Agenda

Defining the dossier
   Conceptually
   What it looks like online

Prep work

Candidate statement

Supporting documentation

Side trips

Panel discussion

You

Across the finish line
Welcome

Margie Ferguson
   Senior Associate Vice Chancellor for Academic Affairs
   mferguso@iupui.edu

Rachel Applegate
   Assistant Vice Chancellor for Faculty Affairs
   rapplega@iupui.edu
This session vs. “Excellence in...” sessions

Excellence in....sessions
• Teaching
• Research
• Service
• Balanced Case

Defining
  Developing
  Campus resources

Trajectory, national reputation
First steps in documentation

This Dossier session:

More about dossier parts
• Candidate statement [brief!]
• CV
• Regular sections
• Appendices

More about documentation
• Using DMAI
• Binning

The eDossier system
• Preparing files
• Using it
Defining the dossier

Your Dossier = Your CASE

List ← CV

Argument ← Candidate statement

Substantiation (documentation and details) ← main dossier

Raw materials ← appendices

The dossier presents a clear case, with convincing evidence, for your promotion and / or tenure.
Defining the dossier

The dossier presents a clear case, with convincing evidence, for your promotion and/or tenure.

What you’ve done

That you’re great!
What it looks like to candidates
These appear in one long vertical list on the left side; Open and close the various areas using the triangle
The P&T Guidelines list all the sections.

Dossier folder checklist

- The following folders appear in the IUPUI eDossier. Not all candidates will have materials in each section. The Candidate Statement should present a clear, reflective, and evidence-based discussion of research accomplishments and plans; the main section will contain further explanations and documentation which support the Candidate Statement.

- Research/Creative Activity
  - Research/Creative Activity
  - Research load, expectations, goals
  - Discussion of 3-5 most significant publications/ exhibitions
  - Significance of grants and awards
  - Significance and impact of research presentations/ exhibitions
  - Documentation of individual contributions to collaborative/ interdisciplinary work
  - Future plans for ongoing program of research
  - Appendix: Research or creative publications / works [If not in pdf format, provide a link to an external site]
  - Appendix: Grant related materials
  - Appendix: Review(s) of candidate’s books, creative performances, exhibitions
  - Appendix: Additional evidence
  - Research/Creative Activity Statement (if applicable) ← use only when candidate statement is 5 pages
Faculty in each year’s cycle are added to e-dossier according to the school-review schedule. You do NOT have access until that happens.

Duplicating the structure with a zip folder

Best for organizing evidence
In the final dossier, you MAY combine

You may put all materials for each major section into ONE pdf which has a table of contents and page numbers. CLEARLY label the file as COMBINED RESEARCH or such
DO NOT combine

Upload individual files for the folders in the **General** section

IUPUI does not use these folders:
Prep work
(including the CV)
Collecting information *from Day One*

General information management
- OneDrive
- Google Docs
- OneNote
- Calendar
- Email-pdfs

Confidentiality
- encrypted
- secure
- responsible
[https://protect.iu.edu/online-safety/protect-data/index.html](https://protect.iu.edu/online-safety/protect-data/index.html)

Back-ups
- multiple
- cloud?
- accessible
IU/IUPUI data: The minimum to save

Teaching:
• Student evaluations
• Peer evaluations of teaching
• Course materials (syllabi, assignments)

Research:
• Copies of disseminated items:
  • Articles/presentations/publications
  • Consider ScholarWorks: persistent URL, open access = more external use
• Grants: proposals (including specific roles)
  • Grant reviews
• List of formal collaborators (co-authors, co-PIs; your dissertation chair).
  • They can’t be external reviewers

Service:
• List of offices and activities

Required of ALL tenure-track (and clinical and lecturer)—even IF your area of excellence is research or service.
IU/IUPUI data: The minimum \textit{to solicit}

Collaborative work:
\begin{itemize}
\item Descriptions and confirmations of YOUR contribution to projects and publications
\item From: lead author, PI, or co-PI (not necessarily from ALL participants)
\end{itemize}

For invited publications or non-traditional formats: documentation of peer review process

Community / client impact:
\begin{itemize}
\item Their perspective on your work
\item NOT the same as ‘external’ or ‘peer’ review, but important nonetheless
\end{itemize}

Chair: If someone would be a great reviewer BUT is not at arm’s-length: the chair can solicit a letter.
More on collaborator confirmation

All tenure cases require *scholarly independence*: a unique and confirmed role in the production of scholarship.

