MASSACHUSETTS SOCIETY OF PROFESSORS

PROMOTION TO FULL PROFESSOR WORKSHOPS
SPRING 2020
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**2019-2020 PROMOTION TO FULL REVIEW TIMELINES**

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Campus academic administrative officials must make their recommendation or decision within 45 calendar days of receipt or the deadline for receipt (whichever is later) of:

- the basic file (including all relevant personnel committee recommendations) and,
- all additional information or clarifications subsequently requested by the academic administrative official from the department or college.

Unlike promotions associated with tenure which proceed from the campus to the President’s office and Board of Trustees, final decisions for promotion to full professor rest with the Provost.
Standards, Procedures & Rights of Faculty Members
Excerpts Relevant for Promotion to Full Professor taken from the MSP Collective Bargaining Agreement and the Academic Personnel Policy “Redbook”

STANDARDS
Section 4.1 Redbook & Article 12.1 MSP Contract
High professional standards must be the basis for all personnel decisions. Personnel recommendations and decisions shall be made only after a review of all of the qualifications and all the contributions of the individual in the areas of teaching; of research; creative or professional activity; and of service. All three areas must be considered, but the relative weight to be given to each may be determined in the light of the duties of the faculty member. Final decisions are made only after giving serious consideration to all the materials in the basic file as well as to the professional judgments of the Departmental Personnel Committee, which are and ought to be given great weight.

Section 4.6 (Redbook)
Recommendations for promotion shall be based on qualifications and contributions in the areas of teaching; of research, creative, or professional activity; and of service; and on the following considerations:

c) For promotion to Professor, the faculty member must have a record of achievement sufficient to have gained substantial recognition on and off campus from scholars or professionals in his or her field; and must show significant potential for continuing professional achievement.

PROCEDURES
Article 12.4 (MSP Contract)
In reviews for major personnel actions for faculty—reappointments through the tenure decision year, promotion to the ranks of associate professor and professor and the award of tenure—the procedures listed below shall be followed:

(a) Notice of a personnel review for reappointment or tenure shall be sent to the faculty member no later than the end of the third calendar week of the semester in which the review is to be initiated.

(b) As provided in Articles 24.4 and 24.5, a basic file shall be created for each major personnel action. This file shall be supplemented and reviewed at the departmental level and supplemented and reviewed at each successive level of recommendation or decision. The file shall contain the materials listed in Article 12.5.

(c) The faculty member shall submit to the department/program chairperson/head any and all materials for inclusion in the basic file that he/she believes will be essential to an adequate consideration of the case.

(d) For appointment at or promotion to the rank of associate professor and professor and for all tenure recommendations, the chair/head shall solicit outside letters of reference drawn from a list of scholars and/or professionals. The solicited referees shall include scholars and professionals from among those suggested by the faculty member (if he/she wishes to do so), but the list is not limited to those the faculty member suggests. Prior to this solicitation, the candidate shall be
provided with a copy of the solicitation letter and the list of proposed referees and shall be given an opportunity to comment on the appropriateness of both. External referees shall be provided with the candidate’s CV, personal statement(s), and any other materials that the candidate wishes to include.

(e) At any time subsequent to the recommendation of the department personnel committee, the materials in the basic file, with the exception of letters of recommendation to which the faculty member has voluntarily waived access, shall be accessible to the faculty member upon request.

What Happens at the Departmental Level -- Section 6.4 (Redbook)
e) At the departmental level, the faculty, ... initiates the personnel action by a recommendation of the departmental personnel committee based on the evidence set forth in the basic file. The Department Chairperson/Head reviews the department personnel committee recommendation and a) may endorse it; or b) after consultation, may formulate a contrary recommendation. In considerations of new appointments, reappointments through the tenure decision year, and the award of tenure, these recommendations shall contain written justifications on the basis of the relationships described in Section 4.2. When the recommendation does not accord with departmental long-range plans, reasons for such a departure shall be indicated.

What’s In the File When Forwarded from the Department Level
Article 12.5(a) -- MSP Contract
1) a table of contents
2) a current curriculum vitae (including a bibliography and/or comparable list of professional accomplishments)
3) copies and reviews of published works and/or evidence of other professional accomplishments
4) evaluations of teaching effectiveness, including but not limited to those of students
5) letters of reference solicited by the chairperson/head and a description of the professional standing of the writers of letters of reference from outside the University and a statement of any relationship the writer may have had to the faculty member
6) evaluations of service
7) the candidate’s five most recent Annual Faculty Report and Evaluation (AFR) forms, including any contemporaneous comments by Personnel Committees, academic administrators and any responses from the candidate; if the candidate has been employed too recently to have undergone five annual reviews, the file should contain the number of AFRs that have been prepared, if any.
8) any and all materials submitted by the candidate
9) the recommendation and the numerical vote at the departmental level
10) the recommendation of the chairperson/head.

Section 6.4 (Redbook)
A copy of the recommendation of the Department Chairperson/Head shall be sent to the Chairperson of the department personnel committee. Copies of the recommendation of the department personnel committee and of the Chairperson/Head shall be sent to the faculty member.
What’s Added to the File at Subsequent Levels -- Article 12.5(b) -- MSP Contract

