

UNIVERSITY OF MASSACHUSETTS

BOSTON CAMPUS

IMPLEMENTATION GUIDELINES

T76-081

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## I. CLARIFICATION OF POLICIES IN T76-081

### A. Appointment of Department Chairperson

Each college shall develop procedures concerning the appointment of department chairpersons or acting department chairpersons. Such procedures shall cover vacancy of the chair for any reason. All such procedures shall require:

1. direct participation by the departmental faculty in the appointment process either through (a) vote, (b) consultation, and/or (c) concurrence;
2. appointment of the chairperson by the Dean; and
3. concurrence in the appointment by the Vice Chancellor for Academic Affairs

Should the Vice Chancellor not concur when the Dean forwards the appropriate "Notification of Personnel Action" form, the Vice Chancellor shall, after consultation with the Dean, so inform the Dean, in writing, expressing in detail the reasons for non-concurrence. Collegiate appointments shall be denied only in rare instances. In so informing the Dean, the Vice Chancellor shall return the unsigned "Notification of Personnel Action" form.

Once the Vice Chancellor has concurred, the Dean shall notify the nominee of the appointment, in writing. A copy of this letter shall be forward to the appropriate departmental governance unit.

### B. Departmental and Collegiate Personnel Decision Agencies

#### 1. Department Personnel Committee

Each academic department or similar academic unit (hereinafter called the "department") shall establish a personnel and/or tenure committee or other appropriate agency for making personnel recommendations (hereinafter called the "personnel committee"), the composition and procedures of which shall be determined in the department charter, constitution, or by-laws approved by the college Dean and consistent with (a) the principles set forth in Personnel Policy Document T76-081, (b) collegiate policies and (c) the affirmative action principles of the University. The action of the personnel committee shall constitute the process by which the faculty of the department exercises its primary responsibility for making and forwarding recommendations concerning, but not limited to, appointment, reappointment, promotion to senior ranks, and award of tenure of its faculty. In accordance with the principles set forth in T76-081, sect. 3.4, each personnel committee shall take into account the views of students in making personnel recommendations. Participation in making a department committee recommendation shall not contravene the conflict of interest principles set forth in T76-081, sect. 6.6, or any appropriate collegiate policies regarding participation.

(Reference: T76-081, sects. 1.5; 1.7; 2.1; 2.4; 3.1; 3.4; 3.5; 5.1; 6.4; especially 6.4e; 6.5; and 6.6).

#### 2. Ad Hoc Department Personnel Committee

When department personnel recommendations cannot be made in accordance with departmental and/or collegiate policy, or the University's requirement that personnel reviews be full, fair, and impartial, the Dean shall, in accordance with collegiate policy, appoint an Ad Hoc Committee to initiate such recommendations.

3. College Personnel Committee

In accordance with the procedures established in the approved collegiate by-laws, charter, or constitution, the governing body of each college shall establish and, subject to the approval of the Dean, shall determine the size, method of composition, structure, specific charge and procedures for the college personnel committee. This committee shall be a committee of the faculty of the college, and consistent with collegiate policies and with the principles set forth in Personnel Policy Document T76-081, shall make recommendations concerning departmental reviews and recommendations for reappointments to a sixth probationary year contract, all departmental recommendations concerning promotion to the senior rank, all departmental recommendations for the award of tenure, and any other issues of faculty status which may be submitted to it. In arriving at its recommendations, the college committee shall consider all documents forwarded by a department as part of a basic recommendation file, and all other appropriate documents concerning a recommendation which may be received by the department, the Dean, or the committee prior to the date of the committee's decision. Should the committee require additional information, it may request such information from, and/or consult with, the chairperson of the recommending department. Additionally, prior to a college committee recommendation that may be contrary to the recommendation of the department personnel committee, the chairperson of the college committee shall consult with the chairperson of the recommending departmental personnel committee. The department must be provided access to all information and documents added to the basic file. In accordance with T76-081, sect. 3.4, the college committee shall consider information regarding the views of students. All members of the committee must observe the conflict of interest principles set forth in T76-081, sect. 6.6, and in any relevant collegiate policy documents.

(Reference: T76-081. sects. 1.7; 2.1; 2.4; 3.1; 3.4; 3.6; especially 3.6c; 5.1; 6.4; especially 6.4e; 6.5; and 6.6).

C. Probationary Period

As set forth in T76-081, the probationary period shall include no more than the first six (6) years of full-time appointment to the faculty of the University of Massachusetts at the rank of Assistant Professor or above, with the following possible adjustments:

- a) credit toward tenure (credited as probationary years served) may be granted by the Delegated Appointing Authority at the time of initial appointment (6.2a);
- b) faculty members appointed full-time to one of the special academic ranks may, upon appointment to one of the regular academic ranks and at the discretion of the Delegated Appointing Authority, have up to three (3) years of previous service (within or external to the University) credited toward tenure (4.11e);
- c) the length of the probationary period may be prolonged through one or more of the provisions set forth in 6.2c

During the sixth (6th) probationary year, a tenure decision will be made. If this decision is:

- a) positive, tenure shall be effective on September 1 of the academic year following the tenure decision year;
- b) negative, the faculty member shall be granted a one-year (terminal) contract extension. This contract will be effective on September 1 of the year following the tenure decision year and will expire on August 31 of the following year. This terminal year may be spent in full-time service or in part-time service.

