# UNIVERSITY COLLEGE
## Dossier Guidelines and Quick Tips

## OVERVIEW

**ALL ENTRIES IN THE DOSSIER SHOULD BE CAREFULLY PROOFREAD**.

For more detailed information about the content to be included in each section of the dossier, see **SECTION G** of the **University College Handbook**.

For copies of the **promotion and tenure forms,** go to GURU's General Forms Usage Guide at http://guru.psu.edu/forms/promotion-and-tenure-forms.html. This site permits the user to download the forms electronically**)** Dossier **section dividers** and the **biographical data form**, will automatically be generated and print out as part of the *University Dossier r*eport under Rapid or Run Custom Reports in Digital Measures.

Copies of the **University College** documents and forms to be included in the dossier are available in the *P & T Handbook* and may be printed from the web site. These include:

- SRTE Table (Included when report is generated in Digital Measures)
- "Statement of Expectations and Criteria for Promotion"
- Description of how letters of assessment were solicited and procedure for selecting external evaluators (**Section F** of *P&T Handbook*)
- Sample of form letter requesting assessment from external reviewers (**SECTION F** of the **University College Handbook**.

Tips for avoiding common mistakes in each section of the dossier are included in this checklist.

All corrections should be entered permanently by the candidate in the Digital Measures database.

Some entries which would appear in the FARs may need to be removed from the Word document for the purpose of P & T reviews.

## *Review the printed divider page(s) for more detailed information about each category in each section.

## <u>FRONT SECTION:</u> Forms, P & T Documents, Candidate Narrative Statement, and Candidate Signature Page

**Promotion and Tenure Form** (fully complete and accurate)
[Option: Can be generated in Digital Measures]

- o For the 6th-year tenure <u>and</u> promotion review, two forms are required to record the vote for tenure and the vote for promotion
  - \*TENURE FORM is the TOP PAGE
  - \*PROMOTION FORM is the SECOND PAGE
- o Enter the complete name of the candidate
- o Verify that the correct Penn State ID number is entered.
- o If dossier is NOT for Promotion, Early tenure or 6th year tenure, then year must be typed in the box above '6th year tenure" check-off options (2nd-, 3rd-, 4th-, or 5th-year review), type this information above the check-off options
- o Note tenure or early tenure review if appropriate
- o Enter the current rank & title (discipline) for the candidate (e.g., Assistant Professor of Biology)
- o College is **University College**
- o Department: record the **discipline** <u>not</u> the division. (e.g., CAS, Health & Human Development, IST, Spanish)
- o List dates of stay(s) of provisional tenure (i.e., stops of tenure clock) or 'none'
- o The proposed rank & title is the rank for which the faculty member is being considered; *this is **completed on the promotion form only*** (in above example, this would be Associate Professor of Biology)
- o The Tenure Status as of Effective Date of Promotion is only completed in the case of a promotion to full professor and will be "Tenured." This block is not completed in the 6th-year tenure and promotion to associate cases, as the reviews are completed simultaneously and the candidate is tenured at the same time the promotion occurs
- o The completed form(s) must be signed by both the chair of the campus P & T review committee and the chancellor, and boxes should be checked if 'Recommended' or 'Not Recommended'

**Biographical data for promotion/tenure review form**

- o This form is automatically generated with the Digital Measures University Dossier report, under Run Custom Reports and populates from information entered in the General Information section of the database. The form does not include information from current career at Penn State.
- o Complete all categories that are applicable
- o Occupational record – list all employers previous to Penn State
- o List previous sabbaticals taken while at Penn State under the General Information Section in Administrative Data; Yearly Data.

**College criteria statement**

**Campus criteria statement (if there is one)**

**Candidate's narrative statement (paginate 1, 2, 3)**

**CANDIDATE'S SIGNATURE STATEMENT**

- o Signed/dated by the candidate after s/he has reviewed the content of the dossier and verified its accuracy. Missing information and corrections must be made to the dossier *before* the candidate signs this page. **If factual changes are made after the candidate signs, add additional signatures to the same page – do not add another signature statement page.**
- o Do **not number** this page.
- o The original signature(s) must appear in the original dossier.

I have reviewed the contents of my dossier, with the exception of confidential materials, as defined in the HR-23 Guidelines

_____          _____
Candidate Signature                                             Date

- ❖ When changes are added to the dossier, the candidate must resign the signature page by adding the statement "*I have examined the contents of my dossier, with the exception of the confidential materials, since the addition of factual changes on XX/XX/20XX.*" indicating his/her review of contents in dossier and should appear as in italics below.