1) the recommendation and numerical vote of the faculty, school or college personnel committee
2) the recommendation(s) and decision of academic administrative officials
3) other materials solicited, submitted or received during the review process, including, by way of example, additional materials submitted by the faculty member, additional letters of reference and/or additional information received in response to the invitations issued under Articles 12.12-12.13 (contrary recommendations). When material is added to the basic file, the departmental personnel committee (or other appropriate mechanism) and the chair/head shall have the opportunity to respond as to its substance and appropriateness; unless it is protected by waiver, the faculty member shall also have this opportunity.
4) A copy of the table of contents and the recommendation from the personnel committee shall be available to the faculty member when the basic file is forwarded to the department chair/head.
5) A copy of the updated table of contents and the recommendation from the department chair/head shall be available to the faculty member when the basic file is forwarded to the school or college personnel committee.
6) A copy of the updated table of contents and the recommendation of the school or college personnel committee shall be available to the faculty member and to the department when the basic file is forwarded to the dean.
7) A copy of the updated table of contents and the recommendation of the dean shall be available to the faculty member, the chair of the school or college personnel committee and the department when the basic file is forwarded to the provost or the chancellor.
8) A copy of the updated table of contents and the decision of the chancellor and/or the provost shall be available to the faculty member, the dean, the chair of the school or college personnel committee and the department at the time the decision is made.
9) A copy of the updated table of contents and the recommendation of the Chancellor and/or the Provost shall be available to the faculty member, the Dean, the Chair of the School or College Personnel Committee and the department when the Chancellor or the Provost forwards a recommendation for tenure to the President.
10) A copy of the updated table of contents and the decision of the President shall be available to the Chancellor and/or the Provost, the Dean, the Chair of the School or College Personnel Committee, the department and the faculty member when the President has made a decision in the case of a recommendation for tenure forwarded by the campus.

Contrary Recommendations
Article 12.13-12.15 – MSP Contract

- prior to making a recommendation that may be contrary to either of the recommendations forwarded from the departmental level, the school or college personnel committee shall consult in writing with the department. Any response to such consultation must be in writing and must be added to the file.

- prior to making a recommendation that may be contrary to either of the recommendations forwarded from the departmental level, the dean shall in writing invite the department to
provide additional information for the basic file or clarification of the recommendation. Any response to such invitation must be in writing and must be added to the file.

• Prior to making a recommendation or decision that may be contrary to either of the recommendations forwarded from the school or college level, the chancellor or provost shall in writing invite the dean to provide additional information for the basic file or clarification of the recommendation. Any response to such invitation must be in writing and must be added to the file.

• Prior to reversing the recommendation of the Chancellor and/or the Provost for tenure, the President shall in writing invite the Chancellor and/or Provost to provide additional information for the basic file or clarification of the recommendation. Any response to such invitation must be in writing and must be added to the file.

Decision Timeline
Article 12.17 – MSP Contract
A campus academic administrative official shall make his/her recommendation or decision within forty-five (45) calendar days of receipt or the deadline for receipt (whichever is later) of both the basic file, including all relevant personnel committee recommendations, and all additional information or clarifications subsequently requested by the academic administrative official from the department or college.

RIGHTS OF FACULTY MEMBERS IN PERSONNEL MATTERS – Section 5.1 (Redbook)
a) For personnel, reviews, recommendations and decisions, the right and the responsibility to present all materials which he or she believes will be essential to an adequate consideration of the case, and the opportunity to supplement the original presentation with additional relevant information in the event that a review indicates shortcomings in the presentation.

b) The right to have access to information on the current needs and long-range plans of the department, college or school, campus and University.

c) The right to have extra-departmental service contributions considered at the department level as well as at other levels of review, recommendation and decision.

d) The right to equitable treatment in personnel matters so as to ensure generally consistent recognition to departmental faculty members whose chosen field, overall professional development, period of service on the campus, and quality of contributions, all taken as a whole, are judged to be approximately equal.

e) The right to discuss his or her professional progress and any personnel matter of concern with his or her Department Chairperson/Head; and, if such discussions prove unsatisfactory, with the Dean; and, if still unsatisfied, with the Provost.

f) The right to be informed of the personnel recommendation made at the department, college or school, and campus level.

g) The right to discuss reasons for a negative personnel decision at all appropriate administrative levels as specified in Section 6.10.
FREQUENTLY ASKED QUESTIONS

Q: When do I have the right to ask to be considered for promotion to full professor?
A: Technically, anytime after tenure you think you are ready. Unlike promotion to associate professor, the timing for the move is flexible. Although some understand that the customary practice is to apply for consideration six years post tenure, there is no schedule that fits all and readiness is key.

Our current Provost writes on this topic in his annual letter: “It cannot be said too often or too emphatically that there is no minimum time between tenure and promotion to professor. We have approved promotions to professor as soon as a year or two after the award of tenure. If the case merits promotion, it should be brought forward without any consideration of an arbitrary timeline. In particular, the notion that promotion occurs no sooner than six years after tenure is entirely fictitious, with no basis in policy.”

Q: What are the standards and criteria for this review?
A: Standards and criteria can be found in the Academic Personnel Policy (aka “Redbook”) in Sections 4 and 6, specific language of which is included elsewhere in this packet. Basically they state that high standards must be the basis for all personnel reviews and that recommendations are to be made only after a full review of the candidate’s contributions in the three areas of teaching, research and service. They further state that all three areas must be considered but that the relevant weight to be given to each may be determined in light of the duties of the faculty member (please read the Provost’s recent memo on this, “Thoughts on Promotion to Professor” included in this packet). Specific to promotion to full, a faculty member must also show a “record of achievement sufficient to have gained substantial recognition on and off campus from scholars or professionals in his or her field; and must show significant potential for continuing professional achievement.”

Q: When should I have a conversation about coming up for promotion to full professor?
A: We suggest having conversations with your chair and trusted colleagues on a regular basis after you are tenured to check in on your progress. Find out what the standards are in your college and get elected to your PC during a year when you know a promotion case will be going forward. This allows you to see first-hand how your department evaluates a candidate for this promotion. Once you feel you are ready to come up, talk to your chair and ask others to look at your CV as well. Should you decide to go forward, you should talk about the process going forward, ideally in the spring semester prior to the review year.

