

# COE Guidelines for Preparing a Dossier

Updated: February 1, 2010

At Montana State University a *dossier* is required for retention, promotion, and tenure reviews. The dossier is intended to contain all of the information needed to adequately determine if you have met the standards for retention, tenure, and/or promotion. The required contents of the dossier are specified quite precisely, and the goal of this document is to provide assistance in preparing the dossier correctly.

## The Rules (Criteria and Standards)

Each College and many departments at MSU have a document called the *Role, Scope, Criteria, Standards and Procedures for the Formal Review of Tenurable Faculty*; informally called the *Role and Scope* document. In the College of Engineering, prior to 2010 each Department has its own Role and Scope, but now the entire College has a single Role and Scope document. You may use the current Role and Scope, or the version that was in effect during your last retention, tenure, or promotion review (or when you were hired if you have never been reviewed).

Note: The College of Engineering uses the same criteria and standards for all faculty, not just tenurable faculty. The only difference is the number of levels of review:

- **Tenable faculty:** Six levels of review (Department to University)
- **Adjunct Faculty:** Four levels of review (Department to College)
- **Research Faculty:** Two levels of review (Department P&T Committee, Department Head)

You should review Role and Scope document to learn the rules that apply to the various reviews. This document is about putting together the dossier, not about meeting the standards for promotion or tenure.

## Timing of Dossier Preparation

Dossiers contain a great deal of information, and it takes time to collect and produce all of the required items.

### *When Should You Start Collecting Materials?*

One of the required items in the dossier is your *letter of hire*. When you receive that document is a good time to begin collecting information for the dossier. It is recommended that you have a box or drawer where you can routinely place materials that may ultimately end up in your next dossier.

Note: Dossiers are scheduled to go electronic in 2010-11, so you might want to collect data in a folder on your desktop instead.

The types of information that you should collect include:

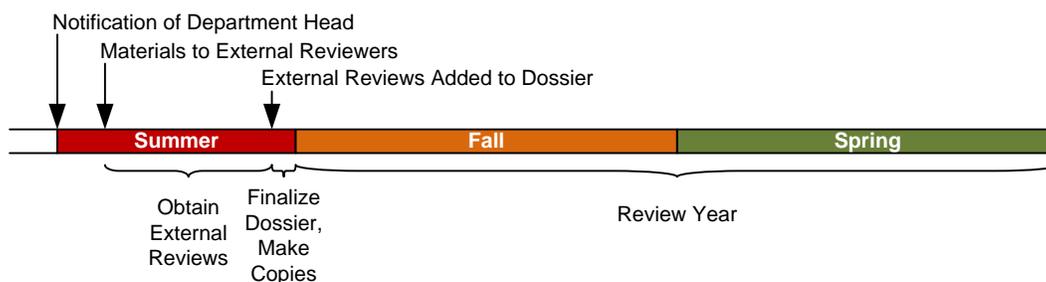
- A copy of your letter of hire
- Annual review documents, especially any time your expected distribution of efforts (% Teaching, % Research, % Service) is renegotiated
- Grant activity (proposals submitted and funded)
- Publications (refereed, non-refereed, conference presentations, invited papers)
- Course assignments and student evaluations
- Peer reviews of teaching
- Graduate students you have advised
- Undergraduate research students you have advised
- Awards you have received
- Public service and outreach activities in which you have participated
- Professional positions you have held (e.g., editorships, conference committee memberships)

Some of the contents of the dossier must be compiled months or years in advance of the review.

- Evidence of teaching **effectiveness** and/or **excellence** (including peer assessment of classroom instruction) needs to be accumulated over the years preceding the review.
- Evidence of research **effectiveness** and/or **excellence** must be accumulated in the years preceding the review.

### ***When Should You Start Preparing the Dossier?***

You are responsible for putting together the dossier in time for the review. All reviews begin in Fall semester, so your dossier should be complete at the beginning of Fall semester, but the preparation timeline begins much earlier. The first step is notifying your Department Head that you plan to submit a dossier for the next year's review cycle; this should be done by the end of Spring semester before the year of the review.



Some reviews (not retention reviews) require sending materials off to external reviewers and waiting for them to return reviews. It generally takes 6 to 10 weeks to obtain external reviews. The materials that must be sent to the external reviewers should be available by the second week of summer term. (Check with your Department Head for specific deadlines.)

