Office of Academic Affairs

Dossier Preparation
Oct. 29, 2018
Agenda

Welcome: Margie Ferguson
   Senior Associate Vice Chancellor for Academic Affairs

The Goal, and the Path to It

Prep Work

Creating Dossier Contents

eDossier Mechanics

Panel Discussion from campus reviewers

Q&A

The goal is NOT the World’s Best Dossier

The goal is your promotion or your tenure case.

What is needed for that?
Welcome

Margie Ferguson
Senior Associate Vice Chancellor for Academic Affairs

Rachel Applegate
Assistant Vice Chancellor for Faculty Affairs

We are here to HELP you, not JUDGE you
This session vs. “Excellence in...” session

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

Defining
Developing
Campus resources

Trajectory, national reputation
First steps in documentation

Go here for workshop materials

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
• CV
• Regular sections
• Appendices

The eDossier system
• Preparing files
• Using it
The goal, and the path to it
The goal

Your goal is a clear case with convincing evidence effectively presented
A clear case

A clear case is one in which you:

• Have a distinct area of excellence (or coherent balance of strengths)
• Articulate what it consists of (your particular specialty) and what your plans are for the future
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

Effectively presented means you have:

- Fulfilled all of the technical requirements
  - This shows readers that you respect the process and their time and effort
- Avoided editing or typographical errors
  - Errors cause your readers to slow down, to stumble and eventually to get irritated
- Presented sufficient information but **not too much**
  - Massive, undifferentiated information causes your readers to miss your main points
Prep work
Collecting information *from Day One*

General information management
- Box
- 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-up
- multiple
- cloud?
- accessible
IU/IUPUI data: The minimum [for satisfactory] (see next slide)

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
• All unsuccessful grant reviews
• Collaborative work: documentation from collaborators
• List of formal collaborators (co-authors, co-PIs).
  • They can’t be external reviewers

Service:
• List of offices and activities
  • Ask leaders for verification
More notes:

- Copies of disseminated items. “Disseminated” means presented to an audience, and preserved for future reference. Try these methods:
  - Conference presentation? Where are the “proceedings” housed?
  - Put an author’s copy into ScholarWorks (IUPUI Library). This provides a persistent URL you can embed in your CV.
  - Save flyers (take screenshots, pdf) for when you are the advertised speaker
- Documentation from collaborators: see next slide
- Documentation of service (committee work): ask the committee chair to write a note about your service.

- Serving on dissertation committees is already documented in the dissertation; list them in your CV.
More about obtaining confirmation of contributions to collaborative work

“They should make clear their individual role (e.g., conception of work; acquisition, analysis, and interpretation of data; writing, revisions, and other communication; administrative and material support; corresponding or primary authorship) in such collective activity, preferably as related by colleagues involved in the joint work.”

This can be a simple email exchanged, saved as a pdf:

You to co-author:

Dear XXX, on YYY project, my role was A and B and C. Could you please confirm this or let me know how else I should describe it? This confirmation is necessary for my promotion and tenure process.

Use your own IU, IUPUI email. Have them use their own institutional email (no gmail!) and their professional signature block.
Preparing for an area of excellence

For non-tenure track faculty:
• Work in that area must reach the point of *dissemination* in peer-reviewed venues
• Check with your school for standards/examples

For tenure-track faculty:
• A rising trajectory
• Emerging (for associate) or attained (for full) national reputation

Crafting an area of excellence is a matter of judgment and coherence.
Sample judgments re: areas of excellence

You will select the area in which these will be put.
A different person might choose a different area: that’s okay.
Each choice needs to be plausible.
Choose what helps you document your own strengths and scholarly path.

One item = one area
One item = one paper, one presentation, one guidelines / other scholarly output.

One focus area (topic) can lead to multiple items in different P&T areas.

Student-co-authored articles

Dissertation committee
chair
member

Presentation to local professionals (non-academics)

MURI grants
Scholarly work = P&T-worthy

“Scholarly dissemination of your work is required to document excellence in any of the three areas of faculty work; to document highly satisfactory in each area of a balanced case; and also for assessment of satisfactory in research.” (p. 6)

Consider: audience

These are typical: If your audience is...
  fellow researchers = research
  teachers = teaching
  practitioners = service
DMAI and your dossier

Digital Measures / Academic Insights
Used every year for your annual review
### General Information
- Personal and Contact Information
- Biography and Expertise
- Unit Affiliation - Yearly Data
- Prior Work Experience
- IU Appointment Data
- Awards and Honors

### Teaching
- Directed Learning (e.g., theses, dissertations)
- Non-Credit Instruction Taught

### Librarian Performance
- Librarian Performance

### Research/Creative Activity
- Artistic and Professional Performances and Exhibits
- Contracts, Fellowships and Grants
- Publications/Scholarship of Discovery
- Scholarship of Application/Engagement
- Digital Scholarship

### Service/Engagement
- Institutional Service
- Professional Service

### Additional IUSM screens
- Public Service
- Clinical Service
First time users:
• Did you use it at a previous institution? *That information can be transferred to IU*
• Import your citations (see the User Guide)
  • *Add in the ‘areas’ and correct missing information*
• Block out some time to add information from your CV

Everybody:
• Usually due by Feb. 1st for your chair
• Every year IU automatically adds:
  • Course listings (including enrollments)
  • Grant information
• You can upload any number of attachments
DMAI and CVs

- Rapid Reports function
  - Vita
  - Vita – IUPUI CV Format

- Materials must have *areas* and *dates* in order to be included

- Output in Word; then edit to clean up the formatting and add in missing information.
IUPUI P&T CV format

Your dossier must include your CV in the very specific IUPUI P&T format. We provide Word documents with this template in table format or tabbed format or PDF.

DMAI can print out a draft version.

