period
- Updated Curriculum Vita
- Copies of annual faculty reports submitted during the review period

**2. Third and subsequent-year reviews** (<http://www.maine.edu/about-the-system/system-office/academic-affairs/tenure-and-promotion/>)

This format is intended to help faculty document and organize information relating to their scholarly achievements since their appointment at the University of Maine. The format is based on the UMS Tenure and Promotion Application Form and thus should help facilitate preparation of the future application for Tenure and Promotion. It is also hoped that the format will provide guidance and structure to the information a faculty member submits for reappointment consideration. **This format is mandatory.**

Because various academic units of the University have different missions, this format does not place priorities among the several criteria herein identified. It is the faculty member's responsibility to ensure that all appropriate and pertinent information is provided following this format. Faculty members involved in interdisciplinary programs are encouraged to document these activities.

It is the responsibility of the Departmental Peer Committee, the Chairperson, and other University administrators to review and evaluate the material submitted by the faculty member in a manner consistent with the mission of the appropriate academic unit and the University. Criteria for reappointment are available in the standards adopted by the colleges and departments which is available at

<http://www.umaine.edu/provost/departmental-evaluation-criteria>

The actual format includes instructions and other explanatory notes. These instructional notes should be omitted from the document submitted to the peer committee by the faculty member.

**Suggestions to Faculty for Preparing for Reappointment Consideration**

- The peer committee has access to your personnel file. Review it to make sure it is complete and up-to-date.
- 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.

**III. AFUM contract sections relevant to faculty review  
(including relevant Sections II and III above)**

**AFUM Unit Faculty Reappointment/Non-Reappointment - AFUM Contract  
Administrative Guidelines Evaluation and Evaluation Criteria Article 10**

Article 10, Evaluation, of the AFUM contract requires that all unit members be evaluated by a peer committee annually, except as shown below. Any unit member having the rank of Professor with tenure and any unit member having the rank of Extension Educator with continuing contract shall be evaluated by the department, division or other appropriate unit every four (4) years, or more frequently upon written request of the unit member. Any unit member having the rank of Associate Professor with tenure, any unit member having the rank of Associate Extension Educator with continuing contract and any Lecturer or Instructor with over six (6) years of continuous service in the same department, division or other appropriate unit shall be evaluated by

the department, division or other appropriate unit every four (4) years, or more frequently upon written request of the unit member.

### **Peer Committee Evaluation Schedule**

- Professor with tenure or Extension Educator with continuing contract - Every 4 years
- Associate Professor with tenure or Associate Extension Educator with continuing contract - Every 4 years
- Lecturer or Instructor with over 6 years of continuous service in the same department, division or other appropriate unit - Every 4 years
- All other AFUM unit faculty - Every year

All unit members (with the exceptions cited in the chart above), including first and second year faculty who have previously been considered for reappointment, should be evaluated at this time by both the peer committee and department chairperson. In addition, departments should review annually their evaluation criteria and student evaluation forms. If revisions are made, they should be submitted for administrative approval in accordance with Article 10, Section B.3 of the faculty contract.

### **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.

The peer committee need not evaluate any faculty member whose service will cease at the end of the current year. That is, any faculty member who has stated in writing an intent to resign or retire, any faculty member completing a terminal year, or any faculty member with a fixed-length or soft-money appointment which will expire this year and will not be renewed.

Following receipt of the peer committee evaluation and after the period in which faculty may comment in writing, chairpersons will prepare their evaluations which will be discussed with the dean (vice president in units without deans) according to college practice prior to being communicated, also in writing, to the faculty member.

### **Deadlines**

(The deadlines suggested below are for annual spring evaluation of all faculty. <https://umaine.edu/hr/employees/faculty-specific-resources/afum-contract-administrative-guidelines-evaluation-and-evaluation-criteria-article-10/>)

**April 30** - Peer committees' recommendations regarding reappointment of third and subsequent year probationary faculty must be made by April 30. The evaluation which accompanies reappointment consideration can constitute an annual evaluation.

**April/May** - All other unit members, including first and second year faculty who have previously been considered for reappointment, should be evaluated at this time by both the peer committee and by the department chairperson.

In the case of the second-year unit members, at the time of the spring evaluation the department may recommend that the third year be designated as a terminal year. If the department does not wish to designate the third year as terminal, then no further reappointment recommendation for the second year unit member is necessary and the unit member is, in effect, guaranteed a fourth year of employment.

**Within one Week of Receipt of the Peer Committee Evaluation by the Chairperson -**

Deadline for receipt of the unit member's written comments, if any. Only at this time should the peer committee evaluation be placed in the personnel file. If the faculty member has submitted a written response, it should be attached to the evaluation.

**Mid-May** - Chairpersons (deans or directors in units without chairpersons) should prepare their own evaluations of unit members. The dean may wish to discuss evaluations prepared by chairpersons prior to transmittal to faculty. In addition, the dean may wish to see all or a portion of the peer committee evaluations and responses. Please consult with the dean for details.

**Late May** - Deadline for placing the chairperson's evaluation (dean's or director's evaluation in units without chairpersons) in the personnel file and for sending the faculty member a copy of the evaluation. Faculty members should be asked to acknowledge receipt of the evaluation in writing. Probationary faculty should at this time be informed of any conditions beyond the control of the department, division or other appropriate unit or of the unit member which might make reappointment unlikely despite fulfillment of the primary criteria. (Article 7, B.2)

**June 1** - Date by which suggested revisions to the departmental evaluation criteria should be submitted for administrative review. (See next section)

### **Evaluation Criteria and Student Evaluation Forms**

Each peer committee should annually review departmental evaluation criteria and student evaluation forms and procedures to consider revisions. Any revision is subject to administrative review and becomes effective at the beginning of the following academic or fiscal year. Proposed revisions to criteria should be submitted for administrative review by June 1.

