Preparation and Format of
Full-Time Non Tenure-Track Faculty Promotion Dossiers

October 1, 2021

Office of the Provost

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1.0   Purpose of Document

This document provides procedural guidance in the preparation of dossiers for promotion consideration of full-time, non tenure-track faculty members in the ranks of Teaching Professor, Clinical Professor, Academic Specialist, and Lecturer. Research professors and Co-op coordinators should reference the document specific to them at https://provost.northeastern.edu/ resources/faculty/, under the *Tenure and Promotion* drop down.

2.0   Eligibility for Promotion Consideration

Full-time, non tenure-track faculty members become eligible for promotion consideration as provided in the *Faculty Handbook*, following not less than three years in their rank. Potential promotion candidates are strongly encouraged to consult regularly with their unit heads and their dean and associate dean concerning their progress towards promotion. Due dates for faculty to request promotion consideration and for units to submit promotion dossiers to the college are established by units and colleges as needed in order to meet the February 15 deadline for submission of all promotion dossiers to the Office of the Provost. The candidate's submission to the unit head and promotion committee is due October 1.

3.0   Role of Candidate in Dossier Preparation

3.1   About the Dossier

The dossier is your opportunity to make your career come to life. It is the "snapshot" that each reviewer will carefully examine and evaluate in coming to a fair and objective recommendation regarding your candidacy for promotion. It is critical that you build your dossier carefully, thoughtfully, and in sufficient time before it must be submitted.

Your dossier should be clear and concise. There is no room for errors, omissions or inaccuracies in the dossier – they may diminish your credibility and undercut your case. Your department/college will solicit any external evaluations required under unit procedures; thus, we ask that you not solicit letters on your own or include unsolicited letters from students and colleagues. We ask that you carefully review this model dossier and adhere to the format and guidelines below.

3.2   Dossier Preparation Format and Guidelines

The Provost's Office requests that dossiers be submitted electronically through Interfolio, which is available through the *my*Northeastern portal (scroll down to HR Benefits & Services) category to find the link to Interfolio). Interfolio is a software program that facilitates electronic submission and review. Supplemental materials included in the dossier's appendices (including raw teaching evaluations, syllabi and course materials, publications, creative materials, and so on) should also be submitted electronically through Interfolio. Your department or college will compile electronically the materials required for Sections A through C. You will provide complete materials for all other sections of the dossier. Sections D (Curriculum Vitae), E (Candidate's Statements and Supportive Evidence), F (Performance reviews) and G (Comprehensive List of Supporting Materials) must be submitted electronically.

Your dossier must include the items identified in the Dossier Checklist. You should make copies of any supplementary materials that you believe you may need in the future; promotion materials may be retained by the Provost's Office for two years or more if a candidate requests arbitration

or judicial review of a negative recommendation.

Please do not include in the dossier letters of appointment, annual appointments and confirmations of compensation and benefits, or other items not identified on the dossier checklist. These items will not be considered in the review process.

The total length of the dossier, including unit and college recommendations, should not exceed 100 pages. Candidates should consult with their chairs and/or deans with respect to the length of their submissions. **As a general guideline, candidates should aim at submitting around 60 pages in total for sections D, E, F and G of the dossier.**

Written materials that you prepare for the electronic dossier, such as your *curriculum vitae*, should be formatted in 12-point font, with a 1-inch minimum margin. Some required materials, such as previous performance reviews, may need to be scanned for inclusion in the dossier. The sections of the dossier for which you are responsible—Sections D, E, F, and G—should be submitted to your department or college for review through the Interfolio software program, which can be accessed through the *myNortheastern* portal. Following the order of the Dossier Checklist (Model D). Your department or college will provide you with scanning assistance and, if needed, other technical assistance in compiling the dossier electronically.

