

**PROVOST'S GUIDELINES FOR THE PROMOTION AND TENURE PROCESS  
FOR TENURE-TRACK FACULTY  
For Applicants, Committees, Chairs, and Deans**

The Provost's guidelines provide recommendations to the candidate developing a portfolio for promotion and tenure on ways to present their accomplishments effectively and concisely. They were developed to promote consistency in the organization of the candidate's materials, to provide the candidate with an understanding of what reviewers look for, and to provide clarity to readers at various levels of review.

The guidelines in no way supersede, replace the language of the MSP contract or reflect a comprehensive statement of MSP contract principles. The faculty candidate, members of personnel committees, and chairs are expected to review the relevant sections of the MSP contract, especially Articles II, VII and VIII and Appendix 9, as well as effective memoranda of agreement.

**CANDIDATE ELIGIBILITY**

**Important note:** The candidate is advised to talk with their chair and dean, and to consult the MSP contract, before deciding when to seek promotion and tenure.

**For candidates seeking promotion to rank of associate professor with tenure**

- Assistant professors must submit their portfolio for tenure no later than September of their sixth year. The "tenure clock" will be extended only upon terms as expressly set forth in the MSP contract.
- A maximum of three years of full-time service in other four-year institutions of higher education may be credited to the experience requirement for promotion which results in tenure. This consideration of professional work prior to hire at UMass Lowell must be specified in the letter of offer from the Provost (the hiring authority) at the time of hiring. This allows productivity at the previous institution to be included in the consideration for tenure and promotion along with their productivity at UMass Lowell, thus providing an option (not a requirement) for candidates to submit their materials for tenure and promotion prior to September of their 6<sup>th</sup> year.
- Any candidate may elect to submit their portfolio for consideration prior to their sixth year where a case can be made that they have satisfied the criteria as set forth in the MSP contract. It is prudent in all such cases for the candidate to consult with their department chair and dean prior to considering submission of their portfolio.
- A faculty member may receive a tenure delay for up to two parental leaves. Should a faculty member not wish the tenure delay, they have up to a year from their return to campus to opt-out of the delay.
- Persons hired as Associate Professors and not given tenure at the time of hire must have at minimum two years of service at the University of Massachusetts Lowell at the time tenure becomes effective.

**For candidates seeking promotion to rank of full professor**

- The candidate must have eight years of successful, full-time teaching experience in four-year institutions of higher education at the rank of assistant professor or higher, with three years of such experience at the University of Massachusetts Lowell, two of which years must be at the rank of associate professor.
- The various review levels for consideration for promotion typically will focus on the candidate's accomplishments and performance while in rank at the University of Massachusetts Lowell. Secondary consideration is then given to the overall body of work of the candidate over their career, including work prior to previous promotions or at prior institutions.

**REQUIREMENTS FOR PROMOTION AND TENURE**

Eligible candidates are advised to begin their preparation by reviewing Article VIII of the MSP contract, which outlines the tenure and promotion procedure, and to make themselves familiar with the promotion and tenure calendar and the relevant deadlines that are part of the process.

Article VII of the MSP contract and the terms of the MOA signed 26 June 2018 provide guidance for the candidate and reviewers on the requirements for promotion and tenure.

The MOA introduced the following criteria (in bold) regarding consideration for tenure (VII.B.2.a):

*Consideration of a candidate for tenure shall be based on the following:*

- a. ***Convincing evidence of excellence in research, creative or professional activity and teaching and strength in service*** such as to demonstrate the possession of qualities appropriate to a member of the faculty occupying a permanent position.
- b. *Reasonable assurance of continuing development and achievement leading to further contributions to the University.*

The MSP contract also sets forth specific promotion requirements for faculty ranks; please see VII.B.2.d.(1).