## **Evaluation Procedures for Faculty with Joint Appointments**

Faculty holding joint appointments are reviewed by a single peer committee for the purpose of evaluation, reappointment, tenure and promotion. The composition of the peer committee for the unit member in a joint appointment shall reflect the proportion of responsibilities assigned to the unit member in each department, division, or other appropriate unit. For the purpose of evaluation, reappointment, promotion, and tenure there shall be a single recommendation from the peer committee. Please note that a cooperating (unsalaryed) appointment is not a joint appointment.

## **IV. SBE Guidelines**

(<http://umaine.edu/provost/departmental-evaluation-criteria/>)

### **A. Mentoring of pre-tenure faculty members in the School of Biology and Ecology** (Approved by SBE Faculty 3/22/13)

Pre-tenure faculty benefit by having collegial support and from receiving advice from tenured faculty about the institution's peer review process. Advice can address issues such as how to develop a promising career, how to teach effectively, how to launch a research program and fund it, who to go to for help in various matters, and effective time management. A faculty mentor's small commitment of time can make a large difference in the success and well-being of pre-tenure faculty, and in the unit as a whole. Pre-tenured faculty in SBE are assigned a mentor, with the goal of retaining productive junior faculty by supporting them through their pre-tenure period. The plan presented here specifies important components of mentoring in SBE.

#### **Purpose of mentoring:**

Mentoring aims to support pre-tenure faculty members along the path to promotion and tenure. This support can include helping pre-tenure faculty understand the culture and professional expectations of SBE and UMaine, set career goals and make a plan to meet them, learn about campus resources, and explore options for responding to challenges that may arise during their career. The mentor should provide constructive feedback and advice on the mentee's teaching, development of a research program, and time management. The mentor can enlist the support of other tenured UMaine faculty to supporting her/his mentee.

#### **Role of the school director:**

The SBE director (herein referred to as 'Director'), in consultation with the PAC of SBE, will select a mentor for each faculty member during the pre-tenure period. Often, but not always, the mentor has been the chair of the search committee. The Director should explain the importance of mentoring and outline expectations of the mentoring relationship to both the mentor agreeing to serve as such and the mentee. The Director should meet with mentor and mentee at least once a year to support the mentor-mentee relationship and to assess its effectiveness.

It may be suitable for more than one SBE faculty person to mentor one person. For

example, one faculty member might be appropriate to guide a mentee toward success in research, while another may be better suited to mentor the teaching of the same mentee. The mentoring relationship will normally be confined to the pre-tenure period.

**Role of the mentor:**

Mentors should be proactive in working with mentees to establish and maintain an effective mentoring relationship. The mentor will contact the new faculty member (mentee) in advance of his/her arrival and encourage the new faculty member to meet with them as needed. An important part of the mentoring relationship is confidentiality, combined with an approach that is supportive and not evaluative. The Director maintains resources about successful mentoring that mentors and mentees should consult periodically.

**Responsibilities of the mentee:**

Mentees should be open to the support of the mentoring relationship. This openness requires preparation for discussions with the mentor about promotion and tenure, career goals, and other key issues. Mentees should tell their mentor about problems or challenges when they develop, or consult directly with the Director if they are unable to comfortably do so.

**Mentoring plan:**

Mentor and mentee are encouraged to meet in person at least once a month, perhaps more often during the first year and less often in later years. Important issues that the mentor and mentee should discuss include but are not limited to: promotion and tenure policies and procedures outlined by SBE and the University's guidelines as well as in the AFUM contract, the mentee's career goals and projected short- and long-term timelines, prioritizing professional commitments, understanding UMaine culture and professional expectations, teaching skills and teaching expectations, funding sources (internal and external), developing professional skills, identifying UMaine human and technical resources (e.g., statistical analyses, grant proposal preparation, teaching effectiveness), and establishing a good professional reputation in their respective disciplines and in the campus environment.

Specific topics that might be considered:

Short-term goals:

- familiarization with the campus, its environment and its resources,
- networking: introduction to colleagues, identification of other mentors,
- developing awareness: help the mentee understand policies and procedures relevant to his/her work,
- constructive criticism and encouragement, compliments on achievements
- helping to sort out priorities: budgeting time, balancing research, teaching, and service.

- Long-term goals:



- developing visibility and prominence within the profession,
- achieving career advancement.

Common issues:

- How does one establish an appropriate balance between teaching, research and committee/service obligations?
- How is teaching evaluated for promotion and/or tenure? What criteria are used?
- How does one obtain feedback concerning teaching? What resources are available for teaching enhancement?
- How to identify and recruit good graduate students? How are graduate students supported?
- What to expect from graduate students? What is required in the graduate program?
- What are the criteria for research excellence? How is research evaluated?
- Where does one look for funding and resources for research and/or teaching?
- How does the merit and promotion process work? Who is involved?
- How much committee work should one expect? What types of committee activities are important or considered a priority for a beginning faculty member?
- What social events occur in the department?

Additionally, work-life balance issues must be part of the discussion between mentors, mentee, and, when applicable, the Director. For example, the mentor should inform the mentee about the opportunities for altering the tenure clock as appropriate.

**What to do if the mentoring relationship is not productive:**

If a mentee needs support in an area wherein the assigned mentor does not have sufficient expertise or experience to be effective (or may not be available due to sabbatical leave), the mentor and/or director may refer the mentee to other faculty or staff who might be more helpful or available. If the relationship is not productive and mutually satisfactory, the mentor or the mentee should consult the Director about identifying a new mentor.

**B. Retention and Promotion Review – Evaluation Criteria and Guidelines for the Applicant and for the Peer Review Committee**

University requirements and procedures for appointment, evaluation, reappointment, promotion, tenure, and continuous contract are detailed in the current Agreement between the University of Maine and AFUM. Because members of the faculty in the School of Biology and Ecology differ in their responsibilities, each individual will be evaluated in proportion to his or her commitments to teaching, research, and service. These different positions and career stages are noted individually below, and information may be redundant across the various sections. The Director will be responsible for providing the Peer evaluation committee with full details regarding each individual's assignment, conditions of employment, and any MAFES commitment.