‘Unique’ means, the scholarly product would not be the way it is without YOU participating (‘hire a consultant’ vs. ‘work with YOU.’)

‘Confirmed:’ Some or all of these:
• Lead author responsibility.
• Differing co-authors; not always your dissertation chair or senior members of your department.
• Clear articulation in the candidate statement of what YOU contributed.
• Emails from at least one collaborator for at least your “3-5 most significant” works of scholarship. “I did this, you did that, right?”
DMAI and your dossier

Digital Measures / Academic Insights
Used *every year* for your *annual review*

**DMAI page**

*DMAI was acquired by Watermark and is called Faculty Insight by Watermark. IU is not changing the One.IU.edu tile yet.*
<table>
<thead>
<tr>
<th>Section</th>
<th>Categories</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Information</td>
<td>Education, Graduate/Post-Graduate Training, Professional Development, Licenses, Media Appearances and Interviews, Professional Memberships</td>
</tr>
<tr>
<td>Teaching</td>
<td>Courses, Teaching Innovation and Curriculum Development</td>
</tr>
<tr>
<td>Librarian Performance</td>
<td>Librarian Performance</td>
</tr>
<tr>
<td>Research/Creative Activity</td>
<td>Biographical Sketch - NIH</td>
</tr>
<tr>
<td>Service/Engagement</td>
<td>Public Service, Clinical Service</td>
</tr>
</tbody>
</table>

**Additional IUSM and FSPH screens**
First time users:
• Did you use it at a previous institution? *That information can be transferred to IU*
• Import your citations
  • Use your ORCID ID
  • Ask the University Library/RLML → your subject liaison for assistance
  • DMAI presents several DIFFERENT options: one will be BEST for YOU
• Add in ‘areas’ [bins] and review for errors
• Block out some time to add other information from your CV
  • “Import CV” allows you to *scrape items one by one* into your DMAI record.

Everybody—annually:
• Usually due by Feb. 1st for your chair
• Every year IU *automatically adds*:
  • Appointment information (titles)
  • Course listings (including enrollments)
  • Grant information
• You can upload any number of *attachments*
More information on DMAI and reviews

Academic Affairs, Faculty Affairs, Faculty Reviews

DMAI is a required platform for faculty reviews across all IU schools and campuses. It can be reached through [one.iu.edu](http://one.iu.edu), and you can add to and edit it all the time.

Resources for DMAI:

<table>
<thead>
<tr>
<th>Resource</th>
<th>Link</th>
</tr>
</thead>
<tbody>
<tr>
<td>DMAI at IUPUI</td>
<td>+</td>
</tr>
<tr>
<td>New users and DMAI</td>
<td>+</td>
</tr>
<tr>
<td>Using DMAI: The Basics (Video)</td>
<td>+</td>
</tr>
<tr>
<td>Faculty Support Guide</td>
<td>+</td>
</tr>
<tr>
<td>Reviewer Support Guide</td>
<td>+</td>
</tr>
<tr>
<td>FAQ</td>
<td>+</td>
</tr>
<tr>
<td>Screen Descriptions</td>
<td>+</td>
</tr>
<tr>
<td>Google Scholar Guide</td>
<td>+</td>
</tr>
</tbody>
</table>
DMAI and P&T CVs

- Rapid Reports function
  - Vita
  - Vita – IUPUI CV Format
- Entries must have *areas* and *dates* in order to be included
- Edit the course listings to omit zero-enrollment sections

Courses: *do not add student evaluation scores*

[Image of Rapid Reports interface]

Don’t forget to change the date!
IUPUI P&T CV format

Use DMAI!