## **EXTERNAL REVIEW LETTERS**

External review letters are an essential component of the tenure-track process and for promotion to Associate Professor, Professor, and conferral of tenure. The purpose of external review letters is to provide an independent evaluation of the candidate's scholarly reputation and achievements in the discipline. Accordingly, candidates benefit most optimally when their external reviewers are of the highest echelon of their discipline and can address the candidate's eligibility for promotion and/or tenure. To be effective, the external reviewers must have achieved or surpassed the rank that is being sought by the candidate under review.

External review letters are solicited by the department chair in consultation with the candidate and the dean; in most cases, the chair solicits more than five external reviews to ensure that an appropriate number is obtained. **All external review letters solicited and received by the chair are included with the candidate's evaluation; no letters received will be dismissed, edited, excluded or discarded.**

### **Confidentiality of the External Review Process:**

- External reviews provided in confidence carry the highest value to the reviewers and the candidate.
- To the extent possible, external reviewers shall be assured confidentiality of reviewing bodies. *To protect the confidentiality of external peer reviewers, no letter from any level of campus review should use the name of reviewers. Where external letters are cited or quoted, those references should be made by the number assigned on Appendix 2, e.g., "reviewer 2 indicated that [...]"*
- External reviewers shall be advised by the chair prior to submitting the review letter as to whether the candidate has waived the right to see the external review letters. (See Appendix 1: External Review Letters Waiver Statement.)
- If the candidate elects to view the external review letters, in either complete or redacted form, as specified in the External Review Letters Waiver Statement, the chair will notify the external reviewer of this decision **at the time of the initial request for the review.**

### **Guidelines for Selecting External Reviewers:**

The candidate's department chair will:

- create a list of potential external reviewers from scholars or professionals that may be suggested by the candidate, the dean, and the chair. These outside reviewers should be affiliated with institutions that require rigorous research and scholarship, the quality of which either meets or exceeds the standards of the University of Massachusetts Lowell. It is suggested that an explanation be provided if external reviewers are selected from institutions that are not of the same stature.
- decide which qualified individuals will serve as disciplinary reviewers to provide a fair and independent evaluation of the candidate's work.
- send a request letter to potential reviewers and ensure that the requisite number of reviewers is obtained.
- include instructions below to reviewers in the request letter.

Qualified external reviewers:

- should be actively engaged in the discipline, including emeriti faculty members
- must have achieved the rank sought by the candidate, or higher
- **must not** have a vested interest in the outcome of the decision. Such conflicts of interest with the candidate may include but are not limited to:
  - having served as a mentor, such as those who served on the candidate's dissertation committee or been a post-doctoral advisor
  - having conducted research collaboration or published with the candidate with the exception of a mega-multiple-authored publication (in some fields, it may be difficult to find appropriate reviewers who have not collaborated in some way with a candidate for full professor. In such a case, the chair will document this and discuss with the Office of the Provost prior to soliciting a letter)
  - having a close personal or familial relationship
  - having been a student of the candidate
  - having a professional or financial stake in the candidate's promotion

**External reviewers are asked to address:**

- the nature and length of the external reviewer's past or present association to the candidate
- the significance of the candidate's contributions to the discipline/profession
- an assessment of the candidate's development as a scholar compared with others in the field who are at a similar stage of their career
- the quality and quantity of the candidate's work, and the appropriateness of the venues/outlets used by the candidate to disseminate scholarly works
- an assessment of papers/discoveries/innovations published by the candidate that may have a major impact on the field
- the extent to which the candidate's record reflects a productive scholarly and creative activity agenda compared to peers in the discipline. Scholarly and creative activity include publications, presentations, patents, performances, exhibits, extramurally funded activities, intellectual property, and corporate relationships.
- any relevant information about common practices within the discipline such as conventions regarding multiple authorship, expectations for extramural funding, collaborative interactions, appropriate terminal outlets for publication, or other factors that may help the university evaluate the candidate relative to disciplinary expectations
- special distinctions and honors achieved by the candidate

External reviewers are asked to provide a clear recommendation for or against the desired personnel action based upon their assessment of the candidate's research.