Peer evaluations will take into consideration the differences in job descriptions and specific responsibilities among faculty.

The SBE Peer Review Committee consists of five tenured faculty members nominated by the Director and approved by the faculty to represent the disciplinary breadth of the school. The Peer Review Committee conducts all evaluations of faculty (including instructors and lecturers), 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 school faculty. Consistent with the stated University's Guidelines, the department chairperson should convene the Committee and may 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. Each peer committee should annually review departmental evaluation criteria and student evaluation forms and procedures to consider revisions. Any revision is subject to administrative review and becomes effective at the beginning of the following academic or fiscal year. Proposed revisions to criteria should be submitted for administrative review by June 1.

The hallmark of a university faculty member is a creative and productive mind. For retention, promotion, or tenure, a faculty member throughout their career must demonstrate thorough professional competence, commensurate with the nature of their appointment, in teaching, research, and service to the university, the public, and professional organizations. The evaluation standards for each position type and career stage to be reviewed within SBE are described separately below. Evaluation of instructors and lecturers (Section 4) focuses on the areas of teaching and service as appropriate for each job description.

One of the consequences of being a large and diverse unit is that the standards for rate of publication, types of grants awarded and other indicators of performance are different in different areas of scholarship. The Peer Committee recognizes that this can be a difficult situation for both the evaluators and the faculty being evaluated. Thus, a faculty member due for evaluation has the option to request that the Peer Committee includes a liaison from another unit at UMaine whose scholarship closely matches that of the person being reviewed. A liaison will review all materials and participate in all discussions and deliberations, **but will not vote on the final recommendation made by the Peer Committee to Director.**

#### **1. Early Career Review (before being granted tenure)**

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.

## **Teaching**

Reappointment, promotion, and tenure in the School of Biology and Ecology 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 how well 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 reviewed 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 school courses at the same level in the same year. In assessing these results, the Peer Review Committee will be mindful that factors such as the difficulty of the course material and implicit bias related to gender, ethnicity, or other characteristics of an instructor may influence student responses and that outlier responses can have a large impact in resulting outcomes in small classes. Written student comments will also be examined for trends in student concerns as well as accolades.
2. How do faculty peers rate the quality and content of the instructor's classes? Faculty observers will be asked to record their first-hand 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 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 new 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 or technological developments, as well as seek 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?

Faculty members are expected to work continuously on ensuring high quality of their teaching and keeping current on the latest advances in pedagogy and instructional technology. As a part of this effort, they are strongly encouraged to solicit peer feedback on their teaching approaches and classroom performance. The following are common venues to receive such a feedback:

1. Requesting comments from the members of Peer Committee who observed faculty member's teaching as a part of the peer review process.
2. Asking faculty mentors to observe and discuss faculty member's teaching.
3. Arranging a pedagogy consultation from the Center for Innovation in Teaching and Learning (<https://umaine.edu/citl/instructional-design-2/pedagogy-consultation/>).

## **Research**

Evaluation of research-related activities will reflect the nature of the faculty member's position during the pre-tenure or pre-contract period. A faculty member in a tenure-track position is expected to be generating a body of research and scholarly work that establishes the person as a creative and productive scientist comparable to peers in their discipline. During the pre-tenure period, the faculty member should be showing evidence that they are on track for meeting the University and School requirements for timely tenure and/or promotion. The number of high-quality scholarly publications judged to be acceptable will be governed by the nature of the field of inquiry and the person's assigned workload. In general, a faculty member with a 50:50 teaching/research appointment is expected to produce a minimum of five significant publications in peer-reviewed journals during the pre-tenure evaluation period. It is also important that the faculty member demonstrates efforts and success in gaining external funds in support of 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 review materials during the pre-tenure period, 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 University's service activities and outreach mission, 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, SBE colleagues, administrators, and, where appropriate, outside reviewers or colleagues.

### *Service to the University of Maine*

Each faculty member shares with their colleagues the responsibility for participating on a regular basis in committee assignments or coordination activities within the school, 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 SBE faculty vary with the individual's appointment and job description. 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 SBE, 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 nature of the faculty member's appointment.

1. What is the nature and extent of the candidate's involvement in service within the school, 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?

## 2) **Promotion**

### **a. Assistant to Associate Professor**

Faculty applying for promotion from Assistant to Associate Professor are expected to demonstrate that they have developed, and are continuing to develop, a successful teaching and research program and to be fulfilling the service component commensurate with their position. 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 school standards for promotion to Associate 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.

Assistant Professors are usually promoted with tenure after a six-year probationary period, although earlier application is possible for a faculty member with an exceptionally strong portfolio. In some cases, faculty may also apply for promotion from Assistant to Associate Professor without tenure before the sixth year, and apply for tenure at a subsequent time.

### **Teaching**

Reappointment, promotion, and tenure in the School of Biology and Ecology 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 how well 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 reviewed 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. Evidence of the faculty member's attempts to respond to feedback from peer review of teaching and from student evaluations may be considered.

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 factors such as the difficulty of the course material and implicit bias related to gender, ethnicity, or other characteristics of an instructor may influence student responses and that outlier responses can have a large impact in resulting outcomes in small classes. Written student comments will also be examined for trends in student concerns as well as accolades.
2. How do faculty peers rate the quality and content of the instructor's classes? Faculty observers will be asked to record their first-hand 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 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 new 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 or technological developments, as well as seek 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?