Q: What if I don’t get the “green light” from my chair/colleagues but I still feel that I am ready to come up for promotion?
A: Come to MSP and talk with us about this! We have counseled many faculty members on this very topic. The advice you are receiving from your department may in fact be appropriate given your progress but the reality is sometimes a faculty member may not have support for reasons that have nothing to do with whether or not you are ready. It’s
important to talk with us when you feel this may be the case and to realize that you can move ahead with the review even if your department is urging you to wait.

Q: How is this review different from tenure?
A: The standards are different (see Section 4.6 of the Redbook) and there is no requirement that you show convincing evidence of excellence in at least two, and strength in the third, of the three areas of teaching, research and service. Furthermore, only tenure cases need to go to the Board of Trustees for approval. In promotion to full, the decision resides with the Provost. Finally and perhaps most important, this is not an up or out review. If you are not successful the first time you come up for promotion to full professor, you can be reviewed again.

Q: What do you do if you receive a recommendation letter that is negative or includes misinformation or items you disagree with?
A: The first thing you do is call (545-2206) or email (msp@umass.edu) MSP. We will be happy to look over any recommendation letter and talk with you about an appropriate response (if warranted). You do have the absolute right to respond to any recommendation letter or decision concerning your review and have it added to your file going forward. APWS builds in 5 days for you to upload a response should you wish to do so. MSP is happy to not only advise and help construct your response but we can also request that the process be delayed if necessary to allow time for your comments to be added before the next level begins its review.

Q: What other rights do I have with regard to this review?
A: In addition to the rights articulated in Section 5.1 of the Redbook, you also have the right to:
  - see a copy of the letter to be sent to outside reviewers BEFORE it goes out.
  - see the list of proposed referees so you have an opportunity to comment on the appropriateness of each person before a letter is solicited.
  - have access to all materials in your basic file (with the exception of letters you may have waived your right to see) upon request at any point following the DPC recommendation.
  - see and receive a copy of all materials added to your file when they are added so you have the opportunity to respond to its substance and appropriateness.
  - a decision from the Provost within 45 calendar days of receipt or the deadline for receipt (whichever is later) of both the basic file with all relevant recommendation letters and all additional information or clarifications requested.
WHAT MSP CAN DO FOR YOU

Attending a Workshop on the Promotion Process is a good way to get information and begin taking charge of your promotion. But there is a lot more that MSP Faculty Advocates and staff can do for you! Here are a few of the most commonly sought services:

1) Consult on any issue of timing for the promotion review.

2) Look over/suggest edits to personal statements before promotion packet submission.

3) Discuss the choice of external reviewers by both the candidate and the department.

4) Review the letter to external reviewers sent out by the department chair.

5) Read and evaluate promotion review letters at each stage and advise about appropriate responses (if any).

6) Seek and secure additional time in which to respond to any level of promotion review.

7) Help to construct and revise a response to any letter containing a negative recommendation or inaccurate information.

8) Offer information about past promotion cases in your department or college.

9) Troubleshoot and/or intervene (if necessary) when the promotion process is in question.

10) Talk to the chair, or to the administration, on the candidate’s behalf.

11) Seek and negotiate settlements when appropriate.

12) Provide a confidential sounding board and an objective perspective for any concerns regarding the promotion review process.
To: Deans, Directors, Department Heads and Chairs, Department and School/College Personnel Committee Chairs

From: John McCarthy, Provost and Senior Vice Chancellor for Academic Affairs

cc: Kumble Subbaswamy, Chancellor

Date: Spring 2019

Subject: Promotion and Tenure Recommendations for Tenure-Stream Faculty

Introduction

Annually, the Office of the Provost circulates information intended to reinforce the criteria and procedures mandated by the UMass-MSP Collective Bargaining Agreement (CBA) and by the Board of Trustees’ Academic Personnel Policy (the “Redbook”) for all recommendations of tenure and promotion. I continue that tradition with this memorandum.

Revision History:
- Changes introduced in my Fall 2017 memo are in sections 1, 4.1, 4.2, 4.4, 4.5A, and 4.5B.1. (They are not highlighted.)
- In 2018, I switched to Spring issuance of this memo, to coincide with the onset of the annual tenure cycle.
- Changes introduced in Spring 2018 are highlighted in yellow.
- Changes introduced in Spring 2019 (i.e., this version) are highlighted in blue.

The table of deadlines on the last page of this document is updated annually.

To my way of thinking, a tenure and/or promotion dossier consists of an assessment, argumentation for that assessment, and evidence in support of the argumentation. The assessment and argumentation are presented in the memoranda prepared at each level of review. The evidence consists of all the other material in the dossier – the CV, teaching assessments, reference letters, and so on. The argumentation in these memoranda is more effective to the extent that it is soundly reasoned and buttressed by strong evidence. Evidence that might seem to undermine the conclusions reached, such as a contradictory reference letter, should be confronted in the memoranda. When there is significant disagreement among members of the Department Personnel Committee (DPC) or College Personnel Committee (CPC), the opposing views should be presented for other levels of review to consider. This, then, is how I understand the following Redbook requirement:
In exercising its primary responsibility of peer review, the faculty has the obligation to present a clear, complete and convincing case for the recommendation so as to assure the faculty member of a complete presentation of his or her qualifications and achievements, and so as to provide the basis both for full reviews of the recommendation, and for the decision. [Section 3.1]

Tenure Standards & Criteria

The Redbook notes the special responsibility that the faculty and the university’s leadership bear for personnel decisions based on “high professional standards” (Section 4.1) and “clear and convincing evidence,” (Section 3.1):

High professional standards must be the basis for all personnel decisions. Personnel recommendations and decisions shall be made only after a review of all the qualifications and all the contributions of the individual in the areas of teaching; of research, creative or professional activity; and of service. All three areas must be considered, but the relative weight to be given to each may be determined in light of the duties of the faculty member. [Section 4.1]

The faculty has the obligation to present a clear, complete and convincing case for the recommendation so as to assure the faculty member of a complete presentation of his or her qualifications and achievements, and so as to provide the basis both for full reviews of the recommendation, and for the decision. [Section 3.1]

In applying these standards to the criteria for tenure, the Redbook describes in broad terms the importance of excellence:

The award of tenure can be made only by the President with the concurrence of the Board of Trustees. Consideration of a candidate for tenure shall be based on the following:

a) Convincing evidence of excellence in at least two, and strength in the third, of the areas of teaching; of research, creative or professional activity; and of 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. [Section 4.9]

The latter criterion is often overlooked in the presentation of tenure cases. It is important to consider it and address it at each level of review (e.g., by discussing evidence of work in progress).

