Preparation and Format of Full-Time, Nontenure-Track Faculty Promotion Dossiers

February 2016
Office of the Provost
TABLE OF CONTENTS

1. PURPOSE OF DOCUMENT
2. ELIGIBILITY FOR PROMOTION CONSIDERATION
3. ROLE OF CANDIDATE IN DOSSIER PREPARATION
   About the Dossier
   Dossier Preparation Format and Guidelines
   Dossier Organization and Checklist
   Dossier Contents
      Dossier Section D – Comprehensive Dossier Curriculum Vitae
      Dossier Section E – Candidate’s Statements and Supporting Evidence
      Dossier Section F – Performance Reviews
      Dossier Section G – Comprehensive List of Contents
   Dossier Appendices
      Appendix A: Teaching: Supporting Documents
      Appendix B: Professional Development: Supporting Documents
      Appendix C: Service: Supporting Documents
4. ROLE OF DEPARTMENT/COLLEGE COMMITTEES IN DOSSIER PREPARATION
   Dossier Section A – Faculty Summary Sheet
   Dossier Section B – Recommendations
      Dean’s Recommendation
      College Advisory Committee
      Department/School Committee Report
      Chairperson’s Report
      Review of Candidates Holding Joint Appointments
   Dossier Section C – External Evaluations (only if required by the unit)
      Cover Memorandum
      Copy of Solicitation Letter
      Evaluation Letters
      Exclusion of Unsolicited Materials
5. MODEL DOCUMENTS FOR REFERENCE IN THE DOSSIER PREPARATION
   Model A: Faculty Promotion Summary Sheet: Promotion Only
   Model B: TRACE Summary Sheets
   Model C: Dossier Checklist
   Model D: Sample Referee Solicitation Letter
1. PURPOSE OF DOCUMENT

This document provides procedural guidance in the preparation of dossiers for promotion consideration of full-time, nontenure-track faculty members in the ranks of Teaching Professor, Clinical Professor, Academic Specialist, and Lecturer.

2. ELIGIBILITY FOR PROMOTION CONSIDERATION

Full-time, nontenure-track faculty members become eligible for promotion consideration as provided in the Faculty Handbook and unit guidelines, following not less than three years in their initial rank. Potential promotion candidates are strongly encouraged to consult regularly with their unit heads and their dean concerning their progress towards promotion. Due dates for requesting promotion consideration and for the submission of promotion dossiers 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.

3. ROLE OF CANDIDATE IN DOSSIER PREPARATION

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 that may be 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.

Dossier Preparation Format and Guidelines

The Provost’s Office requests that dossiers be submitted electronically as pdf files, in order to expedite review at all levels and eliminate the costs and waste associated with submitting multiple paper copies. Supplemental materials included in the dossier’s appendices (including raw teaching evaluations, syllabi and course materials, publications, creative materials, and so on) may be submitted either in hardcopy or electronically. 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), F (Performance reviews) and G (Comprehensive List of Supporting Materials) must be submitted electronically. If you are submitting your supplemental materials in hardcopy, please also provide a hard copy of Section G at the head of the supplemental materials to assist your dossier’s readers.

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 one hundred 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 no more than sixty 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” 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-G—should be submitted to your department or college for review as a single pdf file following the order of the Dossier Checklist (Model E).

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.**

**Dossier Organization and Checklist**

Please use the dossier checklist as you compile materials to be included in your tenure and/or promotion dossier. The checklist itself 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:

- **Faculty Summary Sheet (Model A)** – prepared by the Dean’s Office
- **Recommendations** – added by different review committees & recommenders
- **External Evaluations** – if required by the unit, added by department review committee

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

- **Candidate’s Comprehensive Dossier Curriculum Vitae**
- **Candidate’s Statements and Supporting Evidence**
  - Teaching
  - Professional Development and Scholarship
  - Service
- **Annual Performance Reviews**
- **Comprehensive list of Supporting Materials**

**APPENDICES**

- Appendix A – Teaching: Supporting Materials
- Appendix B – Professional Development and Scholarship: Supporting Materials
- Appendix C – Service Activities: Supporting Materials
Dossier Section D – Comprehensive Curriculum Vitae

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

Education/Employment History

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

Professional Development/Scholarship/Creative Activity

Your home unit procedures, as well as the norms of your discipline, will provide guidance as to the weight and order of items in this section of the CV, which may include, as appropriate:

Publications - Publications should be listed in separate categories by date of publication within the following categories (arranged in order of importance in your discipline):
- Refereed articles
- Non-refereed articles
- Books
- Book chapters
- Abstracts
- Other

Please provide full citations, 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. 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:
- Publication
- Presentation
- Performance
- 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—include any internal and external grants awarded in support of your teaching, professional development, and scholarship. 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. If a grant supports programmatic or group work, you should clarify your precise role in the work. You should indicate the amount received and the coverage period of successful grants, as well as the funder and the title of the proposal.