Faculty members are expected to work continuously on ensuring high quality of their teaching and keeping current on the latest advances in pedagogy and instructional technology. As a part of this effort, they are strongly encouraged to solicit peer feedback on their teaching approaches and classroom performance. The following are common venues to receive such a feedback:

1. Requesting comments from the members of Peer Committee who observed faculty member's teaching as a part of the peer review process.
2. Asking faculty mentors to observe and discuss faculty member's teaching.
3. Arranging a pedagogy consultation from the Center for Innovation in Teaching and Learning (<https://umaine.edu/citl/instructional-design-2/pedagogy-consultation/>).

## Research

Evaluation of research-related activities will reflect the nature of the faculty member's position. A faculty member approaching the end of the pre-tenure is expected to have generated a body of research and scholarly work that is establishing the person as a creative and productive scientist comparable to peers in their discipline. The number of high-quality scholarly publications judged to be acceptable will be governed by the nature of the field of inquiry and the person's assigned workload. In general, a faculty member with a 50:50 teaching/research appointment is expected to have produced a minimum of five significant publications in peer-reviewed journals during the pre-tenure evaluation period. It is also important that the faculty member has demonstrated efforts and success in gaining external funds in support of research and scholarship, has been active in presenting research findings at professional meetings, and has been contributing as a research advisor and mentor in the training of graduate students.

In preparing the application for tenure and promotion to Associate Professor, the tenure-track 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 University's service activities and outreach mission, 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, SBE colleagues, administrators, and, where appropriate, outside reviewers or colleagues.

### *Service to the University of Maine*

Each faculty member shares with their colleagues the responsibility for participating on a regular basis in committee assignments or coordination activities within the school, 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 SBE faculty vary with the individual's appointment and job description. 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 school, 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 nature of the faculty member's appointment.

1. What is the nature and extent of the candidate's involvement in service within the school, 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?

#### **b. Associate to Full Professor**

Those faculty seeking promotion from Associate to Full Professor, are expected to have demonstrated a consistent career of high quality performance in teaching, scholarship, and service.

#### **Teaching**

Promotion in the School of Biology and Ecology requires continued 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 to full professor 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 school courses at the same level in the same year. In assessing these results, the Peer Review Committee will be mindful that factors such as the difficulty of the course material and implicit bias related to gender, ethnicity, or other characteristics of an instructor may influence student responses and that outlier responses can have a large impact in resulting outcomes 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. 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?

Faculty members are expected to work continuously on ensuring high quality of their teaching and keeping current on the latest advances in pedagogy and instructional technology. As a part of this effort, they are strongly encouraged to solicit peer feedback on their teaching approaches and classroom performance. The following are common venues to receive such a feedback:

1. Requesting comments from the members of Peer Committee who observed faculty member's teaching as a part of the peer review process.

2. Asking faculty mentors to observe and discuss faculty member's teaching.
3. Arranging a pedagogy consultation from the Center for Innovation in Teaching and Learning (<https://umaine.edu/citl/instructional-design-2/pedagogy-consultation/>).

## **Research**

For promotion to Professor, a faculty member will be expected to have produced a substantial body of well-cited research and scholarly work and to have achieved a reputation as a creative and productive scientist comparable nationally and internationally to peers in the discipline. In general, it is expected that a faculty member will have produced 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 has demonstrated success in gaining external funds in support of university research and scholarship, has presented research findings at professional meetings, and continues to contribute 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 have been recognized nationally and internationally for their research expertise and scholarship.

In preparing the application 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, SBE 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 school, 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 school 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 school, 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 school, 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?

### **3) Post-Tenure Review (not for promotion)**

During post-tenure reviews, the Peer Committee will evaluate the faculty member based on his/her application materials, supporting letters, evidence of teaching expertise, scholarly activity, and public service to determine if the candidate has met the expectations of continued excellence at the Professor level.

#### **Teaching**

Success in the School of Biology and Ecology requires continued 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.

Maintaining excellence in the classroom is essential to the University's mission. Criteria used to evaluate expertise and success in teaching by post-tenured faculty are not expected to differ significantly from that used to evaluate teaching during the pre-tenure period but, given a longer record of student evaluations, progress made in improving any weaknesses noted earlier should be evident through direct observation of teaching activities in the classroom (or examination of materials posted for online courses) and results of student evaluations. For all courses, the Peer Committee should review materials made available to the students, including the course syllabus, and comment on the faculty member's effectiveness in the classroom and efforts made to enhance teaching.

The Peer Committee should comment on the faculty member's role as an advisor, and mentor of graduate students as well as in directing undergraduate research. The Peer Committee may solicit input from former graduate and undergraduate students who have completed their degree programs regarding their experience being advised by the faculty member.

As a part of the application process for post-tenure review, each faculty member being reviewed 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 school courses at the same level in the same year. In assessing these results, the Peer Review Committee will be mindful that factors such as the difficulty of the course material and implicit bias related to gender, ethnicity, or other characteristics of an instructor may

influence student responses and that outlier responses can have a large impact in resulting outcomes 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. 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

*During the post-tenure period*, faculty members should continue being creative and productive researchers. The Peer Committee should consider the nature of the tenured faculty member's appointment and any changes in it since attaining tenure or since the faculty's last post-tenure review, as well as the career stage (Associate or full Professor) at the time of the review period. For faculty already at the Professor level, it is expected that they continue to sustain scholarly work (see criteria for promotion to Professor) that is nationally and internationally recognized and well-cited in high quality peer-reviewed journals, and are active in their respective professional disciplines (through attendance at professional meetings, reviewing manuscripts and grant proposals). Publication success can be considered through the number of units published (peer-reviewed journal articles, reports, book chapters), their contribution to the field (journal quality, citation indices, and other evidence of impact), and the noted contribution to them by the faculty member. Post-tenured faculty at either career stage are expected to continue being successful in gaining external funding that supports University research and scholarship.

The Peer Committee should consider the four questions listed below during the review process.

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 at any stage in their career 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 with MAFES appointments carry a larger expectation of public service and outreach. Evaluation of service activities will be based on information provided by the individual, SBE 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 school, 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 SBE 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 SBE, 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 School, 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?