The materials that do not need to be sent out to external reviewers can be prepared while the external reviews are in progress. Most faculty members can assemble their portion of their dossier in a couple of weeks.

The weeks near the end of summer term are needed by administrative staff in your Department to finalize the dossier and have multiple copies produced.

## Dossier Sections

The contents of the dossier are strictly prescribed. Some portions of the dossier are compiled by your department head and administrative staff. The individual responsible for each section of the dossier is listed in Table 1.

**Table 1. Dossier Sections and Responsibility**

Item	Location	Responsibility
<b>Role and Scope Document</b>	Inside front pocket	Staff
<b>Cover Sheet</b>	1 <sup>st</sup> page	Candidate/Staff <sup>1</sup>
<b>Table of Contents</b>	2 <sup>nd</sup> page	Candidate
<b>I. Review Documents</b>	Review Documents Tab	Staff
<b>II. External Reviews<sup>2</sup></b>	External Reviews Tab	Department Head
<b>III. In-Depth Assessments<sup>2</sup></b>	In-Depth Assessments Tab	Department Head
<b>IV. Internal Peer Reviews</b>	Internal Peer Reviews Tab	Department Head
<b>V. Assignment and Performance</b>	Assignment and Performance Tab	Candidate
<b>VI. Curriculum Vitae</b>	Curriculum Vitae Tab	Candidate
<b>VII. Self-Evaluation / Personal Statement</b>	Personal Statement Tab	Candidate
<b>VIII. Materials Indicative of Teaching Performance</b>	Teaching Tab	Candidate
<b>IX. Materials Indicative of Performance in Research / Creative Activity</b>	Research Tab	Candidate
<b>X. Materials Indicative of Performance in Outreach / Public Service and Service</b>	Service Tab	Candidate
<b>XI. Documentation Indicative of Professional Development<sup>3</sup></b>	Professional Development Tab	Candidate
<b>Supporting Documentation<sup>4</sup></b>	Appendix, or under separate cover	Candidate

Notes:

1. The top portion of the cover sheet is completed by the candidate, while the Recommendations section at the bottom of cover sheet is completed by staff.
2. External reviews and in-depth assessments are not required for retention reviews; leave these sections empty for retention reviews.
3. The Professional Development section is not used in the College of Engineering and should be left blank.
4. Supporting documentation beyond what is included in the dossier is rarely needed.

A checklist is provided at the end of this document to help ensure that all dossier requirements are met.

## Contents of Each Section of the Dossier

### *COE Role and Scope Document*

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**Responsibility:** Staff

**Intent**

The *Role, Scope, Criteria, Standards and Procedures* (RSCSP) document has been included so that the reviewers can read the “rules” (criteria and standards) that are used to evaluate the dossier.

The *COE Role and Scope* document is available online <<insert URL when available >> and will be provided to the candidate by the departmental staff. The document is simply inserted in the front cover inside pocket.

### *Cover Sheet*

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**Responsibility:** Candidate and Staff

**Intent**

The Cover Sheet provides basic information to inform reviewers how to evaluate the dossier. It also provides an area for recording the results of the various reviews.

The Cover Sheet is available online ([www.montana.edu/wwwprov/PTdocs/](http://www.montana.edu/wwwprov/PTdocs/)) and should be provided to you by departmental staff.

**Candidate’s Information**

You complete the upper portions of the cover sheet. Leave items blank that do not apply to your situation (e.g., “tenure date” has no meaning if you are preparing for a retention review.)

- **Name**
- **Present academic rank**
  - Assistant Professor, Associate Professor, or Professor
  - Adjunct Assistant Professor, Adjunct Associate Professor, or Adjunct Professor
  - Research Assistant Professor, Research Associate Professor, or Research Professor

**Note:** *Promotion from Adjunct Instructor to Adjunct Assistant Professor is handled as a reappointment rather than a review. This document applies only to adjunct professors at the Assistant, Associate, and full Professor levels.*

- **Department**
- **College**
- **Date of tenurable appointment** (normally, this is the employment start date listed in your letter of hire)
- **Date of tenure** (July 1 of the year of your successful tenure review)
- **Years granted toward tenure** (0 to 3, listed in your letter of hire if non-zero)