**Professional Development** — Please list here any professional development activities (e.g. workshop attendance, panel participation, professional and continuing education or certifications) not otherwise included above.

**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 graduate students supervised, completion dates, and thesis/dissertation titles.

**Supervision of Undergraduate Students** - Identify all undergraduate students supervised as part of their honors thesis or other credited independent study. Where appropriate, include completion dates and thesis titles.

**Advising Activities** – Identify all undergraduate and graduate advising activities.

**Service**

Please list all significant service assignments and activities in separate categories by date.

- **Service to the Institution**
  - Department service
  - School service
  - College service
  - University service
- **Service to the Discipline/Profession**
- **Service to the Community/Public**

**Dossier Section E – Candidate’s Statements and Supporting Evidence**

Effective statements are not necessarily long statements. The “3-2-1” rule is good to bear in mind: a teaching statement of three pages, a statement on professional development and scholarship of two pages, and a statement of one page on service (all single-spaced) will be useful for readers of your dossier.

**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. Your statement should describe your efforts to integrate classroom-based and experiential education and any other
involvement with co-op or other forms of experiential education.

**Supporting Evidence for Teaching**

Candidates must include as supporting evidence of teaching the TRACE Summary Sheet (please use Model B below) and one sample course syllabus and class materials from that course.

The TRACE summary 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. Candidates must include TRACE results of and any other university evaluations for all sections of all courses you have taught. If any evaluations are missing, explain why. If your unit administers student evaluations in addition to the TRACE instrument, you should include these additional teaching evaluation results in the Supporting Documents on Teaching.

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 on the TRACE Summary Sheet. 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.

**Statement on Professional Development and Scholarship**

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.

**Supporting Evidence for Professional Development/Scholarship/Creative Activity**

If required by your unit, you may include in the dossier one sample conference paper or publication (or equivalent evidence in your discipline) representative of your work. Other samples can be included in the Appendix. Candidates for a second promotion should not include in the dossier or its appendices supporting evidence that appeared prior to the previous promotion.

**Statement on Service**

You may address, as applicable, your service to Northeastern, to your discipline or profession, and academically grounded service to the community/public. Candidates for a second promotion should focus primarily on service contributions since the first promotion.

**Supporting Evidence for Service**

Please include documentation of an example of your service to Northeastern, to your academic community, or to the community at large.
Dossier Section F – Performance Reviews
Candidates for their first promotion at Northeastern must include all previous performance reviews at Northeastern 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 D.
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.

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, and service. You may include references to these materials in your dossier. The appendices should be compiled in a binder or an electronic file separate from Sections A – G.

APPENDIX A. TEACHING: SUPPORTING MATERIALS
Full reports of TRACE evaluations
Other teaching evaluations (e.g., classroom visit reports, departmental evaluations)
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: SUPPORTING MATERIALS
Papers and publications, workshop contributions, creative works, final reports for grants, and other evidence of professional development and scholarship are included in this section.

APPENDIX C. SERVICE: SUPPORTING MATERIALS
Materials that support substantive internal and external service activities should be included here.
4. ROLE OF DEPARTMENT/COLLEGE & EVALUATION COMMITTEES IN DOSSIER PREPARATION

The department and college will add sections A, B, and C as pdf files 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 via CD or flash drive rather than email.

If the dossier’s appendices are also in electronic form, they should be saved in a separate file from the dossier itself in order to keep the dossier file at a reasonable size.

DOSSIER SECTION A – FACULTY SUMMARY SHEET – will be provided and completed by the Dean’s Office. See Model A for a template.

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. He/she should assess all aspects of the faculty member’s activities in light of the faculty member’s specific responsibilities and contributions to the college.

College Advisory Committee (where applicable)
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 his or her responsibilities. If the dossier contains conflicting evaluations, the report should discuss and evaluate/resolve the issues raised.

Department/School Committee Report (where applicable)
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 his or her 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.
**Chair’s Report (where applicable)**

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.

**Review of Candidates Holding Joint Appointments**

If a candidate for promotion is appointed in multiple colleges, his or her dossier should be forwarded by the dean of the home college for review by the dean(s) of the candidate’s secondary unit(s). Both the primary and secondary unit deans should contribute written evaluations of the candidate to the dossier.

If a candidate for promotion is appointed in multiple units within a single college, the chair or director of the primary unit should forward the dossier for review by the chair or director of the secondary unit(s). The chair or director of the secondary unit(s) may either contribute a paragraph to the primary unit chair’s report, with mutual agreement, or may elect to contribute a separate report to the candidate’s dossier.

A jointly appointed candidate has the right to review and respond to all evaluations included the dossier, including those from his or her secondary unit(s) of appointment.
4.3 DOSSIER SECTION C – EXTERNAL EVALUATIONS

External Evaluators
The Office of the Provost does not require external letters for full-time, nontenure-track faculty candidates for promotion. Where the faculty members’ responsibilities include significant interactions outside the home unit or outside the university, units may elect to seek letters of evaluation for promotion candidates from outside the candidate’s home unit, or outside the university, according to the bylaws and procedures of the unit. For a sample solicitation letter, please see Model D below.