In referring to the above principles, it is helpful to refer to the "tenure clock" which runs for six (6) years of full-time service (without credit toward tenure). This "tenure clock" can be stopped only for reasons set forth in T76-081, 6.2e and f, as approved by the Delegated Appointing Authority. The "tenure clock" will cease functioning at the end of the sixth (6th) full-time probationary year at which time a tenure decision will have been made and announced.

If the tenure decision is negative, an "expiration clock" will be set following completion of the tenure decision year. The "expiration clock" will run for a 12-month period (September 1 through August 31 of the year following the tenure decision year). Contary to the "tenure clock", the "expiration clock" may not be stopped for any reason. It will run for one 12-month period at the end of which the contract of the faculty member will terminate (regardless whether this terminal year has been spent full-time or at part-time).

## II. PERSONNEL DOSSIER (BASIC FILE) CONTENTS

### A. Appointment to the Faculty

#### 1. Regular Academic Appointment (without tenure)

##### a. Instructor

- i. If required by Delegated Appointing Authority (DAA), a letter of recommendation for appointment from the department chairperson, or designate, to the college dean justifying the appointment in terms of considerations set forth in T76-081, 4.2 and 4.4,a;
- ii. At least three (3) letters of reference, at least two (2) of which shall be from sources external to the University of Massachusetts at Boston;
- iii. Transcript of record from institution granting most recent academic degree and, if applicable, transcript of record-to-date of progress toward completion of terminal degree;
- iv. Current curriculum vitae, including list of publications with full reference citations;
- v. Approved Affirmative Action Hiring Report;
- vi. Notifications of Personnel Action: "Appointment" and "Approved" Offer and Acceptance Form";
- vii. Proof of negative tuberculin test;
- viii. Proof of date of birth (birth or baptismal certificate or passport).

##### b. Assistant Professor

- i. If required by DAA, a letter of recommendation for appointment from the department chairperson, or designate, to the college dean justifying the appointment in terms of considerations set forth in T76-081, 4.2 and 4.4,b;
- ii. For candidates being appointed to the rank of Assistant Professor rank on the basis of equivalent professional experience, and if required by DAA, statement of professional equivalency in lieu of terminal degree;
- iii. If rank is contingent upon completion of requirements toward receipt of terminal degree, the following statement should appear on or be referenced on ("Other Commitments and Contingencies") and attached to "Approved Offer and Acceptance Form",

If requirements for \_\_\_\_ (degree) are not completed by the date of appointment, this appointment shall be at

b. Assistant Professor (cont.)

the rank of Instructor and the terms of the appointment shall be governed by appropriate sections of Academic Personnel Policy Document T76-081, specifically 6.1a and 6.2c. Renewal of contract, the award and timing of promotion following completion of degree requirements and the amount of promotional salary increase, the establishment of Tenure Decision Year shall be governed by the University policy and established procedure in existence at that time;

- iv. Transcript of record from institution granting terminal degree, if any;
- v. At least three (3) letters of reference, at least two (2) of which shall be from sources external to the University of Massachusetts at Boston;
- vi. Current curriculum vitae, including list of publications with full reference citations;
- vii. Approved Affirmative Action Hiring Report;
- viii. Notifications of Personnel Action: "Appointment" and "Approved Offer and Acceptance Form";
- ix. Proof of negative tuberculin test;
- x. Proof of date of birth (birth or baptismal certificate or passport).

c. Associate Professor

- i. Letter of recommendation for appointment from department chairperson, or designate, to the DAA and intervening administrators justifying the appointment in terms of considerations set forth in T76-081, 4.2 and 4.4,c;
- ii. Statement from department chairperson concerning, as applicable, award of credit toward tenure, lack of award of credit toward tenure and reasons for not recommending appointment at tenure;
- iii. For candidates being appointed to the Associate Professor rank on the basis of equivalent professional experience, statement of professional equivalency in lieu of terminal degree and justifying the rank of "Associate" (4.4,c);
- iv. Documentation of receipt of terminal degree, if applicable.
- v. At least three (3) letters of reference, at least two (2) of which shall be from sources external to the University of Massachusetts (all campuses) sufficient to support appointment at the rank of Associate Professor (T76-081, 4.4,c);

- c. Associate Professor (cont.)
- vi. Current curriculum vitae, including list of publications with full reference citations;
  - vii. Approved Affirmative Action Hiring Report;
  - viii. Notification of Personnel Action: "Appointment" and "Approved Offer and Acceptance Form";
  - ix. Proof of negative tuberculin test;
  - x. Proof of date of birth (birth or baptismal certificate or passport).
- d. Full Professor
- i. Letter of recommendation for Appointment from department chairperson, or designate, to DAA and intervening administrators justifying the appointment in terms of considerations set forth in T76-081, 4.2 and 4.4,d;
  - ii. Statement from department chairperson concerning, as applicable, award of credit toward tenure, lack of award of credit toward tenure, and reasons for not recommending appointment at tenure;
  - iii. For candidates being appointed to the full Professor rank on the basis of equivalent professional experience, statement of professional equivalency in lieu of terminal degree and/or academic experience justifying the rank of Professor (4.4,d);
  - iv. Documentation of receipt of terminal degree, if applicable.
  - v. At least three (3) letters of reference, at least two (2) of which shall be from sources external to the University (all campuses) sufficient to support appointment at the rank of full professor (4.4,d);
  - vi. Current curriculum vitae, including list of publications with full reference citations;
  - vii. Approved Affirmative Action Hiring Report;
  - viii. Notifications of Personnel Action: "Appointment" and "Approved Offer and Acceptance Form";
  - ix. Proof of negative tuberculin test;
  - x. Proof of date of birth (birth or baptismal certificate or passport).