## **EXTERNAL REVIEW LETTER PROCEDURES**

### **Procedure for Candidates**

- The candidate may provide a list of suggestions for external reviewers to their department chairperson to consider (see Appendix 2: External Review Evaluator Selections). It is recommended that this list be provided to the chair **by May 1** prior to the September when the candidate will submit promotion and tenure materials.
- The candidate may also inform the chair of persons they wish to exclude from consideration as potential reviewers on the basis of real or perceived conflict of interest.
- The candidate will provide to their chair:
  - a signed, completed waiver form (Appendix 1)
  - suggestions for external reviewers (Appendix 2)
  - a current CV

- a reasonable number of samples of scholarly work for submission to external reviewers
- (optional) a brief statement (suggested no more than one page) of research accomplishments

**The candidate will not solicit letters from or have any contact with external reviewers during the entire promotion and tenure process. The final list of external reviewers will not be shared with the candidate.**

**Procedure for Department Chairs and Deans**

The chair and the dean supplement the list of suggested external reviewers submitted by the candidate (Appendix 2). **The chair selects the reviewers from whom letters will be requested.** Reviewers selected by the chair should represent a balance of input from the candidate, the dean, and the chair. The list should not include reviewers excluded by the candidate.

**Procedure for Department Chairs**

**By May 15**, the chair solicits external reviews from the final list via a preliminary email to secure a commitment from reviewers and to prompt reviewers to disclose any potential conflicts of interest.

Once a reviewer has confirmed their willingness to write, the chair sends to the reviewer

- a letter (see Appendices 4 and 5) outlining the review expectation (as specified in the MSP contract, Articles VII and IX), indicating whether or not the candidate has waived the right to view the external review letter, and requesting the reviewer’s CV and short bio
- the candidate’s current CV
- a reasonable number of samples of the candidate’s scholarly work
- the candidate’s statement of research accomplishments, if provided

The chair will provide all reviewers with the same set of materials, and an identical letter soliciting their review. If the chair does not receive at least five external review letter commitments per candidate **by June 21**, they will solicit additional reviewers using the process above. All external review letters and reviewer CVs and bios should be received **by September 1**.

The chair will upload the following to the P&T fileshare, in accordance with the P&T calendar:

- the final copy of the External Review Letters Waiver Statement, Appendix 1
- the final copy of the External Review Letters Evaluator Selections, Appendix 2
- and, for each external reviewer:
  - the chair’s letter (email) requesting the external review
  - the external review letter
  - the external reviewer’s CV
  - the external reviewer’s short bio

**EXTERNAL LETTER TIMELINE**

Early requests may facilitate reviewer availability; it is recommended that each of these milestones are met no later than the dates noted:

<b>May 1</b>	Candidate provides list of potential reviewers and those to exclude from the reviewer list
<b>May 15</b>	Chair solicits external reviews from final list of reviewers
<b>Last week of May</b>	Chair sends candidate materials to reviewers who have accepted
<b>June 21</b>	If the chair has not received at least five external review letter commitments per candidate, they will solicit additional reviewers
<b>September 1</b>	External reviewers should submit their evaluation, CV, and bio paragraph
<b>First Monday in October</b>	Chair submits materials to P&T fileshare ( <b>this is a contractual deadline</b> )

## **THE PROMOTION AND TENURE PORTFOLIO**

### **Portfolio Format**

The candidate submits two PDF files: a main portfolio and a supplemental materials file. The Electronic Materials Workshop is offered each summer to provide the candidate with support for constructing their portfolio. These materials may not be edited after the submission deadline.