- **Date of last promotion** (July 1 of the year of your last successful promotion review)
- **Type of appointment**
  - Instructional – faculty with instructional expectations (typical faculty)
  - Professional Practice Faculty
  - Adjunct Faculty
  - Research Faculty
- **Distribution of effort** – the expected percentage of your time devoted to each *area of responsibility*: teaching, research/creative activity, and outreach/service/outreach. Initially, these percentages are listed in your letter of hire, but they can be changed via negotiation between the faculty member and the department head during annual reviews. If your distribution has changed, the record of the new percentages should be a part of the annual review at which they were changed.
- **Primary duties and responsibilities** – space is provided for a one-paragraph description of your primary duties. This paragraph is part of your letter of hire, but if your responsibilities have changed since the time of hire, you may update the paragraph.
- **Type of review** – you need to indicate which type(s) of review you are seeking (retention, tenure, promotion). For promotion reviews, you need to specify the rank you are seeking (e.g., Associate Professor, Professor).

**Comments:**

- More than one type of review may be requested, except for retention, which is always handled alone.
- If you are an assistant professor requesting review for tenure, you will be reviewed for promotion to associate professor at the same time, and you should indicate that you are seeking both tenure and promotion reviews on the cover sheet.
- **Area of emphasis** (MSU calls this the area of excellence/promise of excellence) – you must select only one area. (The area of emphasis is not used for retention reviews and should not be selected.)
  - For faculty with instructional expectations (most faculty fall in this category), you must choose either teaching or research/creative activity.
  - For professional practice and adjunct faculty, the *area of emphasis* is the area assigned the greatest percentage effort (distribution of responsibilities). If you have two areas with equal percentages, you may select either as your area of emphasis.
  - For research faculty, the *area of emphasis* is research.

- **Signature** – verifies that you have requested the review of your dossier.
- **Date**

### **Recommendations Section**

The Recommendations Section is completed by staff members as the reviews progress.

- For adjunct faculty, the review process stops at the College level.
- For research faculty, the review process stops at the Department level.

## ***Table of Contents***

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**Responsibility:** Candidate

### **Intent**

The Table of Contents is provided to help ensure that the required content is included and to allow reviewers to quickly access the information in the dossier.

The blank Table of Contents page is available online at [www.montana.edu/wwwprov/PTdocs/](http://www.montana.edu/wwwprov/PTdocs/) and should be provided to you by departmental staff.

You should consecutively number all pages in sections V through XI and include the page numbers for those sections on the cover sheet. This is not intended to be an overwhelming chore:

- The page numbers can be added by hand after the dossier is completed.
- Sections can (if desired) be numbered independently (e.g., V-1, VI-1).
- It is not necessary to white out existing page numbers on included content such as journal articles; simply put the dossier page numbers in a different, but consistent location.

## ***I. Review Documents***

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**Responsibility:** Staff members add reviews as they are completed.

### **Intent**

The Review Documents section is used to accumulate the various letters from reviewing administrators and P&T Committees. It will be empty when you submit the dossier to your department head.

## ***II. External Peer Reviews***

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**Responsibility:** Your department head solicits the external reviews and adds them to your dossier.

**Note:** *MSU requires that the letters from external reviewers be treated as confidential. You may request a summary of reviewer comments from your department head, but you may not see the review letters.*

## Applicability

- This section is a required part of tenure and promotion reviews for all faculty members.
- This section is left empty for retention reviews.

## Definitions

- **External** – means outside of the University.
- **Peer** – this means that reviewers should be well-enough versed in your field to be able to judge the extent and quality of your work.

## Intent

The external peer reviews are used as input to the in-depth assessment of your area of emphasis (teaching or research). Because this is the area in which you must demonstrate either potential for excellence (tenure and promotion to associate professor) or excellence (promotion to professor), external peer reviews are used as the basis for the in-depth assessment.

Obtaining external peer reviews is a critical part of your dossier preparation.

## Process Overview

1. You complete dossier sections VI through IX. These sections are the inputs to the in-depth assessments. More information about the required contents of these sections is provided in later sections of this document.
2. You provide your department head with a list of names and contact information for several (5+) potential external peer reviewers. These should be individuals who are familiar enough with your area of emphasis (e.g., teaching or research) to be able to judge your performance.