**<span style="color:red">CANDIDATE MUST REVIEW THE ADDITION OF NEW INFORMATION IN DOSSIER, AND SIGN OFF PRIOR TO IT GOING TO THE NEXT LEVELS OF REVIEW.</span>**

*I have reviewed the contents of my dossier, with the exception of confidential materials, as defined in the HR-23 Guidelines*

_____          _____
*Candidate Signature*                                             *Date*

*I have examined the contents of my dossier, with the exception of the confidential materials, since the addition of factual changes on XX/XX/20XX.*

_____          _____
*Candidate Signature*                                             *Date*

**DIVIDER SECTIONS OF DOSSIER**

DIVIDERS WILL AUTOMATTICALLY PRINT OUT IN DIGITAL MEASURES "University Dossier" report. All dossier pages are automatically numbered.

Additional pages added by you to the dossier will need to be manually numbered in succession with the corresponding section.

**DIGITAL MEASURES DATES:**

> **Promotion Only –** Start Date is the effective date of the last promotion at Penn State or the most recent 10 years – whichever is shorter; End date is June 30 of the academic year of review (i.e. for the 2018-19 AY it is June 30, 2019).

> **All Other Reviews** – **Start Date is date of hire into tenure-eligible position**; End date is June 30 of the academic year of review (i.e. for the 2018-19 AY it is June 30, 2019).

**THE SCHOLARSHIP OF TEACHING AND LEARNING** – the divider is A, followed by page number beginning A-1

- **List all materials in reverse chronological order, with the most recent date listed first.**
- **Verify that all entries are listed under the correct headings**

- List of credit courses taught in resident instruction with enrollments at Penn State.
   **\*For fall dossiers (4th, 5th, 6th, and promotional reviews), manually enter current academic year fall courses in the dossier report (DO NOT enter in Digital Measures).**
- List of non-credit courses and workshops taught in support of outreach-based instruction (if any)
- Include unweighted averages in the Digital Measures generated SRTE table
- Advising responsibilities: number of advisees and their majors
- Other evidence of teaching and advising effectiveness
- Supervision of, and membership on, variety of student theses, projects, performances, exhibitions, etc.
- Peer reviews of teaching\*\* - inserted **most recent first**, signed and dated.
- Any statements from administrators which attest to the candidate's teaching and advising (e.g., DAA review of teaching)\*\*
- DAA Summary of student written comments regarding strengths and weaknesses and exit surveys of students (if conducted) for each class; maximum length two pages. A multipage list of verbatim comments should **not** be included\*\*

\*\*for promotion and tenure cases: insert peer reviews, summaries of student comments and any administrative statements from prior years reviews, plus current information

\*\*for promotion only: insert only current peer reviews, summary of student comments, and administrative statements

<u>THE SCHOLARSHIP OF RESEARCH AND CREATIVE ACCOMPLISHMENTS</u> – the divider is B, page numbered beginning B-1

- <span style="color:red">**List all materials in reverse chronological order, with the most recent date listed first.**</span>
- <span style="color:red">**Verify that all entries are listed under the correct headings.**</span>

- Research and scholarly publications (refer to the complete list for this section on the divider for greater detail)

  - Encompasses candidate's entire career.
  - Clearly identify and distinguish between journal titles & book titles
  - Translate to English all titles of journal articles and journals, book chapters and books, etc. published in another language
  - Make sure citations of work by others and/or journal quality information are included for all journal articles
  - For co-authored or multi-authored articles, <u>make sure the candidate's role and the contribution of the candidate is clearly indicated</u> **<u>(% or explanation of what was done)</u>**
  - Verify the use of correct bibliographic style for the discipline of the candidate
  - Proofread for correct punctuation
  - <span style="color:red">Add proof of acceptance for all entries listed under *Manuscripts Accepted for Publication or In Press*</span>
  - Manuscripts submitted for publication – <span style="color:red">include date submitted, where and <u>include number of pages of manuscript</u></span>
  - Do **NOT** include *Manuscripts in Progress* in 6th year tenure or promotion to full professor dossiers

- ☐ Creative accomplishments
- ☐ Papers presented at technical and professional meetings
  - Presentations – must indicate candidate's role (whether presenter)
- ☐ Record of participation in seminars and workshops (short description of activity, with titles, dates, sponsor, etc.); indication of role in seminar or workshop, e.g., student, invited participant, etc.
- ☐ Description of outreach or other activities (such as consulting and speaking engagements)
- ☐ Funded projects, grants, commissions, contracts *(include **date, title, where submitted, <u>dollar amount requested</u>**)* and status (awarded, and pending)
- ☐ Other evidence of research or creative accomplishments
- ☐ Record of further academic studies
- ☐ Membership in professional and learned societies
- ☐ Description of new courses and programs developed, including service learning and outreach courses
- ☐ New computer software developed
- ☐ New methods of teaching *established* courses and programs