Even if DMAI is empty, it will output the *right section headers, in the right order.*
You can then paste in from a regular CV

Delete sections that do not apply
Delete librarian sections if not a librarian
Delete the introduction
Delete the preface to the Publications section

Put your grants, presentations, and publications in the right *area/bin*
Teaching
Research ←ONLY for research scientists and tenure track
Service
List: Your CV in approved IUPUI format
The CV is a list of everything you’ve done

<table>
<thead>
<tr>
<th>You:</th>
<th>Research:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Education</td>
<td>Grants</td>
</tr>
<tr>
<td>Appointments (jobs)</td>
<td>Presentations</td>
</tr>
<tr>
<td>Licensures</td>
<td>Mentoring</td>
</tr>
<tr>
<td>Memberships</td>
<td>Service</td>
</tr>
<tr>
<td>Honors/awards</td>
<td></td>
</tr>
<tr>
<td>Professional development</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Teaching:</th>
<th>Service:</th>
</tr>
</thead>
<tbody>
<tr>
<td>All courses since 2012</td>
<td>University</td>
</tr>
<tr>
<td>Administration</td>
<td>Professional</td>
</tr>
<tr>
<td>Grants</td>
<td>Patient</td>
</tr>
<tr>
<td>Presentations</td>
<td>Grants</td>
</tr>
<tr>
<td>Mentoring</td>
<td>Presentations</td>
</tr>
<tr>
<td>Service</td>
<td>Mentoring</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Publications:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching</td>
</tr>
<tr>
<td>Research</td>
</tr>
<tr>
<td>Service</td>
</tr>
</tbody>
</table>
# Autopopulated items (for IU)

<table>
<thead>
<tr>
<th>You:</th>
<th>Research:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Education</td>
<td>Grants</td>
</tr>
<tr>
<td>Appointments (jobs)</td>
<td>Presentations</td>
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<td>Service</td>
</tr>
<tr>
<td>Honors/awards</td>
<td></td>
</tr>
<tr>
<td>Professional development</td>
<td></td>
</tr>
</tbody>
</table>

**Teaching**
- All courses since 2012
- Administration
- Grants
- Presentations
- Mentoring
- Service

**Service**
- University
- Professional
- Patient
- Grants
- Presentations
- Mentoring

**Publications:**
- Teaching
- Research
- Service
Importable items (via ORCID)

You:
- Education
- Appointments (jobs)
- Licensures
- Memberships
- Honors/awards
- Professional development

Teaching
- All courses since 2012
- Administration
- Grants
- Presentations
- Mentoring
- Service

Research:
- Grants
- Presentations
- Mentoring
- Service

Service
- University
- Professional
- Patient
- Grants
- Presentations
- Mentoring

Publications:
- Teaching
- Research
- Service

Need to be ‘binned’

Ask your subject librarian or go to researchmetrics.iupui.edu
Annotate the CV? Markers?

Some faculty place small annotations within the CV. DO NOT neglect these issues in the rest of the dossier: the CV does not substitute for other areas.

Examples:
• Publications: citations to that article
• Presentations: acceptance rate
• Multi-author works: brief mentions of your role

Markers:
• Student co-authors: generally indicated by a dagger
• Your authorship: often indicated by bolding
• In-rank: EITHER:
  • Use an asterix *
  • Grey out not-in-rank items: especially useful for cases for full.
• DEI items: #
Binning = Area in DMAI

Edit Publications/Scholarship of Discovery

The scholarship of discovery involves the search for knowledge, discovery of new information and models, and the sharing of discoveries through scholarly publication. The screen is intended for artifacts that are completed; work in progress should be recorded on that screen. Notes: This section (1) is supported by the publications importing feature; (2) does not distinguish between print and electronic scholarly outlets; and (3) includes publications related to the scholarship of teaching and learning.