2. Appointments with Tenure

The simultaneous appointment to the faculty of the University and award of tenure will require an appointment/tenure dossier which contains pertinent items from dossiers for appointment and award of tenure, as follows:

- a. From the Appointment Dossier (1.c or 1.d, above, depending on rank): items a, c, d, e, f, g, h, i, and j;
- b. From the Award of Tenure Dossier, (see II, D, below): items 1 and 9;
- c. Letter of recommendation from the department personnel committee or from the department recruitment committee (providing the latter committee is composed in accordance with approved collegiate standards for preparing recommendations for the award of tenure) justifying the recommendation according to criteria and principles set forth in T76-081, 4.2; 4.4, c or d, as appropriate; 4.9; and 4.10;
- d. If the chairperson of the appointing department is a) different from that of the personnel/recruitment committee, b) is not a member of that committee, or c) disagrees with the recommendation for appointment at tenure or the assignment of rank, a letter from the department chairperson indicating, as applicable, concurrence with the committee's recommendation or setting forth a different recommendation in detail;
- e. A description of the professional standing of author of each letter of reference contained in the basic file, as required in T76-081, 6.4, e3 (see page 19 for optional form);
- f. Letter of recommendation from the collegiate personnel committee;
- g. Letters of recommendation from college dean to VCAA and from VCAA to Chancellor.

3. Special Academic Appointments (see definitions set forth on section III, page 18-24)

a. Adjunct Appointment

- i. Letter from department chairperson or designate to DAA and intervening administrators, if any, setting forth any understandings between the department and the candidate resulting in the unsalaried appointment (benefit to the University and candidate; considerations exchanged; reason for unsalaried nature of appointment, etc.);
- ii. Appropriate documentation (letters of reference, transcript, diploma, curriculum vitae, etc.) of credentials warranting appointment to the faculty of the University at the rank following the prefix "Adjunct" (4.4);
- iii. Proof of negative tuberculin test;
- iv. Proof of date of birth (birth or baptismal certificate or passport).
- v. Notification of Personnel Action: "Adjunct Appointment" with letter "i.", above, referenced on ("Comments") and appended to the form.

b. Visiting Appointment

- i. If required by DAA, letter of recommendation from department chairperson, or designate, to DAA and intervening administrators, if any, justifying the appointment in terms of 4.2 and explaining the non-probationary nature of the appointment. (This letter is required for visiting appointment to the ranks of Associate and full Professor);
- ii. For candidates being appointed to visiting rank of Associate or full professor on the basis of equivalent professional experience, statement of professional equivalency in lieu of terminal degree and/or previous academic experience;
- iii. Transcript of record from institution granting most recent degree (junior ranks), or documentation of receipt of degree (senior ranks);
- iv. At least three (3) letters of reference, at least two (2) of which shall be from sources external to the University of Massachusetts at Boston (external to the University-at-large for senior visiting appointments);
- v. Current curriculum vitae, including list of publications with full reference citations;
- vi. Statement from department chairperson, or designate, concerning Affirmative Action hiring procedures employed in candidate selection. If a full Affirmative Action hiring procedures were employed and approved, an Affirmative Action Hiring Report is required;

vii. Notifications of Personnel Action: "Visiting Appointment" and "Approved Offer and Acceptance Form" noting ("Other Commitments and Contingencies") either:

- "Full Affirmative Action hiring procedures employed and approved," or
- "Affirmative Action hiring procedures not undertaken,"

NOTE: If Affirmative Action hiring procedures were not undertaken the candidate must be advised that no conversion from "visiting" to probationary status may be considered without an approved Affirmative Action search in behalf of the position vacancy.

c. Lecturer Appointment

Dossiers for full- and part-time lecturer appointments shall contain items shown under the category, "Visiting Appointment", above;

d. Part-time Appointment (Regular Academic Ranks)

Dossiers for part-time appointments shall contain all items shown under the rank as if full-time, with the following exceptions:

- No affirmative Action Hiring Report will be required.
- No letter concerning tenure credit (or lack thereof), as required for senior rank appointments, will be required.

B. Reappointment/Non-Reappointment (All Ranks)

1. Through Probationary Year #5 (through August 31 of the academic year immediately preceding the established Tenure Decision Year)
  - a. Any materials which the candidate deems appropriate (5.1a and 6.4b);
  - b. Annual Faculty Report and Evaluation for the academic year most recently completed;
  - c. As required by DAA, letter from the department chairperson justifying the recommendation in terms of performance and professional progress (for recommendations for expiration of appointment, this letter will be required by all appointing authorities);
  - d. Notification of Personnel Action: "Reappointment" or "Expiration of Appointment," as appropriate.

NOTE: Reappointment to the rank of Instructor

Department chairperson should report on candidate's progress toward completion of terminal degree or completion of other requirements established in lieu of terminal degree.

Consistent with T76-081, 6.1a and 6.2b:

-- In no case may appointment to the full-time rank of Instructor exceed a total of three (3) years;

-- In no case may appointment to the full-time rank of Instructor be extended by more than one year at a time.

