

Promotion and Tenure Guidance

Basis of Evaluation

- Applications for promotion and tenure are evaluated based on three elements:
 - Departmental evaluation criteria (or MOU if applicable)
 - Assigned duties
 - Performance and accomplishments
- These same elements are the basis of annual reappointment reviews for tenure track faculty.

Best Practices

- Be very familiar with your department's evaluation criteria and/or any criteria specific to your position (such as an MOU) <https://umaine.edu/provost/departamental-evaluation-criteria/>
- Keep track of activities and accomplishments by updating the online Faculty Activity Report annually or more often (log in via Mainestreet portal).
- Debrief with peer committee members and department chair after each reappointment or PTR cycle to identify areas for improvement.
- Take seriously any suggestions and recommendations.
- Arrange for colleagues to evaluate your teaching, with documentation.
- Plan way ahead for selection of external letter writers.

Timelines

- Second year reappointment cycle begins in the fall
- Third, fourth, and fifth year reappointments occur in the spring
- Tenure and promotion applications (6th year) are due in the fall
- Prior credit and stop the clock do not affect reappointment schedule
- Timetable for reappointment actions: <https://umaine.edu/hr/afum-unit-faculty-reappointmentnon-reappointment-time-table-for-afum-reappointment-actions/>
- Timetable for tenure and promotion cycle: <https://umaine.edu/hr/promotion-tenure-timetable/>
 - (note the explicit responsibilities of the chair enumerated in this document)

September to October

- You must notify your chair no later than September 15, contractually, if you are going up for promotion and/or tenure – but you should really communicate with them the spring prior
- Sept 15: deadline for faculty member's written request for promotion
- Sept 25¹: Deadline for chair to instruct peer committee (dean offices usually send reminder)
- The peer committee shall provide the unit member with an opportunity to meet with and address the committee
- October 2-4: deadline for submission of materials by faculty member

November

- Nov 10¹: Deadline for peer committee to forward recommendation to chair (or director, or, in some cases, dean)
 - Peer committee members have access to the faculty member's personnel file
 - Letter must be signed by all peer committee members
 - Tally of votes and abstentions must be recorded
 - Faculty member must be copied
- Nov 17¹: Faculty member has the right to respond in writing within one week of receipt
- Nov 25: Chair forwards recommendation to the dean
 - Faculty member must be copied

¹ Contractual deadline

December – May

- Dec. 7: Dean submits recommendation to provost
 - *Faculty member must be copied*
- January: Provost submits recommendation to President after consulting with Dean and Provost Advisory Committee
 - *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.*
- Jan/Feb: President's recommendation due to Chancellor
- March: Board of Trustees acts on tenure nominations
- May/June: Deans recommend, and Provost approves, promotional salary increases above the minimum, effective September 1 for academic-year faculty (6.5% minimum increase for promotion to associate).

Prior Credit and Stopping the Tenure Clock

- Some faculty are given prior credit towards tenure at the time of hire (usually 1-3 years).
- Faculty may use all, none, or a portion of their prior credit.
- Faculty may receive up to two tenure clock stoppages during their probationary period. Three categories:
 - Childbirth, childrearing, or adoption
 - Exceptional life circumstances
 - COVID-19 (no special form)
 - Visit HR website for forms and information.
 - Faculty may waive their tenure clock stoppages.
 - *Prior credit and stop the clock do not affect reappointment schedule* (For example, if you stopped the clock in year 3, you still have your third year reappointment that spring. If you came in with three years of credit, you still have a second year reappointment during your second year at UMaine.)