☐ List of honors or awards for scholarship or professional activity
☐ List of grants and contracts for improvement of instruction
☐ Applications of research scholarship in the field
☐ Technology transferred or adapted in the field
☐ Technical assistance provided
☐ Unit specific objective criteria for assessing scholarly substance: ***there are none in University College***

**\*\*Following any committee review, when new factual research information (e.g. manuscript accepted for publication; manuscripts going from in progress to submitted) has occurred needing added to the faculty candidate's dossier, this information is uploaded in PTORP under *New Factual Information.***

## SERVICE AND THE SCHOLARSHIP OF SERVICE TO THE UNIVERSITY, SOCIETY, AND THE PROFESSION the divider is C, followed
by page number C-1

☐ **List all materials in reverse chronological order, with the most recent date listed first**
☐ **Verify that all entries are listed under the correct headings**

☐ Service to the University:  campus, college, division or department, University (dates on all entries)

   o Record of committee work at campus, college, department and University levels
   o Participation in campus and/or University-wide governance bodies and related activities
   o Record of administrative support work (college representative, faculty mentoring, assessment activities, etc.)
   o Record of contributions to the University's programs to enhance equal opportunity and cultural diversity
   o Assistance to student organizations
   o Participation in recruitment and retention activities
   o Participation in development/fundraising activities
   o Other

☐ Service to society as a representative of the University (limit the list to those activities that use the candidate's professional expertise)

   o Participation in community affairs
   o Service to governmental agencies at the international, Federal, state, or local levels
   o Service to business and industry
   o Service to public and private organizations
   o Service to citizen/client groups

- o Testifying as an expert witness
- o Other (e.g., participation in task forces, authorities, meetings, etc. of public, nonprofit, or private organizations)

☐ Service to the disciplines and to the profession

- o Organizing conferences, service on conference committees
- o Active participation in professional and learned societies (e.g., offices held, committee work, and other responsibilities)
- o Other

## EXTERNAL LETTERS OF ASSESSMENT/REVIEW (only needed for promotion and tenure, tenure-only, and promotion-only reviews) the divider is D, followed by page number beginning D-1

**This is the CONFIDENTIAL SECTION of the dossier which IS NEVER TO BE ACCESSIBLE TO OR VIEWED BY THE CANDIDATE.**

➢ **The campus numbers all of the pages in this section from D-1 to D-XX.**

➢ **The page numbers begin with the first item listed below.**

☐ Description of how letters of assessment were solicited and procedure for selecting external evaluators**

☐ Sample of form letter requesting assessment**

☐ List of materials sent to external evaluators (i.e., University College Statement of Criteria, CV, Narrative Statement, list of publications and/or creative accomplishments)

☐ Biographical summary of reviewers

☐ Log of external letters
**Note**: Campus must complete the last column on the log by adding the date on which the letters are added to the dossier

☐ Letters of evaluation from external reviewers

**May be printed from Section F of the P&T Handbook if not already provided by OVPCC.

## **INTERNAL EVALUATION LETTERS BY REVIEW COMMITTEES AND ADMINISTRATORS** the divider is E, followed by page number beginning E-1

☐ The campus numbers all of the pages in this section from E-1 to E-XX.

☐ Evaluation letters for tenure track reviews are **always ordered chronologically with the *earliest* first** and the most recent at the end.

➢ For the typical dossier the letters will be in the following order: 2nd-year letters, 4th-year letters, 6th-year letters.

➢ Page E-1 will be the first page of the 2nd-year campus Promotion and Tenure letter.

☐ All committee reports should list the entire membership, be signed and dated by at least the Chair.

** If addendums and consultations need to be included after the completion of the Campus P&T Committee letters, Campus Administrative Officers letters, these pages get numbered with corresponding number of the last page of the respective review.