Contribution Type

- Journal Article

Area

- Research/Creative Activity

Current Status

- Published
Publications/work/dissemination and the Area of Excellence

aka Binning

Make your area of excellence as strong as possible

For tenure-track faculty
• If research is the area of excellence, dissemination is NOT required in teaching or service.
• If teaching or service are the area of excellence dissemination is required in BOTH teaching-or-service AND research.
• Balanced-binned case? Dissemination required in all three

Non-tenure track: For the purpose of IUPUI promotion:
Clinical faculty: publications, presentations and grants must be either service or teaching

Lecturer-rank faculty: publications, presentations, and grants must be in support of teaching.

If you have done disciplinary research, list it separately. It will not ‘count’ for promotion.

Research faculty: publications, presentations and grants can only be labelled as research.
For **tenure-track** faculty: Binning on the CV

<table>
<thead>
<tr>
<th>Type of case</th>
<th>Dissemination Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Teaching</td>
</tr>
<tr>
<td>Excellence in</td>
<td></td>
</tr>
<tr>
<td>Teaching</td>
<td>X</td>
</tr>
<tr>
<td>Research</td>
<td>--</td>
</tr>
<tr>
<td>Service</td>
<td>--</td>
</tr>
<tr>
<td>Balanced case-binned</td>
<td>X</td>
</tr>
<tr>
<td>Balanced-Integrative</td>
<td>peer-reviewed scholarship required, need not be binned</td>
</tr>
</tbody>
</table>

---

**For tenure-track faculty:**

- **Binning on the CV**

<table>
<thead>
<tr>
<th>Type of case</th>
<th>Dissemination Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Teaching</td>
</tr>
<tr>
<td>Teaching</td>
<td>X</td>
</tr>
<tr>
<td>Research</td>
<td>--</td>
</tr>
<tr>
<td>Service</td>
<td>--</td>
</tr>
<tr>
<td>Balanced case-binned</td>
<td>X</td>
</tr>
</tbody>
</table>

**Balanced-Integrative**

- peer-reviewed scholarship required, need not be binned
Candidate statement
The candidate statement

P&T Resources Page

Quick Guide for Candidate Statements

Presentation: Zoom only, didactic: Thursday Sept 23, 12-1 pm
Hands-on—computer lab, with guides:
   Oct. 12, 10 am; Nov. 10, 1 pm; Dec. 3, 2 pm, Feb. 17, 9 am
Candidate statement: states your case

For everybody:
• 5-7 pages (single-spaced; regular margins)
  • Additional details or explanations go in the rest of the dossier
• Your present accomplishments and your future plans

Levels of emphasis depend on:
• Your rank: associate, full
• Your area of excellence
• Satisfying satisfactory in applicable areas
  • Tenure-track: all three
  • Clinical, lecturer: teaching, service
  • Research: research; sometimes service
• Reference your department/school criteria
• Focus, don’t dump
• Edit for consistency with CV

**Template**

Introduction: Who you are, what you are applying for, major points (1-3 paragraphs)

Section 1: Area of excellence: focus, subareas; signature work products
  Independence, grant trajectory if applicable, impact
  Future plans
  3-4 pages

Section 2-3: non-areas of excellence
  At least satisfactory work in these areas—how you contribute to unit mission
  1 page

Section 4: Summary
  Distinctive individual contribution to unit/IUPUI/IU
  Plans for the future
  1-3 paragraphs

Example

Example with annotations
Candidate statement style:

1. Coherent
   – This is the place for a strong well-organized argument.
   – CV = list, rest of dossier = bits of information/description/substantiation

2. Self-centered
   – Write “I”—what did you individually accomplish?

3. Summative. ← for final review. More formative for third year
   – Focus less on the journey than the results

4. Forward-looking
   – What comes next? Nobody wants someone who will go to sleep once tenured
Key areas

• Clear and sufficient information about their **individual** roles
  • What made YOU essential to the work?
  • What do you consistently contribute to a variety of projects?
  • How are you distinct from your mentors—moving from HAVING a mentor to BEING a mentor?
  • Confirmation by others—include in dossier