#### **4) Evaluating Lecturers and Instructors on Continuous Contract Track**

Lecturer and Instructor titles are listed as part of AFUM, playing a role in the education mission of UMaine and are expected to be reviewed on schedules similar, if not identical, to that of tenure-stream faculty. Both Lecturers and Instructors are deemed to have obtained protected status after six (6) continuous years of satisfactory review.

Full-time Lecturers and Instructors in SBE will be evaluated annually by an SBE committee except as indicated below. Lecturers and Instructors with over six (6) years continuous service in SBE shall be evaluated by an SBE committee every four (4) years, or more frequently upon written request of the unit member. The SBE committee created to review Lecturers and Instructors should include at least one reviewer who is a Lecturer or Instructor with protected status. If no such reviewers are available, Peer Committee should include a liaison from another unit at UMaine who is a Lecturer or Instructor with protected status. A liaison will review all materials and participate in all discussions and deliberations, **but will not vote on the final recommendation made by the Peer Committee to Director.**

Full-time Lecturers and Instructors are expected to hold an appropriate advanced degree and participate in a significant manner in the undergraduate teaching mission of SBE. Their appointment includes teaching lecture and laboratory courses in the SBE curriculum, developing course material such as syllabi, lectures, and assessment tools/protocols, preparing laboratory materials such as manuals and instructional aids, managing teaching assistants, and coordinating setup and cleanup of laboratory sessions. Lecturers and Instructors can also advise undergraduate students, perform administrative duties related to undergraduate students, serve on SBE, NSFAs, and/or UMaine committees, and if they so desire, participate in research. SBE Director is responsible for providing Peer Committee with guidance on the exact job responsibilities and workload expectations of each Lecturer and Instructor undergoing the review process.

Since the focus of Lecturers and Instructors is education at the undergraduate level, they demonstrate their commitment towards teaching and the discipline through continued professional development.

Below are criteria that an SBE review committee might consider in annual/4 year evaluations of Lecturers and Instructors. In general, satisfactory performance will be based on demonstrating adequate competence in teaching, service, and/or professional growth.



## Teaching

Reappointment, promotion, and tenure in the School of Biology and Ecology 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 how well 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 reviewed will be asked to provide a written self-appraisal of his/her teaching and mentoring performance that might include some of the following:

- description of their teaching environment and philosophy
- summary of student comments with an understanding of implicit bias, such as gender and ethnicity of faculty, whether the course an upper or lower division one, etc.
- average scores (with variations) of relevant course evaluation questions
- summary of positive, negative, and neutral comments
- the number of advisees, breakdown by year of study and whether transfer (with an understanding from the review committee that these students take more time and effort to advise), and a narrative of advising philosophy
- teaching innovations
- course development or modification
- participating in pedagogy seminars, workshops, or learning circles
- participation in research, conferences, and other events devoted to pedagogy or other appropriate area

In general, the reviewed should demonstrate 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.

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 school courses at the same level in the same year. In assessing these results, the Peer Review Committee will be mindful that factors such as the difficulty of the course material and implicit bias related to gender, ethnicity, or other characteristics of an instructor may influence student responses and that outlier responses can have a large impact in resulting outcomes in small classes. Written student comments will also be examined for trends in student concerns as well as accolades.

2. How do faculty peers rate the quality and content of the instructor's classes?  
Faculty observers will be asked to record their first-hand 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 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 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 or technological developments, as well as seek 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?

Faculty members are expected to work continuously on ensuring high quality of their teaching and keeping current on the latest advances in pedagogy and instructional technology. As a part of this effort, they are strongly encouraged to solicit peer feedback on their teaching approaches and classroom performance. The following are common venues to receive such a feedback:

1. Requesting comments from the members of Peer Committee who observed faculty member's teaching as a part of the peer review process.
2. Asking faculty mentors to observe and discuss faculty member's teaching.
3. Arranging a pedagogy consultation from the Center for Innovation in Teaching and Learning (<https://umaine.edu/citl/instructional-design-2/pedagogy-consultation/>).

### **Service**

Lecturers, and where appropriate Instructors, should participate in those committees essential for the efficient running of SBE. Service outside SBE (to NSFA and/or UMaine), outside the university, or of a professional nature should also be considered, if present.

The unit member should provide a description of their service and together with information provided by the SBE Director, the review committee will determine if service is satisfactory or unsatisfactory. Service will be deemed satisfactory unless specific deficiencies are explicitly cited.

### **Professional growth**

Professional growth may include, but not be limited to, being a presenter, attendee, or organizer of/at an on/off-campus seminar/conference, participation in research, publications, and grants in areas relevant to the nature of the unit member's appointment. Professional growth will be deemed satisfactory unless specific deficiencies are explicitly cited.

# Appendix

## 1) Example of SBE teaching evaluation form

### Peer Evaluation of Teaching in the School of Biology & Ecology

Peer evaluation of teaching is part of the peer review process in our school, and the checklist below is intended to provide some completeness and comparability of reviews.

Course \_\_\_\_\_ Instructor: \_\_\_\_\_

Date course observed: \_\_\_\_\_

#### Syllabus

Does it adequately describe the course? \_\_\_\_\_

Does it specify learning goals and objectives? \_\_\_\_\_

Are the exams, quizzes, papers, and other measures of performance appropriate?

\_\_\_\_\_

Are the grading policies clearly presented? \_\_\_\_\_

Are all required statements included? \_\_\_\_\_

#### Lecture

What topics were covered during the class you observed?

\_\_\_\_\_

Was the presentation of material well organized and clear?

\_\_\_\_\_

Did the instructor have a good rapport with the students?