Dossier Forms

Curriculum Vitae Format for Promotion and Tenure Dossiers.
There are two different versions available—one where your information can be placed in a table format or a tabbed format. You may also view it as a PDF. Omit headings that do not apply to your career. If you have additional categories, place them in the most logical area, consistent with this format. As long as you include all the requested information in the order presented, you are not required to use the tabbed or tabled format provided. Adherence to the IUPUI order and requested information will foster consistency as well as facilitate effective and efficient dossier review.
Creating Dossier Content
Steps needed

1. Save raw materials
   - Select area of excellence
   - Identify appropriate folder
2. Summarize/reflect on activities
3. Write candidate statement
4. Prepare materials for external reviewers
5. Determine what goes in regular sections and appendices
   - 50 pages = Candidate statement + regular sections
     • All in **pdf format**
   - Appendices = everything else
     • Any file format. Can create links in the regular sections.

Summarizing **may** help you write your candidate statement, but it is not **needed** until later in the process.
Side note: Timelines

Several workshop participants wanted more information on timelines.

You need to find out your school’s deadlines.

The campus only gets the dossier after it goes through all of the school processes (the due date for schools to be finished is the last week in October).

Different schools have different deadlines. Some hold all their committee meetings in August, so they need the dossier very early; others meet in September.
# 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>
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<tr>
<td>Tenure Track Service</td>
<td>+</td>
</tr>
<tr>
<td>Tenure Track Teaching</td>
<td>+</td>
</tr>
</tbody>
</table>

Find at: Academic Affairs, Faculty Affairs, Promotion and Tenure, Promotion and Tenure Resources
https://academicaffairs.iupui.edu/PromotionTenure/IUPUI-
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.
Sample annotation—Lecturer

Research/Creative Activity ← leave empty
Even if you as an individual conduct research, you cannot present it as part of a case for promotion. You can only present teaching and service, and promotion is based only on teaching excellence (satisfactory service).

Teaching: ← required
- Teaching statement: Option A: 7 page candidate statement then leave this blank. Option B: 5 page candidate statement, and separate 2-page teaching statement. Include discussion of teaching philosophy.
- Teaching load and goals: Brief discussion; note changes over time.
- Peer review of teaching (aggregated): Include your own reflection and response
- Student evaluation of teaching (aggregate): Include your own analysis and response
- Disseminated scholarship on teaching and learning [A]: Required. Here, discuss key items of dissemination. The actual items will go in the Appendix.
- Impact of instruction on teaching and learning [B]: Required. Reference program and IUPUI learning outcomes.
- Undergraduate and/or graduate research mentoring and outcomes [C]: Provide a discussion. List, or refer readers to the CV.
- Course, curricular and professional development [D]::

==Out of A, B, C or D, one at least will represent a special focus. A is required for everybody. C may not be required for everyone.==
The candidate statement

See separate document for a guide to constructing the candidate statement

This guide is consistent with the mandatory P&T guidelines but it is NOT mandatory

See next screen for a summary of all of the key points in the P&T guidelines

*Begin direct (name yourself, what you are applying for, and why you deserve it)*

*End strong (you deserve it because... and your future looks like this)*
The candidate statement

- Reflects their own assessment of their accomplishments
- Describes their work in clear language
- Reflective commentary focused on the criteria
- Address the interrelated aspects of a whole, integrated career
- Their contribution to collaborative scholarship
- In public scholarship...the nature of their work
- Clear and sufficient information about their individual roles
- As appropriate, grant history
- How their service has contributed to the common good of the campus
- Their own assessment of the impact, significance, or value of their work
- Prospects for continued personal development in their defined areas
- Demonstrate that [professional] service ...is, in fact, academic work
- Case for excellence ....made in relation to department, school/unit, and University criteria
Materials for external reviewers

CV: either IUPUI or disciplinary format: ask your school

Candidate statement

Materials to support their evaluation
   (consider links to Box or Scholarworks)

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

Spring before review year
IUSM: earlier
Finalizing the dossier

1. Save everything into appropriate folders

2. Everything in the main folders must be in pdf format.
   - If you have materials in non-text forms, place originals in the Appendices and links to them in the regular sections [see next slide: creating links]

3. Give each file a clear label: your name, date, folder

4. 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.
Sidebar: Creating links

Within eDossier you can link from one file to another.

Look at “Help” in the top right

Quick guide:
--upload the ‘target’ item into an appendix folder
--when looking at the item listing, there is a drop down box on the right. Choose “Copy Link”
--paste the link into a document in the main section.
Example: you have four photos of exhibits you created.
   Load each into an appendix in Research / Creative Activity
   In the regular Research / Creativity folder, have a document where you name and provide a link to each photo
Sample dossiers

On this page:  https://academicaffairs.iupui.edu/PromotionTenure/Dossier-Samples
Each pdf file contains (combined into one):  
A cover sheet listing contents  
At least:  
  CV  
  Candidate Statement  
  Dossier files  
EXCEPT:  
  No appendices  
  No dossier sections that are just repeats of the CV
eDossier Mechanics
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

Where it goes:

Chair vote and report
Primary (dept) committee
   Committee vote, and report
   *Chair notifies candidate*
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
- Reconsideration Items

Not this
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

Any Supplemental Folder upload triggers notifications
How often does reconsideration happen?

2017-2018 cycle:

- 42 cases involving tenure + 1 case withdrawn = 43
- 73 cases promotion only + 6 cases withdrawn = 79

- 3 failed tenure cases
  - 4 more, split-vote but succeeded = 19% of tenure cases
- 1 failed promotion case
  - 5 more, split-vote but succeeded = 15% of promotion cases
Satisfactory, Excellent...

Wait, what was that???
You made it!

Email
rapplega@iupui.edu
With questions