You should consult with your chair/associate dean in preparing your dossier to ensure that it meets any additional dossier requirements of your department/college. Academic unit dossier requirements/guidelines should be consistent with Provost's Office requirements as outlined in this document. **Please be advised that dossiers that do not follow the Model Dossier's format and the order of the Dossier Checklist WILL NOT be considered for review by the Provost.**

3.3   Dossier Organization and Checklist

Please use the dossier checklist as you compile materials to be included in your promotion dossier. The checklist itself (Model D) need not be included in the dossier. Your unit will add the first three sections of the dossier to the electronic file in the course of their review:

> **Section A. Faculty Summary Sheet (Model A)** – prepared by the Dean's Office
> **Section B. Recommendations** – added by different review committees & recommenders
> **Section C. External Evaluations (if required)** – added by department review committee

You will prepare and present all the following sections to your unit for their review:

> **Section D. Candidate's Comprehensive Dossier Curriculum Vitae**
> **Section E. Candidate's Statements**
>
>   a. Teaching
>   b. Professional Development and Scholarship/Creative Activity
>   c. Service
>
> **Section F. Annual Performance Reviews**
> **Section G. Comprehensive list of Supporting Materials**

You will prepare and present all appendices materials to your unit for their review:

3.4   Detailed Instructions for Dossier Sections D, E, F, and G

Dossier Section D – Comprehensive Dossier Curriculum Vitae

Together with your department/college, you are responsible for the accuracy and clarity of your CV. It should observe the guidelines below for content and formatting. Please ensure that a representative of your department/college reviews your CV before it is circulated.

Education/Employment History

You should provide a brief chronological account of your higher education history and all post-baccalaureate employment relevant to your academic discipline.

Scholarship/Creative Activity

Publications – Publications should be listed in separate categories by date of publication within the following categories (arranged in order of importance in your discipline):

1. Refereed articles
2. Non-refereed articles
3. Books
4. Book chapters
5. Abstracts
6. Other

Please provide full citations (please do not abbreviate journal titles), including beginning and ending page numbers. Be clear about the status of works in progress, e.g., "in press" means written, reviewed, accepted, and waiting for publication. Please include anticipated date of publication. Work "currently under review" (i.e., not yet accepted for publication) should be included if the work is complete and has been submitted for review. Work currently under development but not yet submitted should not be included.

If a work under review is accepted for publication before your dossier has been forwarded by the department (or equivalent unit) to the next level for review, you should notify the department (or equivalent unit) committee chairperson. The department (or equivalent unit) may then consider the work "in press" and update the dossier accordingly.

Where co-authoring is extensive and **not** typical in the field, a major collaborator should be invited by the promotion committee to indicate in a letter the contributions made by the candidate to the joint work (one letter may address multiple publications by the team, if applicable). Where co-authoring is common in your field, it may be helpful to indicate that in your statement on scholarship. Be sure to indicate publications co-authored with graduate and undergraduate students. Edited volumes should be clearly identified as such.

Presentations and proceedings should be listed separately by date. Internally published technical reports, workbooks, etc. should be separate from peer-reviewed publications.

Creative Activity – Achievements should be listed by date within the following categories:

1. Publication
2. Presentation
3. Performance
4. Exhibition Projects

If creative works do not fit into the above categories, please clearly group creative achievements under categories that best characterize your work and are broadly accepted in your discipline and academic community.

Include full citations/descriptions for all works in the *curriculum vitae* and clearly specify the status of works in progress.

Grants (if applicable)

Please list internal and external grants separately. It is recommended that you also list proposals that were not funded. If you list unsuccessful applications, those should be clearly differentiated from successful ones. Pending proposals should be listed with the amount requested and the notification date. For each successful grant, please identify your status – PI, co-PI, other, as well as the roles of other participants on the grant—and indicate the percentage of the grant attributed to your effort (as reported on the grant Proposal Processing Form). If a grant supports programmatic or group work, you should clarify your precise role in the work. You should indicate the amount received (total direct costs and annual budget) and the coverage period of successful grants, as well as the funding agency and the title of the proposal.

Teaching and Advising

Courses – Please list all courses taught, year, quarter/semester, number of students. Identify courses taught for extra compensation (e.g. overloads, summer courses, courses at other schools, etc.). Please identify any new courses you have developed.

