Office of Academic Affairs

Dossier Preparation
Agenda

Defining the dossier
  Conceptually
  What it looks like online

Prep work

Candidate statement

Supporting documentation

Side trips

Panel discussion
Welcome

Margie Ferguson
Senior Associate Vice Chancellor for Academic Affairs

Rachel Applegate
Assistant Vice Chancellor for Faculty Affairs
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 documentation
• Using DMAI year by year to help accumulate evidence
• Final evidence selection criteria

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

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
Duplicating the structure with a **zip folder**

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

and probably should

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](https://www.scholarworks.iupui.edu): 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
IU/IUPUI data: The minimum to solicit

Collaborative work:
• Descriptions and confirmations of YOUR contribution to projects and publications
• From: lead author, PI, or co-PI (not necessarily from ALL participants)
• For invited publications: documentation of peer review process

Community / client impact:
• Their perspective on your work
• NOT the same as ‘external’ or ‘peer’ review, but important nonetheless

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
<table>
<thead>
<tr>
<th>Additional IUSM and FSPH screens</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>General Information</strong></td>
</tr>
<tr>
<td>Personal and Contact Information</td>
</tr>
<tr>
<td>Biography and Expertise</td>
</tr>
<tr>
<td>Unit Affiliation - Yearly Data</td>
</tr>
<tr>
<td>Prior Work Experience</td>
</tr>
<tr>
<td>IU Appointment Data</td>
</tr>
<tr>
<td>Awards and Honors</td>
</tr>
<tr>
<td>Education</td>
</tr>
<tr>
<td>Graduate/Post-Graduate Training</td>
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<tr>
<td>Professional Development</td>
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<tr>
<td>Licensures</td>
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<tr>
<td>Media Appearances and Interviews</td>
</tr>
<tr>
<td>Professional Memberships</td>
</tr>
<tr>
<td><strong>Teaching</strong></td>
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<tr>
<td>Directed Learning (e.g., theses, dissertations)</td>
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<tr>
<td>Non-Credit Instruction Taught</td>
</tr>
<tr>
<td>Courses</td>
</tr>
<tr>
<td>Teaching Innovation and Curriculum Development</td>
</tr>
<tr>
<td><strong>Librarian Performance</strong></td>
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<tr>
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<tr>
<td><strong>Research/Creative Activity</strong></td>
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<tr>
<td>Artistic and Professional Performances and Exhibits</td>
</tr>
<tr>
<td>Contracts, Fellowships and Grants</td>
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<tr>
<td>Publications/Scholarship of Discovery</td>
</tr>
<tr>
<td>Scholarship of Application/Engagement</td>
</tr>
<tr>
<td>Digital Scholarship</td>
</tr>
<tr>
<td>Biographical Sketch - NIH</td>
</tr>
<tr>
<td>Intellectual Property (e.g., copyrights, patents)</td>
</tr>
<tr>
<td>Presentations</td>
</tr>
<tr>
<td>Work in Progress</td>
</tr>
<tr>
<td><strong>Service/Engagement</strong></td>
</tr>
<tr>
<td>Institutional Service</td>
</tr>
<tr>
<td>Professional Service</td>
</tr>
<tr>
<td>Public Service</td>
</tr>
<tr>
<td>Clinical Service</td>
</tr>
</tbody>
</table>
**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, and you can add to and edit it all the time.

Resources for DMAI:

- DMAI at IUPUI
- New users and DMAI
- Using DMAI: The Basics (Video)
- Faculty Support Guide
- Reviewer Support Guide
- FAQ
- Screen Descriptions
- Google Scholar Guide
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 non-taught sections

Courses: *do not add student evaluation scores*

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

Use DMAI!

Even if DMAI is blank, 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>
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<tr>
<td>Professional development</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Teaching:</th>
<th></th>
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<tbody>
<tr>
<td>All courses since 2012</td>
<td></td>
</tr>
<tr>
<td>Administration</td>
<td></td>
</tr>
<tr>
<td>Grants</td>
<td></td>
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<td>Presentations</td>
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<tr>
<td>Research</td>
<td></td>
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<tr>
<td>Service</td>
<td></td>
</tr>
</tbody>
</table>
# Autopopulated items (for IU)

<table>
<thead>
<tr>
<th>You:</th>
<th>Research:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Education</td>
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<td>Honors/awards</td>
<td>University</td>
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<td>Professional development</td>
<td>Professional</td>
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<td></td>
<td>Patient</td>
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<tr>
<td></td>
<td>Grants</td>
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<td>Service</td>
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<table>
<thead>
<tr>
<th>Service</th>
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<tbody>
<tr>
<td>University</td>
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<tr>
<td>Professional</td>
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<tr>
<td>Patient</td>
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<tr>
<td>Publications:</td>
</tr>
<tr>
<td>Teaching</td>
</tr>
<tr>
<td>Research</td>
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<tr>
<td>Service</td>
</tr>
</tbody>
</table>
# Importable items (via ORCID)

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

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

**Publications:**
- Teaching
- Research
- Service

**Need to be ‘binned’**
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: journal impact factor; 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: #
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, publications are NOT required in teaching or service.
- If teaching or service are the area of excellence, publications are required in BOTH teaching-or-service AND research.
- Balanced-binned case? Publications 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>X</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>scholarship required, need not be binned</td>
</tr>
</tbody>
</table>
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.
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
Candidate statement overall:

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
   - 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—including 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 narrative 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. research or teaching load)
  - 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 mid-summer

Thanks, Aaron Ganci, Herron
### Guides to Dossier Folders

| Category                          |  
|----------------------------------|----------------------------------|
| Clinical Balanced Case           | +                                |
| Clinical Service                 | +                                |
| Clinical Teaching                | +                                |
| Generic                          | +                                |
| Lecturer                         | +                                |
| Research Scientist               | +                                |
| Tenure Track Balanced            | +                                |
| Tenure Track Research            | +                                |
| Tenure Track Service             | +                                |
| Tenure Track Teaching            | +                                |
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**

- Is appropriate to your area of excellence and is in the form that reviewers expect such excellence to be expressed
- Meets department and school requirements for disciplinary expertise
- Meets campus standards for trajectory, reputation, and excellence
- Shows satisfactory achievement in other required areas
- 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
Side trips:
Identifying external reviewers
Materials for external reviewers
Chair’s assessment of outlets

Very school-specific
External reviewers

Candidate needs to identify:
• Collaborators  \(\leftarrow\text{cannot}\) be reviewers
• Problematic reviewers  \(\leftarrow\) can request they not be reviewers
• Potential reviewers  \(\leftarrow\) 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

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.

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
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???
A panel discussion

Panelists:

Aaron Ganci
  Associate Professor, Interim dept chair
  Herron, Visual Communication

JD Mendez
  Associate Professor, Division head
  IUPUC Science

Niki Munk
  Associate Professor, Interim chair
  SHHS, Health Sciences
Thank you!

Individual consultations--contact me!

rapplega@iupui.edu