**Note:** *You should not use past academic or research advisors, or individuals you would identify as friends or colleagues. If colleagues must be used because of a small pool of qualified individuals, be sure to describe the extent of your interaction with the individuals you nominate.*

3. If your area of emphasis is teaching, you should provide your department head with a list of names and contact information of several (3+) students who can provide additional input to the in-depth assessment of your performance in your area of emphasis.
4. Your department head creates his/her own lists of potential reviewers and (when appropriate) students. He/she then selects sets of reviewers, students, and/or clients from the combined lists.

**Note:** *MSU requires that the majority of individuals be named by the department head. The COE interprets this as 50% or more of the individuals must be named by the department head (in case of an even number of individuals).*

5. Your department head contacts prospective external reviewers to see if they are able to act as reviewers. This is to ensure that at least 5 reviewers agree to evaluate your materials, and at least 5 (the MSU minimum) return letters for inclusion in the dossier.
6. Your department head sends the selected external reviewers the following items:
  - Cover letter – describes the type of review, the applicable standards, your expected percentage effort in your *area of emphasis*, and the necessary timeframe for the peer review
  - A copy of the materials you provided in dossier sections VIII or IX as appropriate to the *area of emphasis*.
  - A copy of the *COE Role and Scope* document

The external reviewers will be asked to specifically state whether the applicable standard has been met in your *area of emphasis*.

7. Your department head receives the reviews from the external reviewers and adds them to the dossier in the *External Peer Reviews* section. It is the responsibility of your department head to ensure that the required number (5+) of external peer reviews are included in the dossier.
8. Your department head also includes a copy of the cover letter that was sent to the external reviewers, and a brief CV of each external reviewer in section II of the dossier.

### ***III. In-Depth Assessments***

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**Responsibility:** Your department head solicits these assessments and adds them to your dossier.

**Applicability**

- Not required for retention reviews.
- For tenure and promotion reviews...
  - An in-depth assessment of teaching is required for all faculty members who have an expected effort (> 0%) in the teaching area.
  - An in-depth assessment of research/creative activity is required for all faculty members who have an expected effort (> 0%) in the research/creative activity area.
  - An in-depth assessment of outreach/service is required for all faculty members who have an expected effort (>0%) in the outreach/service area.

**Intent**

Section III contains the in-depth assessments for each of your areas of responsibility. These assessments are the primary way of documenting that you have met the sustained effectiveness standard required for tenure or promotion in each assigned area of responsibility.

### Notes on number of reviewers

- If your assigned percent effort in an area is less than 20%, the Departmental P&T Committee will perform the in-depth assessment in that area. No other reviewers are required when the assigned percent effort is less than 20%.
- For your area of emphasis, a list of 5+ external reviewers should be provided to the Department Head.
- For your other areas of responsibility (not the area of emphasis) a list of 3+ reviewers (can be internal to the University) should be provided to the Department Head.

### Process Overview

*Note: For a complete description of the in-depth assessment process, see the COE Policy on In-Depth Assessment. Only those portions that pertain to the candidate are included in detail here.*

1. You complete dossier sections VIII, IX, and X. These sections are the primary inputs to the in-depth assessments. More information about the required contents of sections VIII, IX, and X is provided in later sections of this document.
2. You provide your department head with the lists of prospective reviewers and students (as necessary).
  - For your area of emphasis (teaching or research), you provide your Department Head a list of (5+) individuals outside of the University who are qualified to review your dossier materials in the area of emphasis.
  - For your other areas of responsibility with at least 20% effort assigned, you provide your Department Head a list of (3+) individuals (can be internal to the University) who are qualified to assess those areas.
  - For the in-depth assessment of teaching, you provide a list of students (3 or more, current and former) who can provide input to the committee about your teaching. When teaching emphasized (percent effort greater than 45%, or teaching selected as area of emphasis, 5+ letters from students should be included in the dossier.) Letters from students are included with the in-depth assessment of teaching.
3. Your department head also creates lists of prospective reviewers and/or students (as necessary for your *areas of responsibility*).
4. Your Department Head selects a group of prospective reviewers and solicits review letters.
5. Your Department Head creates **assessment committees** of two or more faculty members to perform the in-depth assessment in each area of responsibility with an assigned effort of at least 20%.

6. The assessment committees review the dossier contents and the review letters, write up their in-depth assessments, and return them to the Department Head.
7. Your Department Head adds the in-depth assessments to Section III of the dossier.