General comments about the class:

## 2) Example of peer letters (to be enclosed on SBE letterhead)

As suggested in the Provost's presentation 'Promotion and Tenure' (Sept. 18, 2012), units should use the same basic letters for all P & T candidates, the candidate's dossier should include a copy of the letter sent to external reviewers, and reviewers should be informed that candidates may read reviewer's letters (see pdf enclosed with this document). The following are example templates for letters (a) initially contacting potential external reviewers and (b) for confirming willingness to review.

### a) Initial letters of request to evaluate, followed by formal solicitation of input from reviewers

#### Letter of initial request to evaluate

Date

ADDRESS

(Dr. XXX XXX

Dept. of Whatever

School of Wherever

Nowhere, Nohow 12345

Salutation (Dear Dr. XXX);

We in the School of Biology and Ecology at the University of Maine are beginning the formal process of reviewing Dr. YY for promotion and tenure (or promotion to full professor). As must be the case in research universities, we take this examination of our colleague very seriously. One critical aspect of the review process is input from external scholars like yourself who can give a critical and fair assessment of the quality, level of productivity, and significance of the candidate's research program. Dr. YY has suggested you as an external review, and we would very much appreciate your willingness to undertake this important task. We can provide the materials submitted by Dr. YY immediately. It is necessary, however, that we receive your letter of evaluation by October 23, 20XX at the latest in order to consider it during our Peer Committee deliberations.

Thank you, in advance, for considering our request. Please let us know as soon as possible your willingness to serve in this capacity and we will send you all of the review materials via your preferred method (electronically or FedEx-ed hard copy).

Sincerely,

Dr. Blahdeedah,

Professor and Director,

School of Biology and Ecology

#### Letter of formal solicitation of input from reviewers

Date

Dr. XXX XXX

Dept. of Whatever

School of Wherever

Nowhere, Nohow 12345

Salutation (Dear Dr. XXX);

Thank you for your willingness to evaluate Dr. YY's professional accomplishments as part of his/her application for tenure/promotion/review in the School of Biology and Ecology at the University of Maine. Your letter of evaluation will become part of the formal promotion documents reviewed by the School and by central administration. Ours is a completely open review process; all materials included in the review package are available for inspection and comment by the candidate.

Evaluations from experts in Dr. YY's field are particularly valuable in helping the Peer Review Committee (or Promotion and Tenure Committee) assess his/her scholarly contributions to their discipline and standing among professional peers. We have included the following information to help you in the review process:

- The documentation submitted by Dr. YY, as required by the University of Maine System Board of Trustees,
- A copy of the School of Biology and Ecology's Guidelines for Promotion/Tenure and Review,
- Dr. YY's curriculum vitae,
- Copies of selected reprints of Dr. YY's scholarly work.

Your comments will be most useful if you will address the following:

- 1) *Quality and significance of published work* – Does Dr. YY's work break new ground in the discipline? Are the questions addressed in it important to advancing the field? Do the techniques and experimental designs inspire confidence in the data? Are the analyses careful and complete and do the conclusions logically follow these? Is the work published in the most appropriate journals?
- 2) *Productivity* – Taking into account Dr. YY's teaching and other professional commitments (as related in this letter), how does the record compare with others in the field at a comparable career stage?
- 3) *Funding of research* – How does Dr. YY's record of research funding compare with that for the field overall? With researchers of similar experience within the discipline? Is support being sought from the most appropriate sources?
- 4) *Standing in the field* – Is Dr. YY regarded as a significant or important contributor in the field? Is their reputation best described as nascent, regional, national, international? Does the work coming out of Dr. YY's lab stimulate discussions or new ideas within the discipline? Is Dr. YY considered a leader in their respective field of expertise?
- 5) *Professional service* – Is Dr. YY making significant contributions towards professional service? Can you comment on your first-hand experience in Dr. YY's service activities?

Any additional comments you wish to make that you believe ought to have a bearing on the Dr. YY's application are most welcome. Please note that we are working to reduce the impact of 'implicit bias' that often occurs unconsciously in language used in such evaluation reviews. If you are not familiar with this concept, I have enclosed information that may help you in writing your review letter (please see attached). Finally, please include a description of the nature of your relationship with the candidate, specifically how long you have known the candidate and how familiar you are with their work.

**In order for your evaluation letter to affect the promotion process, we must have it**

**no later than October 23<sup>rd</sup>.** A facsimile or email version of your letter can be used for the preliminary stages of evaluation but it must be followed by a signed original for inclusion in the formal promotion package.

Please provide your own curriculum vitae, either in full or abbreviated form, as an email attachment or with the original copy of your evaluation letter. If you have any questions about the process, please do not hesitate to contact me.

We understand the burden that requests for careful evaluation of your peers can place on busy people, but please be assured that the time, experience, and professional expertise that you contribute towards this important process are greatly appreciated by our School and by the University of Maine.

Sincerely yours,  
Dr. Blahdeedah,  
Professor and Director,  
School of Biology and Ecology

enclosures

**b) Recommendation letter by the Peer Committee (following ‘best practices’ suggested by Provost’s P & T Training document) and by the unit Chair (as outlined in Provost’s P & T Training document).**

Peer Committee Letter:

In the recommendation letter, the Peer Committee should base their recommendation for (or against) promotion and/or tenure on the information contained in the materials submitted by the candidate and in evaluators’ review letters, using the unit’s criteria. The Committee should discuss the candidate’s performance during the previous relevant review period (five years for tenure or since last promotion or review) and any evidence contradictory to the Committee’s recommendation. Conclusions should be supported with evidence. If not unanimous, the letter should summarize the majority and minority views, which can be summarized in two separate letters but it is recommended that a single letter contain both views. The letter, written so as to avoid implicit bias, should be reviewed by multiple people aware of this issue in order to confirm that this has been done. AFUM contract states that “Peer recommendations both majority and minority (if any) must be signed by all of the peer committee members participating in the recommendation. The names of all peer committee members must be listed and a tally of the vote including any abstentions must be recorded.” However, Peer committee members are not required to indicate in the letter their vote for or against promotion/tenure.