### **Main Portfolio Content**

- Cover page, to include:
  - name
  - present rank
  - department and college
  - date of appointment at the University of Massachusetts Lowell and rank awarded
  - number of credits for years of prior service, if applicable
  - area of specialization within the discipline
- External Letter Waiver Statement (Appendix 1)
- Candidate's section of the List of Suggested External Reviewers (Appendix 2)
- Candidate's Curriculum Vitae (CV) (MSP contract Appendix A-9, Personnel Form #6)  
The CV is intended to provide the accomplishments of the candidate's entire career, including the specific details of accomplishments at UMass Lowell. Accomplishments from the period under review are typically provided in bold face type. There is no page limit for the CV.
- Candidate's Narrative—recommended length, approximately 5 to 7 pages
- Instructional Activity Chart (Appendix 6)

### **Electronic Supplemental Materials Content**

#### **Required**

- All annual or periodic evaluations by the Department Personnel Committee, department chair, and dean
- Student evaluations from the period under review

#### **Optional**

- Several samples of the candidate's most notable scholarly works
- Other supplemental content that significantly advances or illustrates the case that cannot be sufficiently expressed in the CV or narrative – in consideration of the readers, the candidate should include only the most critical items, and should label them clearly

There is no preclusion of the candidate to include any item that they deem important. However, candidates are advised that reviewers are unlikely to put weight on ancillary material or documentation beyond what is indicated above. Accordingly, candidates are advised to focus their efforts to ensure that their narrative and CV are thorough and complete.

## **CANDIDATE'S NARRATIVE**

The candidate's narrative should tell the story of their accomplishments in research/scholarship/creative activity, instructional effectiveness, and service. The narrative should provide the context, perspective and focus of the candidate's work, describing its place in their discipline and in the university, impact on the field and their contributions to the mission of UMass Lowell. We recommend that an effective candidate narrative is 5 to 7 pages in length.

An effective narrative will present a concise, synthesized overview of the candidate's accomplishments and their distinctive contributions. It will offer the reader a sense of the candidate's overall career trajectory, using selective details that focus on the candidate's achievements during the relevant period of review at the University of Massachusetts Lowell.

The narrative should address each of the three standard areas of evaluation outlined in the MSP contract (IX.E.) and should focus on the outcomes of the work in each. Both for tenure and for promotions to full professor, accomplishments may be assessed in a variety of ways and may vary across disciplines. The narrative should

enable reviewers—including those who come from other specialties or disciplines—to make informed judgments based on both qualitative and quantitative measures.

### **RESEARCH, SCHOLARSHIP, CREATIVE ACTIVITY**

In this section of the narrative, the candidate should show how they have advanced their scholarly agenda, furthered conversations in their field, and established their commitment to the work. These examples should illustrate key accomplishments listed in the CV. The candidate should provide sufficient explanation of disciplinary conventions to allow colleagues from any discipline to interpret their accomplishments and to understand the criteria that are most important in the candidate's field of study.

The candidate should discuss the importance of their research, scholarly works, and/or creative activity and the development of their discipline. This is defined in the MSP contract (VII.B.2.c.(2)):

*Including, but not limited to research funded by governmental agencies, professional associations and/or publicly acknowledged by learned and professional societies; book publications by governmental agencies, professional associations, and/or acknowledged publishing houses; and publications in recognized professional and/or academic journals, and published conference proceedings.*

In addition to the above, the narrative may also address the outcomes of other types of research, scholarship and creative activity, such as, but not limited to:

- adoption, dissemination, and recognition of work through extramural funding
- collaboration with the private sector, public schools and non-governmental agencies
- impact of work on diverse communities
- intellectual property disclosures, patent application and licenses
- performances
- juried displays
- extent to which the work has promoted interdisciplinarity
- extent of leadership of a multidisciplinary team
- honors, awards and recognitions received

Faculty seeking promotion to full professor should emphasize examples of distinguishing accomplishments, such as, but not limited to:

- the development of disciplinary or interdisciplinary scholarship sustained over time, earning stature and recognition in the field(s)
- research or scholarly achievement as demonstrated by a continued record of accomplishments resulting in publication of a significant number of articles in recognized journals and/or in publication of a book or its edited equivalent
- leadership roles on multi-investigator grants
- examples of translational scholarship: impact on the field, scholarly paradigms being adapted by others, or put into practice in settings beyond academia through patents, licensing of intellectual property, or adoption in the private or public sectors.
- significant and wide recognition by learned societies or professional associations for demonstrated achievement of leadership in the discipline or professional area
- prominent, invited talks (keynote addresses, etc.)