(e.g. The Campus P&T Committee letter ends with page E-25, the Campus P&T Committee addendum page is numbered as E-25A; the Campus Administrative Officers' letter ends with E-28, (if the University College Committee's has NOT been included yet, the number is consecutive [E-29]). If the University College Committee review letter has been added to the dossier, then the Campus Administrative Officers' addendum page is numbered as E-28A)

**FOR <u>PROMOTION AND TENURE CANDIDATES ONLY</u>:  copies of all previous evaluations, ordered from the earliest to latest:**

2nd- Review

☐ 2nd-Year Review - Campus P&T Committee (**first page will be E-1**)
☐ 2nd-Year Review - Campus Administrative Officers
☐ 2nd-Year Review - College P&T Committee (only at request of Dean)
☐ 2nd-Year Review – VPCC/Dean

3<u>rd</u>-Year Review (only if conducted)

  ☐ 3<u>rd</u>-Year Review - Campus P&T Committee
  ☐ 3<u>rd</u>-Year Review - Campus Administrative Officers
  ☐ 3<u>rd</u>-Year Review - College P&T Committee
  ☐ 3<u>rd</u>-Year Review – VPCC/Dean

4<u>th</u>-Year Review

  ☐ 4<u>th</u>-Year Review - Campus P&T Committee
  ☐ 4<u>th</u>-Year Review - Campus Administrative Officers
  ☐ 4<u>th</u>-Year Review - College P&T Committee
  ☐ 4<u>th</u>-Year Review – VPCC/Dean

5<u>th</u>-Year Review (only if conducted)

  ☐ 5<u>th</u>-Year Review - Campus P&T Committee
  ☐ 5<u>th</u>-Year Review - Campus Administrative Officers
  ☐ 5<u>th</u>-Year Review - College P&T Committee
  ☐ 5<u>th</u>-Year Review – VPCC/Dean

6<u>th</u>-Year Review

  ☐ 6<u>th</u>-Year Review - Campus P&T Committee
  ☐ 6<u>th</u>-Year Review - Campus Administrative Officers
  ☐ 6<u>th</u>-Year Review - College P&T Committee
  ☐ 6<u>th</u>-Year Review – VPCC/Dean

**<span style="color:red">If a third or fifth-year review was conducted, these letters <u>must be included</u> in all subsequent reviews.</span>**

**FOR CANDIDATES FOR <u>PROMOTION ONLY</u> (include only current evaluations):**

  ☐ Current promotion evaluation by Campus P&T committee
  ☐ Current promotion evaluation by Campus Administrative Officers
  ☐ Current promotion evaluation by College P&T committee
  ☐ Current promotion evaluation by VPCC/Dean

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**SUBMIT TO ASSOCIATE DEAN FOR FACULTY & RESEARCH**

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## BY MAY 20

☐ **Electronically submit materials for external reviewers: COPIES OF PUBLICATIONS** selected by candidate to be sent to external reviewers, current **CV** and **NARRATIVE STATEMENT**

## BY MID-NOVEMBER

☐ COPIES OF DOSSIERS:  **original** signed dossier **plus two (1) copy**

- o **Copy pages <u>one-sided</u>.**

- o Check to ensure that in each section of the dossier
  * All Section Dividers are included in dossier
  *all pages are correctly numbered
  *all pages are in the correct order
  *no pages are missing.

- o Do <u>not</u> staple dossiers; use binder clips.

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**SUPPLEMENTAL MATERIALS ON FILE IN
CAMPUS OFFICE OF ACADEMIC AFFAIRS**

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☐ **Two copies** of each dossier for use during the campus-level reviews.

☐ Complete set of SRTE forms

☐ Copies of **ALL** publications

☐ Other supplemental materials, such as a teaching portfolio (if not available online)

PROMOTION AND TENURE ONLINE REVIEWING PLATFORM (PTORP)

REMINDERS:

➢ After the candidate has signed and review the final version of his/her dossier, upload the respective sections with the corresponding sections in PTORP.

➢ MAKE SURE THAT THE DIVIDERS ARE UPLOADED AS THE FIRST PAGE FOR EACH SECTION.

➢ Open viewing access to one level of review at a time.

➢ Close the viewing access to the Campus P&T Committee before opening viewing access to the Campus Administrators.

➢ TO MAKE SURE THE DOSSIER IS COMPLETE AND ACCURATE, VIEW THE ENTIRE DOSSIER IN PTORP.

➢ **MAKE SURE THAT THE DOSSIER IN PTORP and the hard copy in the OVPCC office both match and contain any updated material.** The dossier in PTORP is the dossier that is reviewed by the University Committee and used for decision making. If revisions are made during the P&T process and after the dossier has been uploaded in PTORP, upload the revision to the respective section and send hard copies to OVPCC. The hard copy of the dossier is submitted to the Office of Human Resource and becomes part of the faculty member's permanent record.

➢ If there are revisions to the dossier after hard copies have been sent to the OVPCC, please notify us that changes/revisions were made, the changes were uploaded to PTORP, and send hard copies of the revised section to OVPCC.