The Redbook also requires that positive tenure recommendations relate the proposed award of tenure to the academic and strategic plans of the department, college, campus, and university and to the department’s affirmative action goals.

Most tenure cases also involve an assessment of suitability for promotion to Associate Professor. In these cases, Section 4.6(b) (cited below) also applies and should be addressed at each level of review.
Promotion Standards & Criteria

The standards for promotions are further defined in Section 4.6. In their evaluations, reviewers at all levels should explicitly cite these standards and criteria, and articulate whether and how the candidate’s record conforms to them:

a) For promotion to Associate Professor, the faculty member must have a record of achievement sufficient to have gained recognition on and off campus among scholars or professionals in his or her field; and must show promise of continuing professional development and achievement.

b) For promotion to Professor, the faculty member must have a record of achievement sufficient to have gained substantial recognition on and off campus from scholars or professionals in his or her field; and must show significant potential for continuing professional achievement. [Section 4.6]

Three Areas of Evaluation

The Redbook outlines three domains in which candidates for tenure and promotion must be assessed. In each domain, the assessment should refer directly to the evidence in the dossier and “high professional standards” to justify its conclusion.

For the award of tenure, the candidate must demonstrate excellence in two of these domains and at least strength in the third. For promotion to (full) Professor, assessment in all three domains is required, but there is no mandate to reach a conclusion about whether the record is excellent, strong, or not strong.

4.1 Research/Creative/Professional Activity

The assessment of a tenure candidate’s accomplishments in research/creative/professional activity should consider whether the candidate demonstrates high professional standards. These standards vary across disciplines. The judgment of disciplinary specialists at the department level is crucial in fleshing out these standards; so too are the views of college-level personnel committees and deans. The reference letters are also very important in this regard. It is essential, then, not only to review a candidate’s accomplishments, but to contextualize them in ways that enable subsequent levels of review to understand the criteria that are most important in the specific field of study. (Also see section 4.6 below on “cultural standards.”)

It is important to communicate these standards and expectations to faculty throughout the pre-tenure period. The AFR and reappointment processes provide opportunities to communicate this information in the context of a preliminary assessment, but they are not sufficient in themselves; departments and schools/colleges should see to it that pre-tenure faculty are receiving mentoring and guidance from the time they start work through the preparation of the tenure dossier. Although the Redbook’s tenure and promotion standards include an assessment of the candidate’s potential for further contributions (see section 4.4 below), the case for tenure and promotion
cannot be made exclusively or primarily on the basis of potential, because the Redbook mandates a review of “contributions” and “a record of achievement”.

Promotion to Associate Professor or Professor requires “recognition on and off campus from scholars or professionals in his or her field”; for promotion to Professor, this recognition must be “substantial”. The reference letters are, of course, an important component of the evidence for assessing whether this recognition has been achieved. Other sources of evidence may include book reviews, awards, citations of published work, publications in high-ranking journals or with well-regarded presses, fellowships, grants, and so on. As in the assessment of research/creative/professional activity, the departmental and college levels of review should contextualize the assessment of “recognition on and off campus”.

Letters from respected scholars, scientists, or other professionals are essential to the assessment of candidates for tenure and/or promotion. Letters that provide mere summaries of the record are significantly less useful than those that provide and explain the reviewer’s assessment of the candidate’s work. Therefore, in soliciting letters, department chairs/heads should draw attention to the evaluative nature of the review so that reviewers understand what the University is asking of them. The Provost’s Office Academic Personnel website offers two templates for soliciting external reviews at http://www.umass.edu/provost/faculty-staff-resources/personnel-information.

The Redbook’s Section 6.4 requires that the file contain descriptions of the “standing” of external reviewers so that internal reviewers, particularly those outside the department, can understand the weight that should be accorded to their assessment. Indicators of standing include the reviewer’s rank, the reviewer’s accomplishments and recognition in the discipline, and the stature of the department or institution at which the reviewer is employed. A reviewer’s positive assessment is more compelling if the reviewer is at arm’s length from the candidate. An arm’s-length reviewer is one who is not the candidate’s personal friend, doctoral or post-doctoral advisor, or recent collaborator. (Recent collaboration on work that involves a large number of collaborators, such as happens in some branches of physics or astronomy, does not place a reviewer at less than arm’s length.)

Departments sometimes ask whether it is permissible to depart from the template solicitation letter provided in APWS and on the Provost’s website. We strongly recommend use of the template letter for consistency across the campus and to ensure compliance with the Redbook and CBA. Moreover, the candidate has the right to review the solicitation letter and comment as to its “appropriateness.” The CBA provides in Article 12.4.4 that “Prior to the solicitation, the candidate shall be provided with a copy of the solicitation letter and the list of the proposed referees and shall be given an opportunity to comment on the appropriateness of both.” The template solicitation letter has been vetted and is, therefore, presumptively appropriate.