2. Through Probationary Year #6 (Tenure Decision Year)

- a. Any materials which the candidate deems appropriate (5.1a and 6.4b);
- b. Current curriculum vitae including list of publications with full reference citations;
- c. All Annual Faculty Reports and Evaluations since initial probationary appointment;
- d. Letter of recommendation from department personnel committee justifying the recommendation according to criteria and principles set forth in T76-081, 4.2, inclusive, and 4.5;
- e. A letter from the department chairperson indicating, as applicable, concurrence with the committee's recommendation or setting forth a different recommendation in detail;

- f. Notification of Personnel Action: "Reappointment" or "Expiration of Appointment", as appropriate.
  - g. Table of Contents, itemizing contents of basic file as forwarded to the dean.
  - h. Letters of recommendation from the collegiate personnel committee and from the dean;
3. Through the year following the Tenure Decision Year
- a. Notification of Personnel Action: "Reappointment" through August 31 of the year following tenure decision year, noting ("Other Commitments and Contingencies"):  
"This is a one-year, terminal appointment"
  - b. Notification of Personnel Action: "Expiration of Appointment", effective August 31 of the terminal year.

C. Promotion

1. To Assistant Professor (4.6a)
  - a. Either a letter from degree-granting institution clearly stating that candidate has completed all requirements toward receipt of the terminal degree or a copy of the diploma;
  - b. For candidates being recommended for promotion on the basis of equivalent professional experience, a letter from the department personnel committee justifying such a consideration and including relevant supporting evidence;
  - c. Notification of Personnel Action: "Promotion".
2. To Associate Professor (4.6b) and Full Professor (4.6c)
  - a. Any materials which the candidate deems appropriate (5.1 and 6.4b);
  - b. Current curriculum vitae, including list of publications with full reference citations;
  - c. At least three (3) letters of recommendation from sources external to the recommending department, at least two (2) of which shall be from sources external to the University of Massachusetts (all Campuses), from a list which includes but is not limited to referees suggested by the candidate (6.4c);
  - d. Statement describing the professional standing of the author of each letter of reference contained in the basic file (6.4e3) (see optional form, page 26).
  - e. Letter of recommendation from the department personnel committee justifying the recommendation according to criteria and principles set forth in T76-081, 4.2 and 4.6b or c, inclusive, and including a summary of student evaluations of teaching effectiveness;
  - f. A letter from the department chairperson indicating, as applicable, concurrence with the committee's recommendation or setting forth a different recommendation in detail;
  - g. A statement from the department chairperson concerning the increase in salary appropriate for the recommendation;
  - h. Notification of Personnel Action, "Promotion";
  - i. Table of Contents, itemizing contents of the basic file as it is forwarded to the dean;
  - j. Letter of recommendation from the collegiate personnel committee and from the dean.

D. Award of Tenure

1. Any materials which the candidate deems appropriate (5.1 and 6.4b);
2. Current curriculum vitae, including list of publications with full reference citations;
3. All Annual Faculty Reports and Evaluations since initial probationary appointment;
4. Letters of recommendation from appropriate colleagues, administrators, committee chairpersons, former department chairpersons, students etc. who are qualified to speak to the issues of scholarship, professional activity, service, and/or teaching contributions of the candidate, including at least three (3) such letters from sources external to the University of Massachusetts, from a list which includes, but is not limited to, referees suggested by the candidate (6.4c);
5. Statement describing the professional standing of the author of each letter of reference contained in the basic file (6.4, e3); (see page 26 for optional form);
6. Letter of recommendation from the department personnel committee justifying the recommendation according to criteria and principles set forth in T76-081, 4.2, inclusive, and 4.9, inclusive, and including a summary of student evaluations of teaching effectiveness;
7. If the chairperson of the department is different from that of the department personnel committee or disagrees with the recommendation of the committee, a letter from the department chairperson indicating, as appropriate, concurrence with the committee's recommendation or setting forth a different recommendation in detail;
8. "Summary of Tenure Recommendation" form, (items #1 through #12 completed at the department level);
9. Notification of Personnel Action: "Tenure" or "Expiration of Appointment," as appropriate;
10. Table of Contents, itemizing contents of the basic file as it is forwarded to the dean;
11. Letters of recommendation from the collegiate personnel committee and from the dean.

NOTE: As provided in T76-081, 4.9, candidates not already holding senior rank at the time of consideration for the award of tenure should, except in unusual circumstances, be recommended for the rank of Associate Professor concurrently with the recommendation for tenure. The dossier should be documented accordingly (4.6b).

E. Additions to Personnel Dossiers: Procedure

As provided in T76-081, 6.4, inclusive, the Delegated Appointing Authority and any intervening reviewers are empowered to request from the recommending department and/or from other reviewers within and external to the department, college, and campus, additional documentation in support of the recommendation.

In order to ensure that:

- a) the rights of the individual members of the faculty are protected (T76-081, 5.1 and 6.10);
- b) the principle of primary responsibility of the faculty is protected (T76-081, 3.1 through 3.9, inclusive, and 6.5);
- c) the departmental personnel recommendation may not be reversed in the absence of clear and compelling reasons (T76-081, 3.3); and

the Boston Campus shall be governed by the following procedures with respect to the addition of items to the dossier accompanying recommendations concerning the following personnel actions:

reappointment through the end of the tenure decision year; promotion to the senior ranks; and the award of Tenure:

1. Departmental Responsibility

Before the dossier is forwarded from the recommending department to the college dean, the chairperson shall prepare a table of contents (table) itemizing and identifying the source of each item contained in the dossier. This table shall be placed at the beginning of the dossier and shall serve as a permanent introduction to all subsequent reviewers of the materials contained therein. A copy of the table shall be forwarded by the department chairperson to the candidate under consideration.