When articulating the impact of the scholarship,

- the candidate should refer to the relevant college workload policy.
- if the college workload policy does not specify measures of impact, the candidate should provide a case for impact in ways that are appropriate to the discipline, such as, but not limited to:
  - contextualized use of citation indices
  - information about the quality of peer-reviewed presses or journals
- the candidate should remember that not all reviewers will be familiar with the conventions of their discipline, and compose their narratives accordingly

## **INSTRUCTIONAL EFFECTIVENESS**

In this section of the narrative, the candidate should articulate their contributions to the University's instructional mission in and beyond the classroom. The candidate should specify the student outcomes resulting from their instructional efforts. The candidate should present their accomplishments in ways that enable colleagues from any discipline to understand the criteria that are most important for instruction in the specific field of study.

Excellence in instruction is central to the mission of UMass Lowell, and faculty engage in a wide array of related activities that, both directly and indirectly, create the rich educational environment we provide for our students. In accordance with the MSP contract, evaluation of faculty achievement in instructional effectiveness should consider the full breadth of their contributions.

The MSP contract (VII.B.2.c.(1)) defines instructional effectiveness as:

*Including, but not limited to [...] development, improvement and demonstration of subject matter competence, continued improvement of methods and procedures of classroom presentation; active participation in departmental evaluation of course offerings and curricula for the purpose of maintaining their quality, relevance, and viability; conscientious discharging of responsibilities for student advisement throughout the academic year; and special or uniquely valuable contributions to the development or implementation or teaching of needed courses in any college or division of the University, and the like.*

In addition to the above, the narrative may address other aspects of the candidate's contributions related to instruction, such as, but not limited to:

- ensuring student success through the continuous improvement of instruction
- pedagogic innovation
- courses developed, redeveloped, and taught; and their place in the curriculum
- currency and appropriateness of course content
- fulfillment of program, department, and Core learning outcomes
- promoting equity in student achievement
- clarity and transparency of teaching materials, including articulating expected student outcomes
- response to instructional issues raised in teaching observations, annual/periodic reviews, or student evaluations
- use of student learning outcomes assessment to improve teaching
- role and contribution in the supervision/ mentoring of independent studies, experiential learning opportunities (undergraduate research, service learning, community-engaged learning, external placements, etc.), theses, dissertations
- engagement in interdisciplinary/collaborative instruction
- teaching awards and honors

The narrative may also address contributions to the university's instructional mission beyond classroom instruction, including, but not limited to:

- academic advising, including advisee load
- development of learning opportunities outside the classroom
- promoting equity in providing special opportunities and achievements for students
- curriculum development and implementation
- program-level assessment of student learning outcomes used for curricular improvement
- development of curricular materials to be shared with colleagues
- seeking or providing professional development on instruction-related topics
- production of scholarship of teaching and learning (presentations, publications)
- internal or external funding for instructional activities
- partnering with campus support services to improve students' academic success

Faculty seeking promotion to full professor should emphasize examples of distinguishing accomplishments, such as, but not limited to:

- demonstration of pedagogical improvements sustained over time
- mentoring of junior faculty with respect to teaching
- examples of impact on the department or wider university relating to instructional methods
- leadership in curriculum development and continuous improvement

### **The Instructional Activity Chart**

In the portfolio, the candidate provides the Instructional Activity Chart (Appendix 6) after the conclusion of the narrative. This chart documents key data items relating to teaching assignments, enrollments, and student evaluations, helping readers to visualize the teaching load for each term.

### **SERVICE**

In this section of the narrative, the candidate should discuss the impact of their sustained and transformative service to the profession, University, and community. The narrative should not merely list activities undertaken or committee memberships, but should provide readers with a clear picture of how the candidate shapes professional life in the discipline, participates in faculty self-governance, and enacts leadership at these various levels. The narrative should clarify the candidate's role in key service activities cited, and identify the resulting accomplishments and outcomes; leadership roles should be emphasized.