The tenure document

- The University of Maine System website houses the main T&P documents.
- The form “UMS Tenure Application” is recommended for each reappointment, and is required for promotion and tenure.
- The document “Tenure Application Process (PDF)” is the UMS Tenure Application with embedded annotations and instructions.
 - Location: <https://www.maine.edu/students/office-of-the-vice-chancellor-of-academic-affairs/tenure-promotion/>
- Do NOT delete sections or headings or otherwise alter the form. Write “not applicable” in any section that does not apply to your situation.
- You are not responsible for obtaining signatures on the form – your chair, director or dean is

Submission mechanics

- In spring 2020, the Provost's Office moved to digital portfolio submission of faculty applications by the colleges
- Faculty are advised to check with their Dean's office for specifics of dossier submission within their college
- Follow application instructions (UMS P&T website—do not use other websites)
- Provide standard details in full (for example, page numbers of publications)
- Fix any typos, format errors, address inconsistencies, etc., before submission
- Personalize the header and footer
- Number the pages
- Delete the instructions on the form
- Be concise

What years to include

- In the tenure application itself, you should include only the past five years of work, unless your probationary period has been extended (“stop the clock”).
- The start of year one is usually considered to be the start of your UMaine employment, unless you are using prior credit.

- Your CV will incorporate earlier work—but remember that the CV is an appendix included for on-campus review only.
- The application must tell your story on its own, without the help of the appendix.

Presenting your research and creative activity

- Include a full bibliography of published work cited in the entry form standard for the field.
- Include copies of all published and/or scholarly works (or an annotated list of work for faculty in fields where this is appropriate, such as fine arts).
- Clearly indicate which presentations and publications were peer-reviewed.
- Clearly indicate which professional presentations were presented by the candidate.
- In case of shared responsibility (co-PI, etc.), clearly indicate the percentage of responsibility.
- Clearly indicate the status of unpublished work or creative activity in progress (forthcoming, under review, in preparation, planned exhibitions, etc.).
- Research statements should demonstrate that you have made or will make an impact through effective, clear storytelling about what you have done and how it connects to your research, scholarly, and/or creative community.
- Careful organization and clear evidence of impact can help you make this case to the many different kinds of people who will read your dossier.
- Statement on the status of the candidate's scholarly and creative work (IV.F.)
 - Evidence of impact through citations, etc. (h-index, g-index, etc.)
 - Evidence of status through journal rankings, acceptance rates, other measures of exclusivity (for example, distinguished fellow contributors to an edited collection or published in the same book series) etc.

Presenting your teaching materials

- Include 5 years of teaching evaluations for tenure cases.
- For promotion to full, include all years since promotion to associate.
- You should include SET from prior institutions if using prior credit (create a second template).
- There is no standard format for presenting your summary of SET.
- Chairs must verify SET summary.
- You do not need to include SET for spring 2020 or fall 2020-2021, although you may.
 - You might want to include an asterisk or note to that effect.
- Individual SET and college means are generated by the OIRA; different colleges have different practices for obtaining SET from OIRA.
- At minimum, provide on p. 5 of the T&P application form a table in which your student teaching evaluation scores are compared with college means.
- If evaluations are uncharacteristically poor for a particular class or semester, provide an explanation.
- Other evidence of your teaching performance can include peer evaluations based on classroom observation, and other materials as approved in your unit's tenure and promotion guidelines, or as recommended by your peer committee and/or chair, director or dean.
- You may include signed student comments (names redacted in the T&P application), although such comments should be kept to a minimum.
- Course syllabi and other course materials, such as innovative assignments, may be included.
- List the numbers and titles of courses taught, the actual number of students in each course, and the appropriate college averages for comparison.
- Do not include individual teaching evaluations.
- Include copies of course syllabi in the appendix.

External letters

- Number of letters and timing of request
 - Ideally, the process for choosing and requesting external letters should begin in the spring.
 - Units differ, but best practice to create a list of names that includes contributions from both the peer committee and the candidate.
 - A minimum of 3 external letters is required for tenure by UMS; candidates usually have more.
 - Candidates may choose which three letters go forward for the Board of Trustees.