2. Administrative Responsibility

Before the dossier is forwarded from the college dean to the Vice Chancellor for Academic Affairs and, as appropriate, from the Vice Chancellor to the Chancellor, and from the Chancellor to the President of the University, the forwarding officer(s) shall add, progressively, to the original table an indication of any items which may have been entered into the dossier at that review level, itemizing and identifying the source of each such additional item. A copy of the progressively augmented table shall be forwarded to all prior review levels and specifically to the candidate's chairperson.

Copies of all augmented tables received by the department chairperson shall be forwarded to the chairperson of the department personnel committee and to the candidate under consideration.



3. Additional Items Used to Reverse Department Recommendation

Should any administrative officer(s) above the department level consider reversing the departmental recommendation, and should such a consideration be based, in whole or in part, on evidence not included in the original departmental dossier (as shown on the original table), all prior administrative reviewers and the chairperson of the candidate's department must be notified, in writing, that such an action is being considered. This notification shall contain an express invitation to inspect the dossier and, as desired, comment in writing concerning the appropriateness and relevance of the items added to the dossier. Any such written responses shall become part of the dossier before it is forwarded to the next review level.

GENERAL OBSERVATIONS

- a) Each administrative review level intervening between the department and the Delegated Appointing Authority, including the collegiate personnel committee, shall be required to add to the dossier a letter of recommendation from that level to the next.
- b) Through the review process, the dossier shall be accessible to all official reviewers, including the chairperson of the department personnel committee. The dossier shall be assessible to the candidate except for those letters to which the candidate has waived his or her right of access. The candidate may, at any time, be informed of the contents of the dossier, by list of its content (Table of Contents).

### III. GENERAL GUIDELINES

#### A. Guidelines for Preparing the Basic File for Major Personnel Recommendations

It is the faculty's responsibility to present a "clear, complete and convincing case" in recommending major personnel actions to assure the candidate of a "complete presentation of his or her qualifications and achievements" and to provide "the basis both for full reviews of the recommendation, and for the decision" (3.1). It is the chairperson's responsibility to compile the basic file of material to support a recommendation (3.5a) and to keep the candidate informed of his or her status and rights (3.5b). And it is the candidate's right to present all materials which he or she believes will be essential to an adequate consideration of the case (5.1a).

In accordance with the above, the following guidelines should be observed:

1. The Department chairperson should confer with the candidate concerning the kinds of materials which the file should contain to make as effective a presentation as possible;
2. It is the responsibility of the chairperson him/herself to obtain the letters of reference to be entered into the file and this responsibility may not be delegated to the candidate or to anyone except the chairperson of the department personnel committee;
3. Letters of recommendation should be solicited from, but need not be limited to, a list of names suggested by the candidate;
4. Before presenting the file to the department personnel committee for consideration, the department chairperson should confer with the candidate to make certain that the candidate's file is in order;
5. The department chairperson should undertake a similar review with the department personnel committee to assure that the departmental recommendation makes a clear, complete and convincing case and that the file to be sent forward contains all documents which the department and the candidate consider represent the candidate's proficiency in the areas of teaching, scholarship and/or professional activity, and service;
6. Consideration should be given to areas which, historically, may have been neglected, such as
  - When the candidate has taught outside the department or at another institution, such teaching should be fully and fairly evaluated;
  - Letters on the candidate's scholarly activities should come from persons qualified to judge and comment upon the candidate's contributions in his or her particular field. It is the department's responsibility to describe these persons and their qualifications (6.4e3). This description may be provided in the form of statements

added to the file or on the optional form provided (see page 26).

- Letters from members or chairpersons of committees on which the candidate has served outside the department and/or letters from outside the University concerning public service activities should document contributions in the area of service;
  
- All letters and other materials to be entered into the file should be screened by the chairperson of the department or of the personnel committee to assure that they speak only to the issues of teaching, scholarship, professional activity and service. Comments concerning any aspects of the candidate's personal life are not permissible in the basic file (or in any other file maintained concerning the employee). Letters containing such comments may be excluded from the file or be returned to the author for appropriate revision.

B. Guidelines: Special Academic Ranks

Definitions, Uses, and Contract Considerations

1. VISITING (All ranks)

Definition

- The appointment is non-probationary to tenure,
- the appointment is of limited duration, and
- the appointment is salaried (see "Adjunct," page 23, for unsalaried positions)

Examples

- The candidate holds or has held an academic appointment at another institution of higher education (use regular academic rank), or
- the candidate holds or has held a non-academic professional appointment elsewhere (use "Lecturer" or one of the regular academic ranks, as appropriate), AND
- the candidate, for whatever reason, does not seek or cannot be offered a probationary or tenured position at the University of Massachusetts at Boston. Reasons for using visiting rank may be:
  - The candidate is on leave from another institution of higher education to which he or she may return following a limited appointment at UMass/Boston.
  - The candidate will have attained mandatory retirement age (70) before the expiration of appropriate probationary period;
  - The candidate's career aspirations provide for only a limited appointment at UMass/Boston while in search of or awaiting appointment to another position;
  - The position for which the person is a candidate is generated by the temporary absence of a probationary or a tenured member of the UMass/Boston faculty;
  - The fiscal position of the department or college of appointment is such that funds in support of a probationary appointment cannot be guaranteed;
  - The long range personnel and curricular plans of the department or college of appointment do not justify a probationary appointment in the specialty of the candidate.