• Their own assessment of the **impact**, significance, or value of their work
  • Sure, yeah: quick and dirty (and potentially misleading and biased) measures of impact: impact factors, citation counts.
    • Make arguments that go beyond “Google Scholar” but also are intelligible to people who have that as their mental anchor
  • **University Library, Ruth Lilly Medical Library, Law Library, Dental Library:** Ask for help in finding and presenting **impact** metrics: researchmetrics.iupui.edu
Supporting documentation: The rest of the dossier
Recap: 3 parts to your case

**CV** = list

**Candidate statement** = a coherent and compelling argument, covering your MAIN area of excellence, that you are ALSO satisfactory in other required areas, and presenting a plan for the future.

**Dossier** =
- Additional details
- Contextual information (e.g. load details)
  - These are especially important for readers NOT in your unit
- Confirmatory evidence (co-author statements, grant abstracts)
  
- Appendices: are not used at the campus level
Organizing into folders

eDossier will NOT be available for you until ...your school arranges it. Depends on school.

Do not simply upload a document that only says, “See CV.”
Any document in the main folders should say something substantive, even if it is brief....nothing substantive for that folder? Leave it empty!

Thanks, Aaron Ganci, Herron
# Guides to Dossier Folders

<table>
<thead>
<tr>
<th>Category</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Clinical Balanced Case</td>
<td>+</td>
</tr>
<tr>
<td>Clinical Service</td>
<td>+</td>
</tr>
<tr>
<td>Clinical Teaching</td>
<td>+</td>
</tr>
<tr>
<td>Generic</td>
<td>+</td>
</tr>
<tr>
<td>Lecturer</td>
<td>+</td>
</tr>
<tr>
<td>Research Scientist</td>
<td>+</td>
</tr>
<tr>
<td>Tenure Track Balanced</td>
<td>+</td>
</tr>
<tr>
<td>Tenure Track Research</td>
<td>+</td>
</tr>
<tr>
<td>Tenure Track Service</td>
<td>+</td>
</tr>
<tr>
<td>Tenure Track Teaching</td>
<td>+</td>
</tr>
</tbody>
</table>
Sample annotation—TT research

==========candidate folders==================================

General
- Departmental and School criteria
- Candidate’s CV in IUPUI P&T format
- Candidate’s statement (5-7 pages)
- Department (School) List of Prospective Referees
- Candidate’s List of Prospective Referees ← not used by IUPUI

Research/Creative Activity ← largest section
- Research/Creative Activity Statement :: Option A: 7 page candidate statement, or B: 5 page statement and 2 pages here specifically on research goals.
- Research load, expectations, goals :: Describe briefly. This refers mainly to your research conditions (e.g. 60% devoted in first two years; set up lab in X year)
- Discussion of 3-5 most significant publications/exhibitions :: Describe fully. Very important. Describe how the items demonstrate originality, innovation, independence, and impact within the field. These items specifically must be in-rank, but you may also refer to previous work on which they build.
Adds up to:

**Convincing evidence**

- Quantity is appropriate to your area of excellence
- Includes all details your department and school expects
- Covers main points of each folder for campus reviewers
- Has a good balance of raw data and summarization/reflection
Effectively presented

• Fulfills all of the technical requirements
  • This shows readers that you respect the process and their time and effort
• Avoids editing or typographical errors
  • Errors cause your readers to slow down, to stumble and eventually to get irritated
• Presents sufficient information but **not too much**
  • Massive, undifferentiated information causes your readers to miss your main points

Sample Dossiers
must be logged into CAS
Side trips:
Identifying external reviewers
Materials for external reviewers
Chair’s assessment of outlets

Very school-specific
External reviewers

Candidate needs to identify:
- Collaborators ↩️ cannot be reviewers (for 5 years)
- Problematic reviewers ↩️ can request they not be reviewers
- Potential reviewers ↩️ people whom the candidate thinks might do a good job