Supervision of Graduate Students - Identify all masters and doctoral candidates supervised, completion dates, and thesis/dissertation titles.

Supervision of Undergraduate Students - Identify all undergraduate students supervised as part of their honors thesis. Include completion dates and thesis titles.

Advising Activities – Identify all undergraduate and graduate advising activities.

Service and Professional Development

Please list all significant service assignments and activities, as well as professional development activities, in separate categories by date.

1. Service to the Institution

    a. Department service
    b. School service
    c. College service
    d. University service

2. Service to the Discipline/Profession
3. Service to the Community/Public
4. Professional Development

Dossier Section E – Candidate's Statements and Supporting Evidence

Please note changes to this section starting in 2019-20.

Statement on Teaching

You should begin with a statement of your teaching philosophy. You should identify courses taught and discuss your involvement in curriculum development, supervision of graduate and undergraduate students as relevant, and advising. Your statement may place quantitative student evaluations in context, for example by comparing your evaluations with those in similar-sized courses in your discipline, with other courses at the same level, courses taught mainly for majors/non-majors, and so forth. You should also discuss other contributions to teaching, such as development of pedagogical tools or interactive pedagogical methods, and should describe actions you have taken to incorporate appropriate shared learning goals—e.g., goals of the major discipline and/or the NUPath. Your statement should describe your efforts to integrate classroom-based and experiential education and any other involvement with co-op or other form of experiential education.

Supporting Evidence for Teaching

Candidates must include as supporting evidence of teaching the Teaching Evaluation Summary Table (please use Model C below). The Teaching Evaluation Summary Table should clearly list in chronological order all courses taught, with numbers of students enrolled in each class. You should clearly identify courses taught for extra compensation. You must include TRACE results for all sections of all courses taught. If any evaluations are missing, explain why. Additionally, please note any additional forms of teaching evaluation in the table (e.g., peer classroom observations) and include reports of those evaluations in Appendix A. If your unit administers end-of-term student evaluations intended to supplement the TRACE instrument, you should include these additional teaching evaluation results in Appendix A.

Candidates for promotion who are five or fewer years beyond the point of initial hire or most recent promotion must supply information on all courses taught post-hire or post-promotion in the Teaching Evaluation Summary Table. Candidates who are more than five years beyond the point of hire or the most recent promotion must supply complete TRACE information from their most recent five years of teaching.

All other supporting evidence for teaching, including all TRACE reports, should be included in

Appendix A.

<u>Statement on Professional Development and Scholarship/Creative Activity</u>

You should state the focus of your academic expertise, how you apply your expertise to student learning and development and curricular innovation at Northeastern, and how you engage with your field to maintain your own professional currency and to contribute to the development of student learning in your field—both outside and inside Northeastern. If engaged in formal research, scholarship, or creative projects directed towards publication and/or dissemination, you should explain the questions that you have identified, the funding you have received to support the work (if applicable) and the directions it has taken. You should indicate the major venues in which your research, scholarship, or creative work has been disseminated, and provide indications of its impact on your academic community and, if applicable, in arenas outside the academy. You should include a discussion of any research/scholarship/creative activity you have undertaken with students or with the external community. Finally, you should discuss the directions you expect your professional development to take in the future.

All publications should be included in Appendix B.

<u>Statement on Service</u>

You may address, as applicable, your service to Northeastern, service to your discipline or profession, and academically grounded service to the community/public. You should begin with a statement of your service philosophy and identify the areas in which you have made strong contributions. Candidates for a second promotion should focus primarily on service and leadership contributions since the first promotion.

All supporting evidence for service should be included in Appendix C.

Dossier Section F – Performance Reviews

Candidates for their first promotion at Northeastern must include all previous performance reviews at Northeastern (merit reviews) in the dossier.

Candidates for their second promotion who are five or fewer years beyond the first promotion must include all their post-promotion performance reviews in the promotion dossier. Candidates for their second promotion who are more than five years beyond the first promotion must include performance reviews from at least the most recent five years.