- It is best practice to give external reviewers as much time as possible to thoroughly review a candidate's materials. *Letters should be received by early October to allow peer committees to incorporate them into their review.*
- Suitable reviewers
 - External reviewers should have at least the rank for which the candidate is applying.
 - It is best practice to request letters from reviewers at peer or aspirant institutions, although situations vary.
 - Reviewers should have an arm's length relationship to the candidate:
 - The reviewer should not be personally or professionally invested in your tenure/promotion case.
 - They should be motivated solely by their own sense of professionalism.
 - Note: reviewers typically disclose their relationship with the candidate in their letters.
- The process
 - Chairs or peer committee chairs will solicit external letters and communicate with reviewers.
 - External reviewers must be notified that their letters are not confidential and will be shared with the candidate.
 - Faculty should not communicate with reviewers about this process.
 - External review letters must be signed and on letterhead (digital is fine).
 - External reviewers should be reminded that faculty are to be evaluated on the basis of their unit guidelines, not on the basis of the external reviewer's home department guidelines.
 - Chairs are responsible for keeping track of which letters have been received, their placement in the file, and sharing them with the candidate.
- What to send to external reviewers
 - *You do not need to have your entire tenure and promotion packet ready when soliciting external letters.*
 - External reviewers should be provided with the unit's T&P guidelines and/or MOU if appropriate.
 - You may provide only the materials they need in order to review those specific aspects of your position that they are being asked to evaluate (research samples, c.v.)
 - If they are not being asked to evaluate your teaching, you need not include teaching materials
 - You should include a 1-2 page research narrative to provide context (include teaching or administrative narratives only if these are relevant to the review)
- Presenting external reviews in the T&P document
 - The UMS T&P form requires one cover page for each external letter that includes:
 - The evaluator's name and institution.
 - A statement of your relationship to the evaluator.
 - A very brief explanation of the evaluator's qualifications as an external reviewer.
 - Include a copy of each evaluator's CV .
 - Note that letters internal to UM or UMS are optional

Tips for composing your application

- Longer is not better. This is a fact-based and mostly quantitative document.
- It should clearly show your accomplishments in a focused way.
- Don't make it hard for reviewers to figure out what you have done and how your accomplishments meet or exceed the T&P guidelines in your unit (or your MOU if applicable)
- Remember that most of the people evaluating your document are not specialists in your field. Try to document your achievements in a way that can be understood by non-specialists.

Ways to tell your story

- There are many opportunities to individualize your materials by how you organize and compose:
 - Your concise research statement for external reviewers
 - Your organization and labeling of items under T&P form headings (subheadings)
 - Teaching, research, and service narratives (not too long) within the T&P form
 - Your choice of extra questions from teaching evaluations
 - Your CV

Responding to the peer letter

- You have a right, but are not required, to respond to the peer committee letter within one week of its receipt by the chair.
- Your response will go forward with the recommendation.

- There are no further opportunities to submit materials for the review process except:
 - In extraordinary circumstances
 - To correct factual errors in the material submitted
 - To receive outside evaluations solicited during the review process which are received prior to the decision of the CAO
- Upon conclusion of the administrative levels of review and prior to review by the Chief Administrative Officer, the unit member shall have an opportunity to submit a response to these recommendations.
- The unit member shall be accorded five (5) working days from receipt of the penultimate level recommendation to submit his/her statement. The statement submitted by the unit member shall become part of the official material reviewed by the Chief Administrative Officer.

More information/useful links

- AFUM collective bargaining agreement, esp. article 9: <https://www.maine.edu/about-the-system/system-office/human-resources/labor-relations/>
- UMS P&T website: <https://www.maine.edu/students/office-of-the-vice-chancellor-of-academic-affairs/tenure-promotion>
- Evaluation criteria for each department: <https://umaine.edu/provost/departmental-evaluation-criteria/>
- P&T resources (incl. sample packets): <https://umaine.edu/risingtide/resources-2/promotion-and-tenure-resources/>
- CLAS P&T resources: <https://umaine.edu/las/faculty-resources/human-resources/>

Questions?

- Contact Gabriel Paquette, Associate Provost for Academic Affairs and Faculty Development:
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*This guidance was developed by then Associate Provost Jessica Miller