BUT: reviewers are selected solely by the chair (or dean)

During the review year, candidate should not discuss the review with anybody who might be a reviewer.
Materials for external reviewers

CV: either IUPUI or disciplinary format: ask your school
Candidate statement
Materials to support their evaluation

Chair will handle:
Conflict of interest statement
Documenting receipt of information

Spring before review year
IUSM: earlier

Don’t contact anybody about the review!
Assessment of dissemination outlets

Responsibility of the chair
Discuss with chair at annual reviews or even more often
• Assist chair in understanding why the outlets are appropriate

Sad, there are many ‘junk’ publishers out there. I have ZERO knowledge of this topic but these folks want me to be on the editorial board?

---

Dear Dr. Rachel Applegate,

Greetings from Madridge publishers. Hope you are doing well.

We cordially welcome you as a member of Editorial Board to our journal Madridge Journal of Bioinformatics and Systems Biology (MJBSB). MJBSB is well-known not only for its knowledge transfer but also for its lineament and friendly world-class environment.
Using eDossier
Finalizing the dossier

Save everything into appropriate folders

You may save everything in EACH main section in ONE pdf

Use PDF format for edossier files.

Maximum of 50 pages (including candidate statement, 5-7 pages; NOT including CV) for the regular folders
   This is a conceptual limit. Don’t make readers think you are ignoring the limit; don’t fret over half-pages.

ALERT! THE E-DOSSIER FREEZES ONCE YOU SUBMIT AND THE CHAIR CONCURS! NO CHANGES CAN BE MADE, ONLY ADDITIONS IN A SPECIAL FOLDER

Summer before review year
   IUSM: earlier

   eDossier NOT available until late summer
What good is eDossier?

Storage
Routing
Notifications
What good is eDossier?

Storage

Candidate:
You or your delegate uploads materials

Delegate: Pre-submission Role
Ask your school HR contact for help
What good is eDossier?

Storage
Routing

Candidate clicks SUBMIT

Chair reviews and approves

Off it goes!
What good is eDossier?

Storage
Routing

- Primary (dept) committee
  - Committee vote, and report
  - Chair notifies candidate
- Chair vote and report
- Unit (school) committee
  - Committee vote, and report
- Dean vote and report
  - Chair or dean notifies candidate

Adjustments made for schools without departments, or core schools.
What good is eDossier?

Storage
Routing
Notifications

New material
Supplemental folder

Vote Record
Internal Review Letters
External Review Letters
List of Referees Contacted
  Solicited Letters
  Supplemental - Post Submission
  General
  Research/Creative Activity
  Teaching
  Service/Engagement
What does ‘new material’ mean?

General **updates**:
- Changes of status to items (e.g. publications accepted, grants received)
- Corrections: after a dossier is submitted, NO **changes** can be made; new or changed versions need to be uploaded to the Supplemental folder

Consider how important these are. Use sparingly; label clearly

Generally avoid narrative: present new **evidence**
What does ‘new material’ mean?

Reconsideration:
• Upon a **majority-negative vote**
• Candidate for **tenure**
• Formal reconsideration request
  • See page 31. Timing: *before the next level AND within 2 weeks*

State the reasons for disagreeing with the vote
Provide additional evidence
Make clear what is actually new

Candidates for promotion-only CAN add materials that encourage a second vote, but cannot formally request one.
Please don’t......
- Typos ("Presentatons" "Publicatoin")
- Writing in the third person ("Dr Tchaikovsky has many publications")
- Personal information (Children: Cain (12) and Abel (10)).
What reviewers are thinking....

Wow, you’re amazing

This is easy!

Okay, managed to cover the basics

I found what I needed

Seriously?

But no, we’re not going to fail you for that

Or maybe we are
Satisfactory, Excellent...

Wait, what was that???
Questions and answers

Assisted by:

Amber Comer
Associate Professor
Department of Health Sciences
School of Health and Human Sciences
Thank you!

Individual consultations--contact me!

rapplega@iupui.edu