General Contract Considerations (full-time, non-probationary appointments)

Rank of appointment shall be determined on the basis of criteria appropriate for the assignment of the rank following the prefix "Visiting" (4.4) or for the rank of "Lecturer" (defined below).

Salary shall be determined by the DAA consistent with Trustee-approved salary ranges for the rank of appointment and consistent with prevailing salary levels in the department and college of appointment.

Duration of initial appointment shall normally be limited to one academic year. In special circumstances, the initial appointment may be for a period of up to five (5) academic years (4.10c). Decisions concerning duration of initial appointment shall be made on the basis of the candidate's availability and the ability of the department and college of appointment to project resources and to demonstrate continuing need. Duration of initial appointment shall be confirmed at the time of appointment by the concurrent filing of a Notification of Personnel Action: "Expiration of Appointment," indicating terminal date of initial contract. No other notification of contract termination shall be provided.

Contract renewal (reappointment) to full-time non-probationary status may be considered and recommended at any time during the appointment period. Such recommendations shall be made on the basis of performance, availability of resources, and institutional need; such recommendations must be approved by the DAA for the rank of appointment. Renewal of appointment to a full-time non-probationary position should be considered only in cases in which conversion/appointment to probationary status is not appropriate. When reappointment is being considered, notification concerning such reappointment shall be provided, if possible, by May 15th of the academic year in which the current appointment expires if not renewed.

Duration of total full-time non-probationary appointment shall be limited to six (6) academic years. In unusual circumstances, contracts of longer duration may be offered, on the recommendation of the department and the DAA and with the approval of the President of the University, only when it is clear that it is in the best interests of the candidate not to seek consideration for tenure and the candidate affirms this fact in writing.

Appointment to probationary status (at the regular academic ranks of Assistant, Associate, or full Professor only) must be approved by the DAA BEFORE THE ONSET OF THE FOURTH (4th) FULL-TIME NON-PROBATIONARY SERVICE YEAR.

NOTE: Faculty members holding full-time non-probationary appointments for longer than three (3) years without conversion to probationary status shall be denied the right to such conversion. However, at the request of the department and with the approval of the campus administration and the President, and with the concurrence of the Board of Trustees, such faculty members may be appointed with tenure.

Appointees in full-time non-probationary positions may request and may be considered for but are not guaranteed conversion/appointment to probationary status at the University of Massachusetts.

When such conversions are to be considered, the following considerations shall apply:

- If a full Affirmative Action search was not undertaken at the time of initial non-probationary appointment, such a search must be undertaken before appointment to probationary status may be considered;
- Up to three (3) years of credit toward tenure may be approved for DAA for full- and/or part-time service in a non-probationary position at UMass/Boston or a combination of appointments at UMass/Boston and elsewhere;
- Up to three (3) years of credit toward eligibility for Sabbatical Leave may be approved by the DAA for full- and/or part-time non-probationary service at UMass/Boston (only). Such credit may not exceed the number of years credited toward tenure (above).
- Conversion/appointment to probationary status must satisfy the institutional needs of the department, college, and campus (T76-081, 4.2) and funds must reasonable be projected to be available in support of the appointment.

## 2. LECTURER

### Definition

- The appointment is non-probationary to tenure,
- the appointment is of limited duration,
- the appointment is salaried, and
- the credentials of the appointee are not yet tested sufficiently to assign regular academic rank.

## Examples

The rank of "Lecturer" may be used alone; in conjunction with the prefix, "Visiting"; or for part-time appointments. In all cases, such an appointment will be non-probationary to tenure. The assignment of this rank will be made when the assignment of one of the regular academic ranks cannot be made because the credentials of the appointee are not yet tested sufficiently. The following circumstances will generally lead to appointment at the rank of "Lecturer":

### Full-time (visiting or non-visiting)

- The candidate holds credentials which are untested in an academic setting (e.g., the conductor of a major symphony orchestra who has no post-graduate degree and no teaching experience in a classroom setting). In such a case, the rank of Lecturer (or visiting lecturer) may be appropriate until such time as the department might recommend assignment of regular academic rank on the basis of equivalent professional experience (after observing the candidate's ability to teach).
- The candidate holds non-traditional credentials but is in the process of attaining credentials (professional recognition other than a terminal degree) equivalent to the terminal degree in the discipline of appointment. In this case, the rank of Lecturer would be appropriate in lieu of the rank of Instructor until such time as these credentials are earned. In such a case, a limit of three (3) years should be placed on such appointments at full-time in order to be consistent with T76-081, 6.1a governing limits to pre-degree appointments.
- The candidate is in the process of completing traditional academic credentials (generally the Ph.D.) but is currently appointed to a position the salary for which exceeds the maximum salary for appointments at the rank of Instructor at UMass/Boston and the department and DAA believe that such an appointment is in the best interests of the institution. (It is assumed that in such a case completion of the terminal degree would justify promotion at least to the rank of Associate Professor.) As above, such an appointment should be limited to three (3) years (T76-081, 6.1a).

### Part-time Lecturer

The rank of lecturer will frequently be used for part-time appointments at UMass/Boston -- regardless of eligibility of candidate for part-time appointment to one of the regular academic ranks -- in order to permit maximum use of faculty LINE resources while still honoring Board of Trustee-approved salary ranges. The rationale for this is a complicated one; questions concerning it should be addressed to the office of the college dean.