Please refer to the definitions of service outlined in the MSP contract and MOA of 26 June 2018, (VII.B.2.c.(3)) which provide a foundation for what should be included in this section. In addition to those definitions, the narrative may address the outcomes of other types of service within the three categories:

**Service to the Profession**, such as, but not limited to:

- service as a reviewer or editor of publications/proposals
- presentations and organizing panels and other events at national and international conferences
- moderating at conferences and professional meetings
- serving on the boards of professional societies
- evidence of impact on diverse communities, where applicable

**Service to the University**, such as, but not limited to:

- service on department, college or university-wide committees
- mentoring junior faculty, e.g., service on Launch@UML teams, or as part of college or departmental efforts
- fundraising or recruiting for the department or college
- service on professional boards or accreditation agencies as a representative of the University
- service on University-wide task forces
- service as an MSP officer or board member
- service as a faculty advisor to students including clubs, Living- Learning Communities, DifferenceMaker teams, etc.

The candidate should list both compensated and uncompensated service assignments, and delineate accordingly.

**Service to the Community**, such as, but not limited to:

- participation on community boards, activities developed outside regular curricula engaging communities in the work of the faculty member;
- serving as an expert on public panels or giving presentations to the public;
- significant outreach activities performed in a professional capacity, such as outreach to K-12 students and teachers, outreach to other community groups, or public outreach;

- engagement with diverse communities related to the faculty member's area of academic or professional expertise

Faculty seeking promotion to full professor should emphasize examples of distinguishing accomplishments, such as, but not limited to:

- national leadership roles in disciplinary or professional societies or journal editorships
- leadership roles on campus
- mentoring of junior faculty with respect to career development
- leadership in major, university-wide initiatives
- forging sustained, impactful partnerships with the community

### **UPLOAD INFORMATION FOR ALL CANDIDATES**

The two PDF files described above (the main portfolio and the supplemental materials) are uploaded into a UML P&T fileshare for secure distribution to authorized campus reviewers. Access to the fileshare for the candidate and all reviewers strictly follows the P&T calendar; late upload is not permissible.

In order to facilitate establishment of a candidate folder within the P&T fileshare, it is recommended that the candidate sends a notice of intent to apply for promotion and/or tenure via email to [PandT@uml.edu](mailto:PandT@uml.edu) by **Friday, August 30, 2019**. This email should include the candidate's name, department, current rank, and type of action sought (promotion, tenure, or promotion and tenure).

The final portfolio and supplemental materials must be uploaded electronically to the P&T fileshare by **Monday, September 16, 2019 at 11:59pm**. The candidate is advised to have the portfolio reviewed by mentors prior to uploading, as it may not be altered after this deadline.

### **ADDENDA & RESPONSES**

After September 16, 2019, the candidate may submit addenda to the portfolio that includes significant new updates to the materials in the portfolio. Addenda should be submitted by email to [PandT@uml.edu](mailto:PandT@uml.edu) with a copy to the department chair and dean. Only the candidate may submit addenda. Because they are not a formal part of the portfolio, these addenda will not trigger further review by levels completed prior to submission. The P&T Team will upload addenda to the Review Letters, Responses, Addenda folder on the P&T file share. Addenda are limited to:

- publications accepted after final submission of the candidate's portfolio
- funded grant notices/awards after final submission of the candidate's portfolio
- honors or awards received after final submission of the candidate's portfolio
- candidate responses to recommendation letters by various levels of review (in accordance with the promotion and tenure calendar)
- other extraordinary examples appropriate to the candidate's discipline

### **RESOURCES**

Additional information can be found at [www.uml.edu/PandT](http://www.uml.edu/PandT), including the promotion and tenure calendar, which provides the candidate and reviewing authorities with a timetable of due dates for the given academic year, and the addenda and templates referred to in this document.

Candidate questions about portfolio content should be addressed to the department chair.

Any questions about electronic portfolio creation or fileshare uploads may be directed to [PandT@uml.edu](mailto:PandT@uml.edu).

These guidelines were approved by the Provost in April 2019.