Unit Chair’s Letter:

The letter of evaluation written by the unit’s Chair is separate from that of the Peer Committee letter. The Chair’s evaluation considers all of the materials in the candidate’s dossier, including the Peer Committee’s letter. As with the Peer’s letter, the Chair should make the case for (or against) promotion and/or tenure based upon the information

contained in the candidate's dossier, the peer committee letter, and the department's criteria and should be directed towards the time period relevant for the candidate's review. Conclusions reached regarding the candidate's performance should be supported with evidence and should include discussion of any evidence that is contradictory to the recommendation (e.g., a negative external review letter). As with the Peer's letter, the Chair's letter should be written in such a way as to avoid implicit bias.

***Both letters (Peer and unit Chair) should be clear, logical, and evidence-based, and should address all of the data reviewed during the process rather than limiting it to the information consistent with the ultimate recommendation.***

### **3) Implicit bias language (active links and web addresses)**

- Examples of implicit bias language (<http://www.tolerance.org/supplement/test-yourself-hidden-bias>)
- Chapter 8 in "Implicit Bias" in Hill, C., Corbett, C., and St. Rose, A. *Why So Few? Women in Science, Technology, Engineering, and Mathematics*. Washington, DC: AAUW, 2010.
- Implicit Bias Training resources
  - o AAS Committee on the Status of Women, "[Unconscious Bias](http://www.aas.org/cswa/unconsciousbias.html)" (<http://www.aas.org/cswa/unconsciousbias.html>)
  - o Project Implicit, <http://projectimplicit.net/index.html> (click on "Participate")
  - o "[Ally Handout References and Reading](#)" – a bibliography generated by the NDSU ADVANCE FORWARD project
- Best Practices References
  - o ADVANCE University of Michigan, "[Guidelines for Writing Letters of Recommendation](#)"
  - o National Center for Women & Information Technology, "[Promising Practices: Avoiding Unintended Gender Bias in Letters of Recommendation \(Case Study 1\)](#)"
  - o The Center for WorkLife Law, "[Effective Policies and Programs for Retention and Advancement of Women in Academia](#)," pages 11-15.
  - o Moss-Racusin, C., Dovidio, J., Brescoll, V., Graham, M., and Handelsman, J., "Science faculty's subtle gender biases favor male students," *Proceedings of the National Academy of Sciences of the United States of America*, PNAS Early Edition, <http://www.pnas.org/content/early/2012/09/14/1211286109.full.pdf>, 2012.
  - o Lincoln, A., Pincus, S., Koster, J., and Leboy, P., "[The Matilda Effect in science: Awards and prizes in the US, 1990s and 2000s](#)," *Social Studies*

*of Science*, Vol. 42, pp. 307-320, 2012. (from computer located at UMaine)

- Steinpreis, R., Anders, K., and Ritzke, D., “The Impact of Gender on the Review of the Curricula Vitae of Job Applicants and Tenure Candidates: A National Empirical Study,” *Sex Roles*, Vol. 41, Nos. 7/8, pp. 509-528, 1999.
- Trix, F. and Psenka, C., “Exploring the Color of Glass: Letters of Recommendation for Female and Male Medical Faculty,” *Discourse & Society*, 14(2), pp. 191-220, 2003.

**4) AFUM contract sections relevant to faculty review (#’s reflect AFUM document and its page numbering)**

AFUM contract (umaine.edu/hr/files/2012/07/afumcba1.pdf)

- a. 6. Personnel File, Data and Privacy p 3  
(<http://umaine.edu/hr/employees/faculty/afum-collective-bargaining-agreement-article-6-personnel-file/>)
- b. 7. Appointment, Reappointment and Non-Reappointment, and Contract Status p 4
- c. 8. Academic Ranks p 9
- d. 9. Promotion and Tenure and Continuing Contract Procedures p 10
  - i. Timetable and Administrative Guidelines  
([maine.edu/hr/employees/faculty/promotion-and-tenure/timetable-and-administrative-guidelines-for-promotion-and-tenure-at-the-university-of-maine/](http://maine.edu/hr/employees/faculty/promotion-and-tenure/timetable-and-administrative-guidelines-for-promotion-and-tenure-at-the-university-of-maine/))
  - ii. Stop-the-clock (<http://umaine.edu/hr/employees/faculty/promotion-and-tenure/stopping-the-tenure-clock/>)
  - iii. Guidelines for P&T support letters  
(<http://umaine.edu/hr/employees/faculty/promotion-and-tenure/guidelines-for-tenure-and-promotion-support-letters/>)
  - iv. >>Provost’s Promotion and Tenure Training<<
- e. 10. Evaluations p 12
  - i. Timetable for AFUM Reappointment Actions
  - ii. AFUM Unit Faculty Reappointment/Non-Reappointment Guidelines
- f. 11. Workload p 15



### **5) Workload Guidelines, School of Biology and Ecology, The University of Maine**

**Purpose:** The Guidelines establish the basis for evaluating faculty workloads as required by the Provost to meet the recently executed collective bargaining agreement with the Associated Faculties of the Universities of Maine (AFUM). They assist the Director and the Peer Committee at the School of Biology and Ecology (SBE) in determining the amount of work required of individual faculty members to meet the expectations of their appointments in a fair, transparent, and unbiased way. They also allow the optimization of using available resources within the SBE.

These Guidelines are designed to replace a crude, yet commonly practiced, approach of assessing faculty workload by simply counting the number of courses taught, journal articles published, and dollars received in extramural funding. Such an approach does not take into account differences existing among different fields of biology, which are especially important in a unit as diverse as the SBE. Furthermore, it often conflates workload with productivity.