Dossier Section G – Comprehensive List of Contents for Appendices A, B, and C.

This section provides readers of your dossier with a full table of contents for all the supporting materials included in your appendices. Please organize and list your supplemental materials in a way that will enable readers of your dossier to locate supplemental items efficiently.

3.5 Dossier Appendices

The appendices to the dossier include all additional evidence and supporting materials you wish to present regarding your accomplishments in teaching, professional development and

scholarship/creative activity, and service. You may include references to these materials in your dossier. The appendices should be compiled in an electronic file **separate from Sections A-G of your dossier**.

Appendix A. Teaching: Supporting Materials

- Full reports of TRACE evaluations
- Other teaching evaluations (e.g., classroom visit reports)
- Advising Activity
- Sample Syllabi
- Sample Teaching Materials– e.g., copies of exams, evaluation methods, excerpts of class presentations, materials from new courses you have developed, and samples of student work.
- Other evidence of exemplary teaching (e.g. teaching awards, student letters, etc.).

Appendix B. Professional Development and Scholarship/Creative Activity (as applicable): Supporting Materials

Evidence of professional development (e.g., conferences and trainings attended) should be included in Appendix B.

If applicable, all papers and publications, workshop contributions, creative works, final reports for grants, and other evidence of professional development and scholarship/creative activity should be included in this section.

Appendix C. Service: Supporting Materials

Materials that support substantive internal and external service activities should be included here.

4.0   Role of Department/College and Evaluation Committees in Dossier Preparation

The department and college will add sections A, B, and C to the electronic dossier. To ensure confidentiality, the college should transmit the complete electronic dossier from the Dean's Office to the Office of the Provost through the Interfolio software program.

The dossier's appendices should be saved in a separate file from the dossier itself in order to keep the dossier file at a reasonable size. Note that maximum upload file size is 100MB. If your appendix exceeds 100MB, divide into smaller files and name accordingly (Appendix A1, Appendix A2, etc.).

4.1   Dossier Section A – Faculty Summary Sheet

The Faculty Summary Sheet will be provided and completed by the Dean's Office. See Model A for the template.

4.2   Dossier Section B – Recommendations

Dean's Recommendation

The dean's recommendation should provide an independent assessment of the candidate that builds upon the reports of the department and college committees. To add value to the evaluation

process, the dean should provide a perspective on matters that may not have been obvious at the previous levels. They should assess all aspects of the faculty member's activities in light of the faculty member's specific responsibilities and contributions to the college.

<u>College Advisory Committee (where applicable)</u>

The report should assess the strengths and weaknesses of the candidate on the basis of the evidence presented in the dossier. It should be evaluative, providing judgments backed by information. It should discuss all aspects of the candidate's work and should indicate why the candidate does or does not meet the performance criteria appropriate to their responsibilities. If the dossier contains conflicting evaluations, the report should discuss and evaluate/resolve the issues raised.

<u>Department/School Committee Report (where applicable)</u>

The department committee report should assess the strengths and weaknesses of the candidate on the basis of the evidence in the dossier. It should be evaluative – opinions backed by information. It should discuss all aspects of the candidate's work and should indicate why the candidate does or does not meet the performance criteria appropriate to their responsibilities. The report should discuss and evaluate any extra-departmental evaluations solicited by the unit. If the dossier contains conflicting evaluations, the report should discuss and evaluate/resolve the issues raised. References to outside evaluators' comments and evaluations should preserve the anonymity of the reviewers. The department committee report should place quantitative teaching evaluations into an appropriate context, assessing the candidate's evaluations in comparison with those of instructors teaching the same or similar courses.

If a member of the committee has worked closely with the candidate (as a co-author or co-PI), that relationship should be clearly noted. Under these circumstances, the member should consider disqualifying him/herself from the review.