NOTE: Contract considerations for part-time lecturer shall be those described under "Part-time Appointments," below.

### General Contract Considerations

General contract considerations for full-time lectureships shall be those described for visiting appointments, above.

General contract considerations for part-time lectureships shall be those described for part-time appointments, below.

### 3. PART-TIME APPOINTMENTS (All regular and special academic ranks)

#### Definition

Any appointment at less than full-time and salary in exchange for service to the university which constitutes less than that expected of members of the full-time faculty. Such appointments are, by definition, non-probationary to tenure.

#### Exception

Members of the full-time faculty who reduce in time from full- to part-time for any reason (see T76-081, 6.2,e,3) are not covered by the above provisions. The policies for such faculty contracts shall be those of T76-081, inclusive.

#### Examples

- 1/2-time appointment to teach three courses per academic year and to assume research/scholarly and service responsibilities for the department, college, campus and/or university of significance but to an extent less than that normally expected of a member of the full-time faculty;
- 1/2-time appointment to teach one course each semester (2 per year) and to perform major service commitment(s) to the institution as well as to represent the university as a scholar;
- 1/6-time appointment to teach one (1) course each semester but to undertake no additional responsibilities in the way of service or professional activity and scholarship (per-course rate salary)

### General Contract Considerations

Rank of appointment shall be determined on the basis of criteria appropriate for the assignment of rank preceeding the suffix/fraction (e.g., Assistant Professor, 1/2-time) as provided in T76-081, 4.4. At the discretion of the dean, the rank of "Lecturer, part-time" may be awarded regardless of candidate's eligibility for regular academic rank.



Salary shall be determined by the DAA consistent with Board of Trustee approved salary ranges for the rank of appointment, calculated at full-time, and the prevailing salary levels in the department and college of appointment. Salary for teaching-only contracts shall be determined on the basis of standard per-course rates and fractional appointment schedules as may be published by the Boston Campus.

Duration of initial appointment shall normally be limited to one academic year or one academic semester. In special circumstances, the initial appointment may be for a period of up to five (5) years (4.10c). Decisions concerning duration of initial appointment shall be made on the basis of the candidate's availability and the ability of the department and college to project resources in support of an extended appointment.

Contract renewal (reappointment) to part-time status may be considered at any time during the appointment period. When such reappointment is being considered, notification of renewal may be made at any time during the appointment period but shall not be guaranteed until two weeks prior to the onset of the appointment period under consideration. Contracts not being considered for renewal shall automatically expire as stated on the current contract and no formal notification of contract termination shall be provided.

Duration of total part-time appointment is limited only by the recommendation of the appointing department and the approval of the DAA. Part-time appointments may be indefinite.

Standard benefits shall be available to part-time appointees only when the appointment fraction reaches or exceeds 1/2-time.

Eligibility for application for Sabbatical Leave is provided to part-time appointees. Such leave may be approved, on a pro-rated salary basis, and with the approval of the DAA, upon completion of 12 semesters of service with the University of Massachusetts at Boston.

#### 4. ADJUNCT

##### Definition

The appointment is unsalaried.

##### Examples

The prefix, "Adjunct" shall be applied when the appointment is to be unsalaried. Such an appointment may be approved when the candidate, for whatever reason, seeks academic recognition at or through the University of Massachusetts at Boston and such

an appointment is consistent with the goals of the University. Some examples of appropriate use of this rank might be:

- Writers, artists, scientists, researchers, etc., pursuing gainful careers elsewhere or having other means of support who seek affiliation with the University;
- scholars whose grants-in-aid, contractual obligations to another institution, or similar circumstance forbid the assumption of a salaried relationship with the University;
- non-academicians (professional staff in public agencies, industry, etc.) who volunteer their services in teaching or research capacities and who, by virtue of their expertise and qualifications, merit appointment to academic rank at the University.

#### General Contract Considerations

Rank of appointment shall be awarded on the basis of criteria appropriate for the assigned rank following the prefix "Adjunct," (4.4; and definition of "Lecturer," page 20).

Salary shall not be awarded nor shall any other form of direct monetary compensation (honorarium, travel funds, etc.) be guaranteed as part of the transaction;

Duration of initial appointment shall normally be limited to one academic year. In special circumstances, the initial appointment may be for a period of up to five (5) academic years (4.10c). Decisions concerning duration of initial appointment shall be made on the basis of the candidate's availability and extent to which it is anticipated that the appointment will remain mutually beneficial to the appointee and the university, as recommended by the appointing department and approved by the DAA. Duration of initial appointment shall be confirmed at the time of appointment by the concurrent filing of a Notification of Personnel Action: "Expiration of Appointment," indicating terminal date of initial contract. No other notification of contract termination shall be provided.

Appointment renewal (reappointment) may be considered, recommended, approved and announced at any time during the appointment period; such reappointment shall be approved by the DAA on the basis of continuing benefit to both the candidate and the institution.

Duration of total adjunct appointment shall be limited only by the recommendation of the appointing department and approval of the DAA.

C. Guidelines: Appeal and Grievance Procedures

In addition to the right of faculty members to discuss and appeal personnel decisions at all administrative levels, as set forth in section 6.10 of personnel policy document T76-081, and to the right of appeal of departmental decisions as set forth in approved departmental charters or constitutions, the general appeal and grievance procedures approved by the appropriate governance bodies of the Boston Campus of the University of Massachusetts shall continue in effect. Interested parties should consult with their College Dean, Chairperson of the appropriate collegiate governance committee, and/or the Chairperson of the Tenure and Grievance Committee of the University Assembly for information about those procedures.