Cover Memorandum – Selecting Reviewers
If external reviews are sought, a short memorandum should explain how and why they were selected.

Copy of Solicitation Letter
A copy of the letter used to solicit external evaluations must follow the list of external evaluators.

External Evaluation Letters
All letters solicited 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.
# Model A

Provided and prepared by the Dean’s Office

**FULL-TIME FACULTY SUMMARY SHEET: PROMOTION ONLY**

<table>
<thead>
<tr>
<th>Name:</th>
<th>Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department:</td>
<td>Highest Degree:</td>
</tr>
<tr>
<td>Present Rank:</td>
<td>Year Degree Earned:</td>
</tr>
<tr>
<td>Date of Employment:</td>
<td>Where Degree Earned:</td>
</tr>
<tr>
<td></td>
<td>Current Visa Status:</td>
</tr>
<tr>
<td></td>
<td>(if not U.S. citizen)</td>
</tr>
</tbody>
</table>

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:
### TRACE SUMMARY

<table>
<thead>
<tr>
<th>Course Number</th>
<th>Title</th>
<th>Term and year</th>
<th># of Students/ # Responded</th>
<th>Overall Mean Instructor Effectiveness Score* (please provide both your individual effectiveness score and that of the comparison group)</th>
<th>Regular Load ® or Extra Compensation (E)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*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”*
Model C
DOSSIER CHECKLIST

Included

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

B. Recommendations

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 (if required by the unit)

1. Cover memorandum – selecting evaluations
2. Copy of letter soliciting outside evaluations
3. Reference letters

D. Candidate’s Comprehensive Dossier Curriculum Vitae

E. Candidate’s Statements and Supporting Evidence

1. Teaching (including TRACE Summary Sheet)
2. Professional Development and Scholarship
3. Service

F. Performance Reviews

G. Comprehensive list of Supporting Materials
APPENDICES

Appendix A—Teaching: Supporting Documents
1. Teaching evaluations (TRACE evaluations, other departmental evaluations, peer evaluations of classroom instruction, etc.)
2. Advising Activity (undergraduate, graduate)
3. Sample syllabi
4. Sample teaching materials
5. Teaching awards and honors

Appendix B—Professional Development/Scholarship/Creative Activity: Supporting Documents
1. Copies of publications, including articles, proceedings, books, book chapters, abstracts (indicate status of work in progress)
2. Grant activity, external and internal
3. Creative work materials such as writing, design projects, music scores, media productions, performances, artwork, etc.
4. Conference papers, symposia and/or workshop contributions
5. New or renewed professional certifications or other development activities

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
Model D
SAMPLE SOLICITATION LETTER

Date

Professor Eminent
Department of Holistic Studies
Prestigious University

Dear Professor Eminent:

Dr. XX, currently <RANK> is being considered for promotion to the rank of <> at Northeastern University. In evaluating a candidate in this rank for promotion, university decision-makers consider the judgments of senior leaders in the candidate’s field. We would very much appreciate your assistance in providing us with a candid confidential evaluation of Dr. XX’s contributions in the areas of teaching, instructional development and innovation, professional development, and service to his/her field and/or area of professional practice [adjust as needed] [refer to the scholarship of teaching or professional practice as needed].

To assist in you in this task, I am enclosing the following materials:

1. Dr. XX’s curriculum vitae
2. Instructional materials (syllabi, sample assignments, sample rubrics, examples of feedback, samples of student work) from classes taught by Dr. XX
3. Student evaluations from classes taught by Dr. XX
4. Copies of conference presentations / workshop contributions / grant proposals [etc] representing Dr. XX’s contributions to the scholarship of teaching in his/her field [as relevant]
5. Copies of creative work/scholarly publications/ etc in Dr. XX’s disciplinary field [as relevant]
6. The pertinent sections from the College of X’s guidelines regarding promotion for full-time, nontenure-track faculty members.

Please evaluate Dr. Tenure-Track’s qualifications for promotion with respect to the following criteria:

1. Currency and appropriateness of instructional materials and course design, including student activities and engagement
2. Quality and consistency of the teaching record
3. Evidence of growth, continuing professional development, and innovation as a teacher-scholar
4. Quality of other professional contributions to the scholarship or practice of his/her field [as relevant]
5. If your institution has comparable appointments and ranks for full-time, nontenure-track faculty members, would you recommend Dr. XX for promotion at your institution?
We would also appreciate your sending us, along with your letter, an abbreviated version of your own vita 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 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. XX’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 evaluate Dr. XX within this time frame, please contact me as soon as possible.

Thank you very much for your generous assistance in assessing Dr. XX’s work.

Sincerely,

Professor and Chair of the Promotion Committee

(Enclosures)