**General Approach:** The Guidelines are based on the system of points assigned to various teaching, research, and service activities. The points are weighted to reflect relative commitment of time and effort reasonably expected of an average faculty member engaging in these pursuits. The points are summed up and adjusted to reflect teaching/research/service split stipulated in faculty member's appointment. The workload formulae are provided in the attached spreadsheets. Four-year moving averages are used to evaluate faculty workloads. Activities that are reported as overload or outside employment are excluded from calculations.

**Relation to Peer Review Process:** The Workload Guidelines are not rules. They simply introduce a quantitative metric to help with measuring faculty workloads. This metric serves as one of the parameters used in workload evaluations. Other factors are also taken into consideration as appropriate for specific fields of scholarship. The authority to make the final assessment resides with the Peer Committee.

Faculty workload evaluated following these Guidelines represents only the quantitative component of each faculty member's performance. The quality of this performance is evaluated by the Peer Committee following the SBE Tenure and Promotion Guidelines. We fully acknowledge that it is possible to carry an appropriate workload while not meeting the SBE quality standards, and that producing exceptionally high quality outputs may require additional investment of time and effort.

Faculty members are expected to maintain a reasonable balance among different activities, which cannot be automatically substituted for one another. For example, under most circumstances classroom instruction cannot be entirely replaced by undergraduate advising, nor does securing substantial extramural funding eliminates the need for publishing peer-reviewed journal articles.

## Teaching

**Full Time Load** **24**

### Lectures<sup>1,2</sup>:

Class Sizes		Regular		Writing-Intensive		
Min	Max	Original	Repeated	Original	Repeated	
			treat as independent study			
	0					
	5					
	6		0.8			
	11					
	12		1.0	0.6	1.2	
	30					
	31		1.2	0.7	1.4	
	60					
	61		1.4	0.8	1.6	
	100					
	101		1.6	0.9	1.8	
	150					
	151		1.8	1.0	2.0	
	200					
	201		2.0	1.1	2.2	
	249					
	250		2.2	1.2		
	Infinity					

### Laboratories<sup>1,2</sup>:

Instructor Led	1.0	0.6
TA Led	0.4	0.2

<sup>1</sup>Points are awarded on a per credit hour basis

<sup>2</sup>When multiple instructors are involved, points are adjusted based on percent responsibility of each instructor

### Advising<sup>3</sup>:

	Chair	Member
Independent study (Capstone) <sup>4</sup>	0.1	
Graduate thesis	0.6	0.2
Non-thesis committee	0.4	0.1
Honors thesis	0.3	0.1
Undergraduate advising	0.1	
Post-doctoral advising	0.6	

<sup>3</sup>Unless indicated otherwise, points are awarded on a per person basis

<sup>4</sup>Points are awarded on a per credit hour basis

### Other Functions:

Undergrad Prog. Coord.	3.0
Graduate Prog. Coord.	3.0
Attending professional development meetings and workshops	0.05 per event

## Research

**Full Time Load** **24**

### RESEARCH OUTPUTS

#### **Publications:**

Peer-reviewed journal article		
	Top 20 <sup>1</sup>	5.5
	Other	5.0
Book <sup>2</sup>		15.0
Book chapter <sup>2</sup>		4.0
Patent		4.0
Other		2.0

<sup>1</sup>Categories assigned based on the ISI Journal Ratings

<sup>2</sup>E-books and chapters therein are evaluated as printed books

**Presentations:** 1.0

### OTHER ACTIVITIES

#### **Professional development:**

Attending meetings and workshops 0.05 per event

#### **Synergistic activities:**

Editor	6.0	
Editorial Board member <sup>3</sup>	1.0	
		per
Manuscripts reviewed	0.5	manuscript
Grant proposals reviewed	0.5	per proposal
Grant panel chair/facilitator	4.5	
Grant panel member	3.0	

<sup>3</sup>Editorial board members awarded additional points for each reviewed manuscript

### RESEARCH FUNDING

#### **Applying for funds:**

Lead PI on a major collaborative project	5.5
PI or co-PI on other RFP-based project	4.5
Non-competitive funding <sup>1</sup>	1.0
Internal Umaine grant	1.0

<sup>1</sup>Contracts, gifts, and non-competitive cooperative agreements

**Financial Award Administration:**

<b>Award Size</b>		
<b>Min</b>	<b>Max</b>	
-	\$29,000	1.0
\$30,000	\$74,999	2.0
\$75,000	\$199,999	3.0
\$200,000	\$	6.0
\$1,000,000	\$1,000,000	6.0
\$1,000,000	Infinity	8.0

## Service

### **Full Time Load<sup>1</sup>**

**24**

<sup>1</sup>Service is expected to account for 5-10% (1.2-2.4 points) of the full time load for pre-tenure faculty and for 10-20% (2.4-4.8 points) for tenured faculty

### **COMMITTEE SERVICE:**

<b>Function</b>	<b>Time Commitment</b>	
	<b>High<sup>2</sup></b>	<b>Regular</b>
Chair	2.0	1.0
Member	1.0	0.5

<sup>2</sup>Committees that require larger-than-average commitment of time, such as Peer or IACUC

### **OTHER SERVICE:**

#### **To Department:**

Seminar coordinator	1.0
Website coordinator	1.5
Recruitment assistance	0.05 per event
Assistance with new students	0.05 per event
Letters of recommendation	0.05 per letter
Mentoring new faculty <sup>3</sup>	0.5-1

<sup>3</sup>Points awarded only to officially appointed mentors depending on time commitment

#### **To College:**

Research Council member	1.5
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#### **To University:**

Faculty Senate representative <sup>4</sup>	0.5
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<sup>4</sup>Points for membership in committees formed by the Faculty Senate are awarded separately

#### **To Profession:**

Officer for professional society	1.5
Organizer of a professional event	2.0

#### **To General Public:**

Advisory Board member	1.0
Organizer of an outreach event	2.0
Participant in an outreach event	0.5
Public testimony	0.5
Interview in mass media	0.05

Response to inquiry

0.05