Neither the Redbook nor the CBA specifies a particular number of letters that must be collected. If the number of letters from high-standing, arm’s-length reviewers is small, however, it may be harder to make the case for a specific assessment of the candidate’s work. This is particularly true when one of a small number of letters disagrees with the others, or if a letter is too cursory to be useful. Departments have been asked to establish an external-letter minimum in their by-laws. Many of the departments have done so. If they have not, the number of external letters to be
solicited is ultimately determined by the Chair in consultation with the candidate, guided by disciplinary and school/college expectations. As a suggestion (but not an iron-clad rule), it has been my experience that most cases can be evaluated thoroughly with around 6 arm's-length letters. The September 2015 guidance requiring more letters than that has long since been rescinded; nonetheless, we continue to receive cases with large numbers of external letters (10, 12, or even more). This is unnecessary; it significantly inconveniences your colleagues in the discipline and does not usually add much information about the case.

The campus currently has a subscription to Academic Analytics, a compiler of data on faculty research activity. When used with care, this tool can be helpful in doing planning, analysis, and assessment at the level of programs, departments, centers or institutes, and larger units. It can also be helpful to individual faculty members in identifying funding sources, publication venues, or potential collaborators, and it can suggest candidates for honorific awards. It is a very crude instrument for evaluating individuals, however -- far cruder than the detailed information that we routinely incorporate into our academic personnel actions. Indeed, the Academic Analytics company itself advises against the use of this tool in assessing individual faculty. For these reasons, Academic Analytics data should not be considered by internal evaluators (DPC, head/chair, SPC/CPC, Dean, Provost/Chancellor) in academic personnel actions.

4.2 Teaching

In considering whether a candidate has met the Redbook’s high professional standards for teaching, faculty should be considered within the totality of their contributions to the instructional mission. This is in accordance with the CBA, which specifies that the basic file contain “evaluations of teaching effectiveness, including but not limited to those of students” [emphasis added]. Achieving such a comprehensive assessment typically involves multiple sources of evidence, not just the student perspective, including:

- Evidence of teaching effectiveness not only in the formal classroom setting but also in less formal student interactions.
- Commentary on the range of courses taught and their importance to the curriculum. This perspective may include not only the departmental level but also the school/college level (for interdepartmental requirements) and the campus level (for general education requirements).
- Evaluation of the currency of course content as revealed in course syllabi.
- Evaluations from students, including SRTI scores, SRTI open-ended comments, and letters; evaluations from peers, including observations of the candidate’s teaching; evaluations of the effectiveness of pedagogical innovations or improvements.

Beyond the classroom, reviewers should include assessments of the candidate’s role, if any, in such areas as:

- Academic advising (unless this falls in the service category).
- Creation of open educational resources
- Mentoring of undergraduates and directing of undergraduate research, including honors theses.
- Activity in graduate education beyond the classroom, including advising doctoral or master's students, chairing or serving as a member of dissertation or thesis committees, mentoring, etc.
- Supervision of students engaged in independent study.
- Service learning and other forms of community engagement.
- The development of curricular materials, including those intended for alternative formats, such as distance learning.
- Innovative instructional efforts, such as creation or adaptation of courses for TBL classrooms or introduction of instructional technology. Introducing novel teaching methods may lead to a decline in SRTI scores. Faculty members should not be penalized for adopting innovative pedagogy that may lead to superior learning outcomes. DPCs, heads/chairs, CPCs, and Deans should be aware of this, as am I.
- Curricular revision to better align curricula with departmental, school/college, and campus priorities.

Because the contributions of junior faculty to education beyond the classroom are sometimes unofficial, particularly in the area of graduate education, department-level reviewers should take note of any contributions that might not otherwise be apparent from the written record. Contributions to a more diverse, equitable, and inclusive educational experience should be noted in the assessment of teaching, and may also be relevant to the assessment of service.

Assessment of teaching based solely on numerical SRTI scores is not recommended by the Office of Academic Planning and Assessment (OAPA), which administers the SRTI. SRTI resources can be found here; questions about the interpretation of SRTI can be directed to Associate Provost Martha Stassen at mstassen@acad.umass.edu.

Although not required, a teaching portfolio may be a useful way to connect teaching activity with the candidate's personal statement.

4.3 Service

The Redbook's "high professional standard" for service may mean different things at different levels of seniority. For assistant professors, service on editorial boards or in national or international scholarly societies not only contributes to the field but helps to forge professional relationships and establish a professional profile beyond the University. Service contributions within the department or university, while still important, might well be fewer than those of more senior colleagues. Senior faculty might engage in a balance of professional and local service activities, taking on more advanced leadership roles on the campus.

Certain types of service receive special mention in the CBA and the Redbook. For example, the CBA requires that service to the faculty union be considered, and the Redbook requires that service outside the department be considered at the department level. Service may include contributions to governance or management (of the department, college/school, university or profession); outreach to extend knowledge beyond the university or professional community; and community engagement that benefits both the university and off-campus communities. Some faculty members
have special service obligations recorded in a Memorandum of Understanding at the time of appointment; these should be recognized and assessed in accordance with the terms of the MOU.

4.4 Continuing Professional Development

The Redbook’s tenure standard requires “reasonable assurance of continuing development and achievement leading to further contributions to the University.” The promotion standards require “promise of continuing professional development and achievement” (Associate Professor) or “significant potential for continuing professional achievement” (Professor). These mandated assessments should not be overlooked at the departmental and college levels of review. Generally, evidence of potential consists of work in progress or under submission, which the dossier might include in the CV or the candidate’s personal statement, as well as assessments by external reviewers.

4.5 Special Considerations for Promotion to Professor

It is a good practice for DPCs and heads/heads to informally review all associate professors annually for their readiness for promotion to (full) professor, starting in, say, the fourth year after the award of tenure (and certainly no later than the first post-tenure PMYR). This review may lead to a decision, in consultation with the candidate, to proceed with the promotion case. If not, it provides an opportunity to mentor the candidate about the path toward promotion. In any case, it should not be necessary for a faculty member who is ready for promotion to have to request it.

