

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

July 1, 2023

Office of the Provost

TABLE OF CONTENTS

1.0	Purpose of Document.....	1
2.0	Eligibility for Promotion Consideration	1
3.0	Role of Candidate in Dossier Preparation.....	1
3.1	About the Dossier	1
3.2	Dossier Preparation Format and Guidelines	1
3.3	Dossier Organization and Checklist.....	2
3.4	Detailed Instructions for Dossier Sections D, E, F, and G	3
	Dossier Section D – Comprehensive Dossier Curriculum Vitae	3
	Dossier Section E – Candidate’s Statements and Supporting Evidence	4
	Dossier Section F – Performance Reviews	5
	Dossier Section G – Comprehensive List of Contents for Appendices A and B.	5
3.5	Dossier Appendices	5
	Appendix A. Research/Scholarship and Professional Development: Supporting Materials	6
	Appendix B. Service: Supporting Materials	6
4.0	Role of Department/College and Evaluation Committees in Dossier Preparation	6
4.1	Dossier Section A – Faculty Summary Sheet.....	6
4.2	Dossier Section B – Recommendations.....	6
4.3	Dossier Section C – External Evaluations (where applicable)	7
5.0	Definitions and Examples of Activities Involving Diversity, Equity, and Inclusion	8
5.1	Definitions.....	8
5.2	Examples of ways faculty might engage in diversity, equity, and inclusion activities....	8
	Model A: Summary Sheet.....	9
	Model B: Model Request Letter	10
	Model C: Dossier Checklist	12
	Model D: Appendices Checklist	13

1.0 Purpose of Document

This document provides procedural guidance in the preparation of dossiers for promotion consideration of full-time, non tenure-track research faculty members. Teaching faculty members and Co-op coordinators should reference the respective document specific to them at <https://provost.northeastern.edu/academics/academic-faculty-affairs/>.

2.0 Eligibility for Promotion Consideration

Full-time, non tenure-track research 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, except where allowed for specific reasons, 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 directly through interfolio.com website. (After navigating to interfolio.com, click on the “login” hyperlink in the top menu to access the sign-in screen. Then click on the “Sign in with Partner Institution” button at the right. Search for “Northeastern” to select Northeastern University and click on the “Sign In” button to login with your NU credentials with secure single sign-on (SSO)). Interfolio is a software program that facilitates electronic submission and review. Supplemental materials included in the dossier's appendices (e.g., publications 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 (Model C). 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 directly through the interfolio.com website. Following the order of the Dossier Checklist (Model C). 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 C) 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:

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

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

4. **Candidate's Comprehensive Dossier Curriculum Vitae**
5. **Candidate's Statements**
 - a. Statement on Research/Scholarship and Professional Development
 - b. Statement on Service
6. **Annual Performance Reviews**
7. **Comprehensive list of Supporting Materials**

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

Appendix A – Research/Scholarship/Professional Development Supporting Materials

Appendix B – Service Supporting Materials

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.

Grants (list grants as follows)

1. Active, external
2. Completed, external (since hired or last promotion)
3. Pending, external
4. Proposals submitted but not funded, external (since hired or last promotion)
5. Active, internal
6. Completed, internal (since hired or last promotion)

For each active and completed grant, please provide:

Title of project (and of your subcontract if relevant), project dates, funding agency, your role, all PI's or Co-PI's, direct costs awarded to you and the time period for those costs.

For each proposal (pending or not funded), please provide:

Title of project (and of your subcontract if relevant), proposed project dates, awarding entity, your role, all PI's or Co-PI's, total direct cost requested.

Scholarship

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 including proceedings and reviews
2. Non-refereed articles including reviews and commentary
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. Papers submitted to an e-print archive such as arXiv should be identified as such and included. 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.

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

1. Invited presentations where you were the speaker (conferences, symposia, workshops, institutions, industry). Provide title or topic, venue, and date.
2. Other research presentations that included a printed or electronic abstract. Provide title, venue, and date.

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

Professional Development: please list any significant professional development activities that have contributed to your growth as a researcher and scholar.

Service

Please list all significant service assignments and 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

Dossier Section E – Candidate’s Statements and Supporting Evidence

Statement on Research/Scholarship and Professional Development

You should state the focus of your research and scholarship. You should explain the research questions that you have identified, the funding you have received to support the work and the directions it has taken, the venues in which your research and scholarship have 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 activity you have undertaken with students or with the external community or that incorporates diversity, equity, and inclusion¹. You should also discuss the research questions that you expect to address in the future. Candidates for promotion to research professor should focus primarily on research and scholarship since the award of last promotion. Finally, you should include in your statement significant professional development activities that have contributed to your growth as a researcher and scholar.

All supporting evidences for research/scholarship and professional development should be included in Appendix A.

Statement on Service

You should address the three areas of service, as applicable: service to the institution, service to the discipline/profession, and 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. You should then discuss service undertaken in each of the three areas, focusing on leadership positions held and special projects completed, and, if applicable, on activities involving diversity, equity, and inclusion¹. Candidates for promotion to research professor should focus primarily on service and leadership contributions since the award of last promotion.

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

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 and B.