<u>Chair's Report (where applicable)</u>

The chair's report should independently evaluate the candidate's dossier and assess the strengths and weaknesses of the candidate. It should be evaluative and objective – providing opinions backed by information. It should discuss all aspects of the candidate's work and should indicate why the candidate does or does not meet the performance criteria appropriate to his or her responsibilities. The report should discuss and evaluate any extra-departmental evaluations solicited, address any issues the evaluations raise and discuss any conflicts among evaluators. All references to outside evaluations should preserve the anonymity of the evaluators.

If the chair of the department has worked closely with the candidate (as a co-author or co-PI), that relationship should be clearly noted.

4.3   Dossier Section C – External Evaluations (where applicable)

Please note: All materials detailed below should be uploaded to the "External Documents" section of the Interfolio software program by the department.

External Evaluators

Units may seek letters of evaluation for promotion candidates from outside the university, according to the bylaws and procedures of the unit.

External Reviewer Bios

A short biography listing the reviewer's major accomplishments in the field, evaluating the standing of the reviewer's institution or department within the discipline, and providing any other information needed for understanding why the reviewer was chosen must be supplied for each external reviewer. The 100-page guideline on the total length of the dossier will not accommodate the inclusion of full CVs from external referees.

Copy of Solicitation Letter

A copy of the letter used to solicit external evaluations must follow the list of external evaluators. See Model B.

External Evaluation Letters

All letters solicited and received must be included in the dossier.

Exclusion of Unsolicited Materials

As provided in the *Faculty Handbook*, unsolicited materials from any source may not be included in the dossier or reviewed by evaluators. Reviewing committees should return all submissions of unsolicited materials to their authors.

FULL-TIME NON TENURE-TRACK FACULTY SUMMARY SHEET:
PROMOTION ONLY

Name: **Date:**

Department: **Highest Degree:**

Present Rank: **Year Degree Earned:**

Date of Employment: **Where Degree Earned:**

                                                   Current Visa Status:
                                                   (if not U.S. citizen)

Date of previous promotion at Northeastern (if applicable):

Department Committee Recommendation and vote:

School Committee Recommendation and vote (if applicable):

College Committee Recommendation and vote:

Dean's Recommendation:

Model B

MODEL REQUEST LETTER FOR EXTERNAL REVIEW LETTERS

DATE
Dr. Mary Jones
Clinical Associate Professor
University of Michigan
123 Main Street
Ann Arbor MI 48105

Dear Dr. Jones:

As Chair of the Departmental Non Tenure Track Faculty Promotion Committee at Northeastern University's UNIT, I have been charged with soliciting an external reference letter from you for PROMOTION CANDIDATE. Dr. CANDIDATE has petitioned for a promotion from the [Assistant/Associate] [Clinical] Professor to the [Associate/Full] [Clinical] Professor level rank at our institution.

Attached you will find the following documents: Dr. CANDIDATE'S CV, teaching, professional development/scholarship, and service statements, and the [Bouvé College of Health Sciences Non-Tenure Track Clinical] Faculty Promotion Guidelines. Please utilize these documents to provide your recommendation on Dr. CANDIDATE'S candidacy. In particular, non-tenure track candidates for promotion at Northeastern University must demonstrate the following (choose all that apply to your college):

- Creativity and excellence in teaching;
- Contributions to institutional, public and professional service;
- Effectiveness of the application of clinical knowledge or expertise relative to achievement of positive healthcare outcomes within a practice setting or within a patient population, where applicable.

In addition to your assessment of whether Dr. CANDIDATE should be promoted according to Northeastern University's guidelines, I would also ask you to consider your institution's promotion guidelines as well. Given your assessment of Dr. CANDIDATE, would you recommend this person for promotion to the rank of [the Associate Clinical or full Clinical Professor] at your institution?

We would also appreciate your sending us, along with your letter, a copy an abbreviated version of your own CV or bio for the benefit of evaluators from other fields who may be unfamiliar with your background and accomplishments.

Your letter will be considered confidential, available only to those involved in the promotion review process. However, please note that the Supreme Court decision in University of Pennsylvania v. Equal Employment Opportunity Commission (1990) allowed the Equal Employment Opportunity Commission access to otherwise confidential tenure evaluations in areas where discrimination was alleged. Except in the context of an EEOC request for access, it is Northeastern University's policy to maintain the confidentiality of evaluations.