Notwithstanding the results of this informal review, any associate professor has the right to be reviewed for promotion to full at their discretion.

It cannot be said too often or too emphatically that there is no minimum time between tenure and promotion to professor. We have approved promotions to professor as soon as a year or two after the award of tenure. If the case merits promotion, it should be brought forward without any consideration of an arbitrary timeline. In particular, the notion that promotion occurs no sooner than six years after tenure is entirely fictitious, with no basis in policy. See appendix A: Thoughts about promotion to Professor.

4.6 A Note on “Cultural Standards”

Recognizing the breadth of promotion and tenure standards articulated by the CBA and the Redbook, some departments have developed documents that express the “cultural standards” of their disciplines. These documents are valuable expressions of the expectations of professional communities, but they must not be used to formally evaluate a candidate’s research, teaching, and service since they have not been bargained with the faculty union. Accordingly, departmental reviewers must not rely on or refer to such documents in making their recommendations, and department chairs/heads must not send these documents to external reviewers.

Tenure & Promotion Process

The process of advancing a candidate’s file through levels of review is similar for all tenure and promotion cases with these variations: For promotion to the rank of Associate Professor
accompanying a recommendation for the award of tenure, positive cases proceed through review at the level of Provost and Chancellor followed by President and Trustees. For all other promotions, including promotion to full professor, the process concludes with the decision of the Provost and Chancellor. (Nominations for promotion to "Distinguished Professor" and for appointment to named chairs follow a different process and must be reviewed by the Board of Trustees.)

The Redbook (Section 6.4) and the CBA (Articles 11 and 12) detail the timelines and steps for recommendation of tenure and promotion, and the current Master Calendar offers specific deadlines for the advancement of files through the process.

A. **Beginning the process.** Department heads/chairs must provide the candidate with notice of the impending review by the end of the third calendar week of the term prior to the semester in which the tenure decision by the Board of Trustees is scheduled. For faculty members for whom 2019-20 constitutes the tenure decision year, September 21, 2019, is the deadline, but we encourage earlier notification.

- Requests to advance the tenure decision year (TDY) are initiated by the faculty member and reviewed by the DPC, head/chair, dean, and the Provost/Chancellor. (They are not reviewed by the CPC.) The case should not be initiated in APWS and outside letters should not be solicited until the change of TDY has been approved at all levels. Problems have sometimes arisen when one of the levels of review feels that the candidate is unready and the tenure case has been launched prematurely. Those issues should be sorted out before the case proceeds to the collection of external letters.
  
The need for these approvals should not be interpreted as discouraging requests to advance the tenure year, when it is appropriate to do so. Cases should not be discouraged simply because they seem "early" in comparison with our usual practices.

- Delays in the TDY are granted automatically under some circumstances. Under other circumstances, the request for a delay requires recommendations of the department personnel committee and head/chair; review and recommendation by appropriate administrative officials, typically the Dean and Provost; and approval by the Chancellor. If approved, the re-designated tenure decision year is set forth in a written agreement between the individual and the Chancellor.

B. **Compiling the file.** The "basic file" for each promotion and/or tenure recommendation, compiled by the department head/chair, should contain:

1. All materials submitted by the candidate that he or she believes will be essential to an adequate consideration of the case. (Departments are strongly urged to provide candidates with guidance and assistance in assembling and organizing these materials, to present the case in the most compelling fashion possible.)

2. Letters from outside reviewers as described in C below; a description of the professional standing of each reviewer and of his or her relationship with the candidate; and an indication of the source for each name (candidate or department chair)
3. Tables of contents, as described in F. below. (Note that in the new eRPT workflow system, the table of contents will be generated automatically.)

4. The candidate’s curriculum vitae, including a bibliography or comparable list of professional accomplishments.

5. Copies or reviews of the candidate’s published works or evidence of other professional accomplishments, or the indication of a site where these works can be easily obtained.

6. Evaluations of the candidate’s teaching effectiveness, including but not limited to those of students.

7. Evaluations of the candidate’s service and outreach activities.

8. Recommendations of committees and administrators, as described in D. below.

Each successive level of recommendation or decision must review and, if necessary, supplement the basic file. Throughout the review process, the candidate retains the right of access to all parts of the basic file except for those letters to which he or she has voluntarily waived access, as described in C. below.

C. Soliciting External & Internal Letters. (Also see section 4.1 above.) For tenure recommendations and for promotions to Associate Professor or Professor, the department head/chair (not the DPC) should solicit evaluations of the candidate’s accomplishments from external scholars and/or professionals of high stature in the specific field and in the discipline as a whole.

The CBA requires that the department head/chair solicit evaluations from “scholars and professionals from among those suggested by the faculty member (if they wish to do so), but the list is not limited to those the faculty member suggests.”

The candidate has the right to suggest external reviewers and to comment on any others the head/chair intends to solicit, but the candidate does not have the right to veto any on that list. The head/chair must also show the candidate the intended solicitation letter before sending it. The head/chair should carefully consider any arguments the candidate makes for why a proposed reviewer is inappropriate or has a conflict of interest or why the solicitation should be revised. Even candidates who have waived the right to read external and/or internal letters will know who provided letters.

With some exceptions, most solicitations of external evaluations for candidates under review in 2018-2019 were solicited over the summer of 2018. The Provost's Office Academic Personnel website offers two templates for soliciting external reviews at http://www.umass.edu/provost/faculty-staff-resources/personnel-information.