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

¹ New beginning in 2017-18 are **optional** additions to your research/scholarship and service statements about your involvement in activities related to diversity, equity, and inclusion. For definitions of terms and examples of activities, please see Section 5.0 at the end of this document.

to present regarding your accomplishments in research/scholarship, professional development 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. Research/Scholarship and Professional Development: Supporting Materials

Publications, final reports for grants, grant summaries, and other evidence of research/scholarship and professional development should be included in this section. Letters from collaborators that address your contributions to projects may be included here.

Appendix B. Service: Supporting Materials

Materials that support substantive internal/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.

College Advisory Committee (where applicable)

The report should assess the strengths and weaknesses of the candidate based on 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.

Department/School Committee Report (where applicable)

The department committee report should assess the strengths and weaknesses of the candidate

based on 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.

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 may 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.

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.

5.0 Definitions and Examples of Activities Involving Diversity, Equity, and Inclusion

5.1 Definitions²

“**Diversity** refers to all of the ways in which people differ, including primary characteristics, such as age, race, gender, ethnicity, mental and physical abilities, and sexual orientation. It also includes secondary characteristics, such as education, income, religion, country of origin, work experience, language skills, geographic location, and family status. Put simply, diversity refers to all of the characteristics that make individuals different from each other and, on its most basic level, refers to heterogeneity.”

“**Equity** refers to the process of creating equivalent outcomes for historically underrepresented populations and oppressed individuals and groups. Equity is about ending systematic discrimination against people based on their identity or background.”

“**Inclusion** describes the sense of belonging that traditionally marginalized individuals and groups feel when they are empowered to participate in the majority culture as full and valued members, shaping and redefining that culture in different ways.”

5.2 Examples of ways faculty might engage in diversity, equity, and inclusion activities

Research/Scholarship:

- Research/Scholarship centered on diversity, inclusion, and equity issues
- Recruitment of diverse groups into research studies
- Inclusion of diverse groups into research teams or creative activity

Service to the university and to the profession:

- Participation in diversity efforts in the department and college and university
- Engagement in strategies to recruit diverse faculty and diverse students
- Involvement with unit or university activities to promote diversity, equity, or inclusion

Please note that this list is neither exhaustive nor prescriptive.

² Note: Definitions are based on terminology from Williams, D., *A Matter of Excellence: A Guide to Strategic Diversity Leadership and Accountability in Higher Education*. American Council on Education, 2013. <http://www.acenet.edu>

Model A: Summary Sheet
Provided and Prepared by the Dean's Office

**FULL-TIME NON TENURE-TRACK RESEARCH 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

MODEL REQUEST LETTER FOR EXTERNAL REVIEW LETTERS

DATE

Professor Eminent
Department of Holistic Studies
Prestigious University

Dear Professor Eminent:

Dr. [CANDIDATE], currently Research Assistant Professor, is being considered for promotion to the rank of Research Associate Professor at Northeastern University (non-tenure track). 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. [CANDIDATE]'s level of professional achievement in research.

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

- Dr. [CANDIDATE]'s curriculum vitae
- Dr. [CANDIDATE]'s research statement
- College of [COLLEGE NAME] guidelines regarding promotion for full-time, non-tenure track research faculty members

Please evaluate Dr. [CANDIDATE]'s qualifications for promotion with respect to the following criteria:

- Quality and consistency of the research record
- Evidence of growth as a researcher
- Evidence of an ability to obtain funding
- Attainment of a national reputation in research
- If your institution has comparable appointments and ranks for full-time, non-tenure track research faculty members, would you recommend Dr. [CANDIDATE] for promotion at your institution?

We would also appreciate your sending us, along with your letter, an abbreviated version (or link) 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 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. [CANDIDATE]'s promotion candidacy. In order to expedite our deliberations, we look forward to receiving your evaluation by [MONTH DATE, YEAR]. If for any reason you will be unable to provide an evaluation or cannot evaluate Dr. [CANDIDATE]'s candidacy within this timeframe, please contact me as soon as possible.

Thank you very much for your generous assistance in assessing Dr. [CANDIDATE]'s work.

Sincerely,

[NAME OF CHAIR]
Chair (or Chair of the Promotion Committee)
Title
Department of [DEPARTMENT NAME]
Northeastern University

Enclosures

Model C: Dossier Checklist

_____ **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** (if applicable)

_____ 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**

_____ 1. Research/Scholarship and Professional Development (recommended length 5 pages)

_____ 2. Services (recommended length 1 page)

_____ **F. Performance Reviews**

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

Model D: Appendices Checklist

Appendix A. Research/Scholarship and Professional Development: Supporting Documents

- _____ 1. 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.
- _____ 2. Copies of any publications, including articles (indicating whether reviewed or non-reviewed), proceedings, books, book chapters, abstracts (indicate status of work in progress).
- _____ 3. Supporting materials: book chapters, reviews, newspaper citations, and other citations of scholarship.
- _____ 4. Co-author letters: attesting to extent of candidate's contribution to research and writing (in fields where co-authoring is atypical).
- _____ 5. Letters from publisher recommending publication
- _____ 6. Evidence of professional development

Appendix B. 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
- _____ 4. Evidence of service contributions community/public outside of Northeastern University