#### ***IV. Internal Peer Reviews***

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**Responsibility:** The candidate and the Department Head provide names of prospective reviewers. The department head solicits the reviews and adds them to your dossier.

**Applicability**

- Internal peer reviews are used for the in-depth assessments of areas other than your area of emphasis. (Internal peer reviews are optional for areas of responsibility assigned efforts of less than 20%.)

**Intent**

The internal (internal to the University) peer reviews serve two primary purposes:

1. Providing an opportunity for faculty members inside the candidate's department, but not on the Department's P&T Committee, to provide input to the review process.
2. Providing an opportunity for colleagues within the University to provide input to the review process. The internal peer reviews are used as part of the in-depth assessment.

*Note: While external peer reviews are required for your areas of emphasis, internal peer reviews may be used for the other areas of responsibility.*

**Process Overview**

1. You may provide your department head with the names and contact information for individuals that you believe can provide significant input to your review.

*Note: Internal reviewers do not receive copies of the information in your dossier, so it is important to nominate individuals who have sufficient knowledge of your activities and performance to provide meaningful input.*

2. Your department head solicits letters of review from all members of the department faculty and from individuals from the combined lists (your list and Department Head's list for each applicable area of responsibility.)
3. Your department head inserts the internal review letters in section IV of your dossier.

#### ***V. Assignment and Performance***

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**Responsibility:** Candidate This information is often obtained from the candidate's personnel file and Departmental staff may provide copies of the required information for inclusion in the dossier.

**Applicability**

Assignment and performance data are required for all levels of review.

**Intent**

- The **assignment information** (e.g., 45% teaching, 45% research, 10% service) provides a basis for assessing the information in the dossier. If the effort distribution (percentages) in your *areas of responsibility* has changed over time, it is important to point that out for reviewers so that they can account for the changes as they review your dossier.
- The **performance information** (e.g., annual review results) provides input on how your performance has been judged over time.

**Note:** *If you were awarded years of credit towards tenure, assignment and performance information from those years at your previous institution should be included in the dossier.*

## VI. Curriculum Vitae

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**Responsibility:** Candidate

**Applicability**

An up-to-date curriculum vitae (CV) is required for all levels of review.

**Intent**

Your CV provides a lot of information about your activities and accomplishments over time. This is a highly significant part of your dossier.

*Note: While a typical faculty CV focuses on research performance, teaching and service activities should also be included if you have responsibilities in these areas.*

**Contents** (You are not required to use this format)

A CV designed to highlight information needed for a P&T review might include:

- Name and contact information
- Education (degrees, institutions, dates)
- Experience, or Appointments (titles, institutions, dates)
- Teaching
  - Journal Articles, Chapters or Books (with a pedagogy focus)
  - Conference Presentations (with a pedagogy focus)
  - Courses Taught (titles, dates)
  - New Courses Developed (titles, dates)
  - Advising (numbers of students, dates)
  - Undergraduate Researchers Advised (names, majors, dates)
  - Graduate Students Advised (names, majors, dates)
- Research
  - Peer-Reviewed Journal Articles, Chapters, Books
  - Other Journal Articles, Chapters, Books
  - Invited Papers and Presentations
  - Conference Presentations
  - Patents

- Awarded Grants and Contracts
- Service
  - Memberships in professional societies
    - Leadership roles
    - Conference chair positions
  - Service activities
    - Professional Committees
    - University, College, Department Committees
    - Advisory boards
  - Journal and proposal reviews

## ***VII. Self-Evaluation/Personal Statement***

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**Responsibility:** Candidate

### **Applicability**

A personal statement or self-evaluation is required for all levels of review. It is typically 2 or 3 pages in length.

### **Intent**

Your personal statement or self-evaluation is your opportunity to provide your assessment of your performance. For many reviewers, this is the first section they read.

This is the most unspecified section of your dossier, but you should cover all expected *areas of responsibility* (teaching, research/creative activity, outreach/service). This section provides an opportunity to provide context and explanation for information in other sections.

It is fully expected that you will present yourself in the best possible light.

## ***VIII. Teaching***

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**Responsibility:** Candidate

### **Applicability**

Information on teaching is required for all levels of review for faculty members who have an expected effort (> 0%) in the teaching area.