D. Recommendations - Typically, the process moves through the following stages.

DPC: The department personnel committee reviews the basic file, may supplement the file with relevant information, and writes a recommendation, which includes the committee's numerical vote on the overall recommendation. In tenure cases (but not for promotion) the committee should rate the candidate as “Excellent,” “Strong,” or “Not Strong” for each of the three areas of evaluation (research/creative/professional activity, teaching, service). Although individual votes on each category of performance are not required, they are
encouraged in tenure cases (but not for cases involving only promotion) as they offer a helpful indicator of how united the DPC is in its assessments. Accordingly, if individual votes are taken, they should be recorded and forwarded to the head/chair as part of the contents of the file. Recommendations in cases for promotion only, without an award of tenure, should not include votes on each category of performance.

Recommendations from departmental committees should report not only the vote but the reasoning behind it from both those in favor and those against. Even unanimous votes should be supported in this way.

The DPC should also address the Red Book’s Section 4.2, which requires consideration of program plans, flexibility by rank and tenure distribution, and affirmative action. The “4.2 Statement” should be made in a separate file for uploading to APWS. All other areas of review of the file will subsequently respond to this statement, either endorsing or expressing alternative assessments of the three areas. If the custom in the department is for the department head/chair to compose the “4.2 Statement,” the head/chair may provide the file to the personnel committee to upload; in that case, the committee may upload a separate endorsement or alternative assessment.

The committee uploads its recommendation to APWS in the form of a memo to the file, including overall vote. If votes on each element of the tenure file (research/teaching/service) are taken, those votes must become part of the file. (APWS updates the table of contents and will automatically notify the candidate of the additions to the file; they will have access to those additions once the new materials have been reviewed to ensure the confidentiality guaranteed to reviewers has not been compromised.)

The candidate may choose to respond to the committee’s recommendation and to any materials added by the committee; such a response becomes part of the basic file and is forwarded with the file to subsequent levels of review. If the candidate chooses to respond to the DPC’s recommendation and the DPC wants to offer a rejoinder, the DPC’s response should wait until the case has advanced to the college level of review. This limitation is necessary to avoid excessively delaying the case at the department level.

Department head/chair: The department head/chair evaluates the expanded file, including the DPC’s recommendation and the candidate’s written response to the DPC recommendation (if any). This is intended to be an independent assessment that needs to be supported by the head/chair’s own analysis of the materials in the file covering research, teaching and service, as well as the external and internal letters of evaluation.

The head/chair may supplement the file with relevant information; must upload their written recommendation in the form of a memo to the file; and must respond to the previously uploaded “4.2 Statement.” (APWS updates the table of contents and will

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1 If the candidate has waived access to the letters submitted by external evaluators, DPCs, heads/chairs, and other internal evaluators should take care that no external evaluator is identified, directly or indirectly, in their evaluations. References to such evaluators should avoid characterizations of them that hint at identity. For example, avoid references such as “a prominent researcher at a Midwestern university” and “the editor of a top journal in the discipline.” Instead, use “Reviewer #1” and “Reviewer #2” but do not align the numbering with the list provided to the candidate.
automatically notify the candidate and the DPC of the additions to the file; they will have access to those additions once the new materials have been reviewed to ensure the confidentiality guaranteed to reviewers has not been compromised.) Again, the candidate may respond to the head/chair's recommendation and to any materials added by the head/chair by uploading a response to APWS where it will be visible to all subsequent levels of review.

If the candidate chooses to respond to the head/chair's recommendation and the head/chair wants to offer a rejoinder, the head/chair's response should wait until the case has advanced to the college level of review. This limitation is necessary to avoid excessively delaying the case at the department level.

**SPC/CPC:** The school/college personnel committee evaluates the expanded file, including previous reviewers' recommendations and any responses by the candidate; may supplement the file with relevant information; uploads its recommendation to APWS, including overall vote. Here too, if votes on each element of the tenure file (research/teaching/service) are taken, those votes must become part of the file sent to the Dean and on to the Provost.

As an independent evaluation, recommendations from college committees should report not only the results of the vote but the reasoning behind it from both those in favor and those against. Even unanimous votes must be supported in this way.

The SPC/CPC uploads its recommendation to APWS and must respond to the previously uploaded "4.2 Statement." (APWS will update the table of contents and will automatically notify the candidate, the DPC, and the department head/chair of the additions to the file; they will have access to those additions once the new materials have been reviewed to ensure that the confidentiality guaranteed to reviewers has not been compromised.) The candidate may respond to the SPC/CPC's recommendation and to any materials added by the SPC/CPC by uploading the response to APWS where it will be visible to all subsequent levels of review.

If the candidate chooses to respond to the SPC/CPC's recommendation and the SPC/CPC's wants to offer a rejoinder, the SPC/CPC's response should wait until the case has advanced to the dean's level of review. This limitation is necessary to avoid excessively delaying the case.

**Dean:** The dean provides an independent review of the expanded file, including previous reviewers' recommendations and any responses by the candidate. Deans should also discuss how the candidate fits programmatically into the College/School and describe the contributions of the field (and the department) to the educational and research mission of the unit. She/he may supplement the file with relevant information; adds their written recommendation; and must respond to the previously uploaded "4.2 Statement." (APWS will update the table of contents and will automatically notify all prior levels of review of the additions to the file; they will have access to those additions once the new materials have been reviewed to ensure that the confidentiality guaranteed to reviewers has not been compromised.)
The candidate may respond to the Dean’s recommendation and to any materials added by the Dean by uploading the response to APWS where it will be visible to all subsequent levels of review.

If the candidate chooses to respond to the dean’s recommendation and the dean wants to offer a rejoinder, the dean’s response should wait until the case has advanced to the provost’s level of review. This limitation is necessary to avoid excessively delaying the case.

**Candidate’s right to add materials:** The candidate may supplement the file with new, relevant material at any stage in this process by uploading files to the Post-Submission Materials section of the file in APWS.

**Rights of response:** When materials are added to the file by the candidate or by other reviewers after the file has reached the college level, the DPC and the head/chair have the right to respond in writing to the new materials, but they should submit their responses in a timely fashion – ideally within one week – so that the review process is not delayed. Such responses become part of the expanded file and must be considered by subsequent reviewers.