I sincerely hope that you will be able to assist us in our review of Dr. CANDIDATE'S promotion candidacy. In order to expedite our deliberations, we look forward to receiving your evaluation by _____. If for any reason you will be unable to provide an evaluation or cannot

complete this evaluation within this time frame, please contact me as soon as possible.

Thank you very much for your generous assistance in this assessment.

Sincerely,

Model C

TEACHING EVALUATION SUMMARY TABLE

Course Number	Title	Term and year	TRACE # Responded / # of Students/	Overall Mean Instructor Effectiveness Score*	Regular Load (R) or Extra Compensation (E)	Additional Form of Teaching Evaluation? (yes**/no)

* Please provide both your individual effectiveness score and that of the comparison group. *Note:* Responses are based on a 5-point Likert scale where 5 = "almost always effective," 4 = "usually effective," 3 = "sometimes effective," 2 = "rarely effective," and 1 = "never effective."

** If yes, please note what additional form of teaching evaluation was used.

Model D

CHECKLIST for DOSSIER

_____ **A. Faculty Summary Sheet (Model A)** – provided and prepared by the Dean's Office

_____ **B. Recommendations** (estimated length 3 pages each)

_____ 1. Dean's recommendation (college and school, as applicable)

_____ 2. College Advisory Committee report

_____ 3. Department Committee report

_____ 4. Chairperson or academic unit head's written evaluation

_____ 5. Candidate's response to any of these recommendations

_____ **C. External Evaluations**

_____ 1. External Reviewer Bios (estimated length 3 pages)

_____ 2. Copy of letter soliciting outside evaluations (estimated length 2 pages)

_____ 3. External Reviewer Letters (estimated length 24 pages)

_____ **D. Candidate's Comprehensive Dossier Curriculum Vitae**

_____ **E. Candidate's Statements and Supporting Evidence (as described in this document)**

_____ 1. Teaching Statement (recommended length 5 pages) and Teaching Evaluation Summary Table

_____ 2. Professional Development and Scholarship/Creative Activity Statement (recommended length: 3 pages)

_____ 3. Service (recommended length: 1 page)

_____ **F. Performance Reviews**

_____ 1. Annual reviews toward promotion

_____ 2. Merit reviews

_____ **G. Comprehensive list of Supporting Materials in Appendices A, B, C** (recommended length 2 pages)

APPENDICES

Appendix A. Teaching: Supporting Documents

_____   1. Teaching evaluations (all TRACE evaluations, other departmental evaluations)

_____   2. Advising Activity (undergraduate, graduate)

_____   3. Sample syllabi

_____   4. Sample teaching materials

_____   5. Other

Appendix B. Professional Development and Scholarship/Creative Activity (if applicable): Supporting Documents

_____   1. Evidence of professional development (e.g., listing of courses completed; conference/workshop attendance)

_____   2. All publications, including articles (indicating whether refereed or non-refereed), proceedings, book chapters, abstracts (indicate status of work in progress)

_____   3. Grant activity, external and internal: identify the proposal title, status and whether successful; and provide a summary of the grant which includes the funding source, the amount awarded, and the dates of the award.

Creative work materials such as writing, design projects, music scores, media productions, performances, artwork, etc. Include media reviews as well as evidence of presentation at gallery/museum, festival, concert or completion of project in case of design work.

_____   4. Supporting materials: book reviews, newspaper citations, and other citations of scholarship.

_____   5. Co-author letters: attesting to extent of candidate's contribution to research and writing (in fields where co-authoring is atypical).

_____   6. Recommendation for publication

_____   7. Other letters of support

_____   8. Research awards and honors

Appendix C. Service: Supporting Documents

_____   1. Evidence of contributions to department, school, college, and university committees

_____   2. Evidence of non-committee contributions to the department, school, college, or university

_____   3. Evidence of service contributions related to the discipline outside of Northeastern University