LETTER OF PROFESSIONAL REFERENCE

In behalf of: \_\_\_\_\_

As candidate for: \_\_\_\_\_

Department of: \_\_\_\_\_

College: \_\_\_\_\_

University of Massachusetts at Boston

REFEREE:

Name: \_\_\_\_\_

Professional Address: \_\_\_\_\_

\_\_\_\_\_ Phone: \_\_\_\_\_

Professional relationship to candidate (if any):

Professional Standing: (brief description of qualifications of referee to speak in behalf of candidate -- other than knowing candidate as student, advisee, intern, etc.)

DELEGATION OF APPOINTING AUTHORITY

The following tables show existing external (Board of Trustee and Presidential) and existing or revised internal (Boston Campus) delegations of authority to certain officers to appoint certain members of the academic professional staffs (faculty and administrative) within the Boston Campus of the University of Massachusetts, consistent with the principles of delegation set forth in Trustee Documents T71-115 and T73-098. This statement of delegation shall supersede any prior statements of such delegations issued by the Boston Campus which pertain to the appointment to the positions named herein. This statement is provided in this simplified form for purpose of inclusion in the Boston Campus Implementation Guidelines for Trustee Document T76-081.

REGULAR ACADEMIC APPOINTMENTS

<u>TO THE RANK/POSITION OF:</u>	<u>RECOMMENDED BY:</u>	<u>APPOINTED BY:</u>	<u>WITH CONCURRENCE OF:</u>
all ranks to Tenure	Campus	President	Board of Trustees
all ranks to over-scale salary	Campus	President	Board of Trustees
full Professor	Dept., Dean, and VCAA	Chancellor	
Associate Professor	Dept. and Dean	VCAA	
Assistant Professor	Department	College Dean	
Instructor	Department	College Dean	

EXCEPTION: Delegated Appointing Authority shall rest with the Vice Chancellor for Academic Affairs -- regardless of candidate rank -- for the following faculty personnel actions:

- a. Sabbatical Leave
- b. Reappointment through the end of the Tenure Decision Year

SPECIAL ACADEMIC APPOINTMENTS (T76-081, 4.11)

The Chancellor of the Boston Campus has delegated Appointing Authority for appointments to the Special Academic Ranks consistent with the principles of delegation for Regular Academic appointments shown above (e.g., Visiting Associates Professor to Vice Chancellor for Academic Affairs). The College Dean shall be the Delegated Appointing Authority for appointments at the rank of Lecture..

ACADEMIC/ADMINISTRATIVE APPOINTMENTS

	<u>RECOMMENDED BY:</u>	<u>APPOINTED BY:</u>	<u>WITH CONCURRENCE OF:</u>
Vice Chancellor for Academic Affairs	Search Committee	Chancellor	President and Board
College Dean	Search Committee	Chancellor	President and Board
Associate Dean (collegiate)	College Dean	VCAA	Chancellor
Associate Provost		VCAA	Chancellor
Program/Unit Head		Vice Chancellor	Chancellor
Department Chairperson (See page 2)	Department	College Dean	VCAA

NOTE: The officer named in the column, "Appointed by" is the Delegated Appointing Authority. This officer shall be referred to throughout this document as DAA.

FACULTY REAPPOINTMENT SCHEDULE

A SIMPLIFIED schedule, based on T76-081, showing the NORMAL pattern of a reappointment of full-time faculty in the regular academic ranks, without credit toward tenure and without multiple year contracts.

During Probationary Year (P/Y) #:	you will be notified by letter by the date of:	to the effect that your contract:
1	3/1 of P/Y #1	a) will terminate at the end of P/Y #1 b) will be renewed for P/Y #2
2	12/15 of P/Y #2	a) will terminate at the end of P/Y #2 b) will be renewed for P/Y #2
	8/15 of P/Y #2	a) will terminate at the end of P/Y #2 b) will be renewed for P/Y #4
3	8/15 of P/Y #3	a) will terminate at the end of P/Y #3 b) will be renewed for P/Y #5
4	8/15 of P/Y #4	a) will terminate at the end of P/Y #4 b) will be renewed for P/Y #6 (the Tenure Decision Year)
5	NO REAPPOINTMENT OR TERMINATION DECISION WILL BE UNDERTAKEN DURING PROBATIONARY YEAR #5. Probationary faculty members who have undergone a successful review during P/Y #4, and who, therefore, have been granted a contract for P/Y #6, will be guaranteed a 7th service year if a negative tenure decision is made during P/Y #6.	
6	8/15 of P/Y #6	a) will terminate upon completion of seven years of service NOTE: By 8/15 of P/Y #6, you will receive BOTH a reappointment contract for a 7th year <u>and</u> an "Expiration of Appointment" form, terminating the contract at the end of the 7th year. b) will be renewed as a TENURED APPOINTMENT, effective 9/1 of the academic year following the Tenure Decision Year.

Faculty questions concerning their Reappointment Schedule may be addressed, progressively and as appropriate, to the departmental chairperson, the Office of the College Dean, the Office of the Vice Chancellor for Academic Affairs, and the Personnel Office of the Boston Campus if not resolved at the lower of these administrative levels or if confirmation of answers is required.