E. Contrary Recommendations. The Redbook requires that a head/chair consult with the DPC before recommending differently from the DPC. Similarly, in accordance with the Redbook, the SPC/CPC “shall consult with the department” before making a recommendation contrary to that of either the DPC or the department head/chair. Likewise, the Dean, before making such a contrary recommendation, must “invite the department to provide additional information for the basic file or clarification of the recommendation in question.” Similarly, the Redbook requires that the Provost “shall invite the Dean to provide additional information for the basic file or clarification of the recommendation” before making a recommendation contrary to that of either the SPC/CPC or the Dean. These queries should be CC-ed to all prior levels of review and to the candidate; they too have a right to respond. All such requests and all information received in response must be added to the expanded file. The recommendations and decisions of academic administrators may run counter to the recommendation of a DPC only in exceptional circumstances and with compelling reasons that are fully explicated. A contrary recommendation must be explained against the backdrop of the Redbook’s standards and criteria and the content of the department personnel committee’s recommendation.

F. **Table of Contents.** Every addition to the file requires an updating of the file’s table of contents. In the Academic Personnel Workflow System, the table of contents is automatically generated, and users of the system no longer need to compile the table as a separate document.

G. **Forms.** In the past with physical promotion and tenure dossiers, departments attached file checklists, tenure summaries, and personnel action forms. Now that the dossier is in APWS, checklists are no longer required. It is helpful if departments complete the summary page because it is not automatically completed by APWS.
H. **File Uploads and Downloads.** APWS now supports the download of entire files in the eRPT module as bookmarked PDFs. (Follow the green "Print / Download" link at the upper left corner of the browser window.) Files that have been uploaded in a format other than PDF will not be captured in these consolidated files but will still be available through each file's main screen. We ask that all document files be uploaded in PDF format.

I. **Timelines.** Faculty members to be reviewed during the 2019-2020 academic year are those whose tenure decision year occurs in the second semester of AY2019-2020 or the first semester of AY2020-2021. We must submit tenure cases to the President's Office six weeks prior to meetings of the Trustees' Committee on Academic and Student Affairs. A recommendation from this committee is then forwarded to the Board of Trustees. The Trustees meet four times each year, usually September, December, April, and June.

Recommendations in tenure and promotion cases are due as follows:

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<th>Personnel Action</th>
<th>Tenure-decision Year</th>
<th>File Due to Dean</th>
<th>File Due to Provost</th>
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<td>Promotion only</td>
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If you have questions about the procedural aspects of the promotion and tenure process, please contact Associate Provost Michael Eagen at meagen@umass.edu or 545-6221.

The University of Massachusetts—from the campus to the Trustees—has expressed its commitment to high-quality scholarship, teaching, and service. Chancellor Subbaswamy and I welcome your comments on ways in which we can improve the process and we thank you in advance for all of the hard work you contribute in the course of executing this critical responsibility. The thoughtful evaluations you provide strengthen the university for many decades to come.

cc: College Personnel Officers  
    Michael Eagen  
    Ann Williams
Appendix: Thoughts about promotion to Professor

From: On Behalf Of Office of the Provost
Sent: Thursday, December 20, 2018 2:22 PM
To: academic-ddd@provost.umass.edu
Subject: Thoughts about promotion to Professor

Dear Colleagues,

I am writing to share some thoughts on the criteria for promotion to (full) professor. I ask you to consider a somewhat more expansive view of the accomplishments that would quality an individual for elevation to this rank.

Candidates for promotion to professor are required to demonstrate “a record of achievement sufficient to have gained substantial recognition on and off campus from scholars or professionals” and “significant potential for continuing professional achievement” (Redbook). They are evaluated in all three areas of research/creative activity, teaching, and service. Generally, personnel committees and the administrative levels of review have placed the greatest emphasis on the first of these areas. At an R1 university like ours, it is appropriate to focus on accomplishments in research/creative activity in assessing the records of candidate for promotion to our highest academic rank.

While an exceptional record of accomplishments in research/creative activity is and should be the norm for promotion to professor on our campus, the Redbook language is somewhat more flexible:

Article 4, Section 4.1 High professional standards must be the basis for all personnel decisions. Personnel recommendations and decisions shall be made only after a review of all of the qualifications and all the contributions of the individual in the areas of teaching; of research; creative or professional activity; and of service. All three areas must be considered, but the relative weight to be given to each may be determined in the light of the duties of the faculty member. [Emphasis added.]

As we all know, the Redbook language on tenure is much more specific, requiring demonstrated excellence in at least two of the three areas, and at least strength in the third. But the notion of “relative weight ... determined in the light of the duties of the faculty member” is potentially applicable to promotion to professor.

Consider the case of a faculty member who has maintained a modest level of activity in research/creative activity but has excelled in teaching or service. This individual may be making significant contributions to the scholarship of teaching and learning in the discipline or obtaining significant external funding to support teaching or diversity initiatives, or creating and launching new degree programs, or exercising major leadership at the department, school/college, or campus level in an administrative, MSP, or Senate role. In assessing these contributions, we should apply the same criteria as we do with faculty whose research records are the primary justification for promotion: it must be of a quality and extent “sufficient to have gained substantial recognition on and off campus from scholars or professionals”, and it must be sustained over a long period sufficient to demonstrate “significant potential for continuing professional achievement”. It seems to me that the Redbook’s flexibility in assigning weight allows for these possibilities.
We will discuss this topic further with heads/chairs and school/college leadership at the Academic Affairs Leadership Mini-Retreat on January 15. Meanwhile, feel free to ask questions or share your thoughts.

John McCarthy  
Provost and Senior Vice Chancellor Academic Affairs  
Distinguished Professor