### **Intent**

This section contains the basic data that will be used to perform an in-depth assessment of teaching. It is important to provide sufficient information that the assessment committee can complete the in-depth assessment. The amount of information depends on

- Your expected percent effort in the teaching area
- The standard you are expected to meet (effectiveness, promise of excellence, or excellence)
- Your area of emphasis

## Evaluation Materials

The College of Engineering has identified the following materials as useful in assessing teaching. This list is intended to be informative, but you do not have to include each item from the list in your dossier, and you may include additional items.

1. **Statement** – [Required] A brief (up to 500 words) statement in which the candidate describes her/his approach to teaching and learning. You should specifically address how they gauge the level of student learning.
2. **Course List** – [Required] You supply a list of courses taught during the review period, number of credits and/or contact hours for each course, and number of students per course.
3. **Summary of Student Evaluations** – [Required] You provide a summary of student evaluation forms including a brief synopsis of written comments. The actual forms are not included, but will be available to the P&T administrative reviewers and committees upon request. You are encouraged to supply a brief narrative offering your interpretation of the results.

Other forms of student feedback (e.g., summary instructional outcome surveys) can also be included in this section.

4. **Course Materials** – [Required] For each of two different courses you have taught, you should provide the course syllabus listing course learning objectives, a sample student assignment, a sample examination, and other relevant course materials. This should be accompanied by a description that explains why the course is designed the way it is, how it coordinates with other courses or programs, and how the evidence presented is designed to help students meet the course objectives.
5. **Publications** – [See Table 2] You should list all education-related articles published in journals.
6. **Presentations** – [See Table 2] You should list all education-related conference presentations.
7. **Grant Activity** – [See Table 2] You should list all grant activity (proposals, award amounts) related to teaching enhancement.
8. **Student Work Samples** – [See Table 2] Where appropriate, you may supply student work samples as evidence of improvements in student understanding or performance.

Note: Evidence of grant activity and publications related to teaching enhancement could be included in either the teaching or research areas. As a general rule, if your area of emphasis is teaching, you should probably include all evidence of performance related to teaching in Section VIII: Teaching. If doing so leaves Section IX: Research/Creative Activity looking empty, it is OK to include a page in Section IX reminding readers that evidence of grant activity and publications was included in Section VIII.

**Note:** *Examples that demonstrate student development are more useful than exemplary final products and candidates are cautioned against focusing on the work of only their top students.*

9. **Classroom Observations** – [See Table 2] Multiple observations of at least two different courses will be conducted according to the departmental procedure for peer observations of teaching, which is available from the department head. The observers will be selected by the Head and may be selected from outside the department.
10. **Evidence of Innovation** – [See Table 2] You should provide evidence of any innovations and an explanation for why the evidence demonstrates innovation in teaching. Assessment data on the effectiveness of the innovations is strongly encouraged.
11. **Contributions Beyond the Candidate's Classroom** – [See Table 2] You might be involved in educational efforts that extend beyond the individual's classroom. This could include such activities as textbook writing, K-12 curriculum development, involvement in professional societies, or writing about teaching innovations. In cases where these activities have direct impact on your classroom, they should be included in item 10: Evidence of Innovation. Otherwise such materials may be included in this section, which will be reviewed separately by the external reviewers. You are encouraged to supply a brief written interpretation of the materials.
12. **Educational Portfolio** – [See Table 2] The educational portfolio is a collection of works that shows your abilities as an educator. It is analogous to the “Selected Journal Articles” required in the research area, and serves the same purpose; it is sent to peer reviewers.

It is expected that the amount of material presented in the teaching section will vary with the percentage of time allocated to teaching and your chosen *area of emphasis*. A faculty member demonstrating **sustained effectiveness** in teaching will likely provide much less evidence of teaching than a faculty member demonstrating **promise of excellence** or **excellence**.

Table 2 is presented as a rough guideline for the amount of information expected in the teaching section.

**Table 2. Guideline for Teaching Materials**

<b>Item</b>	<b>Standard: Effectiveness</b>	<b>Standard: Excellence</b>
<b>Statement</b>	Yes	Yes
<b>Course List</b>	Yes	Yes
<b>Summary of student evaluations</b>	Yes	Yes
<b>Course materials</b>	Yes	Yes
<b>Publications</b>	No	Probably
<b>Presentations</b>	No	Probably
<b>Grant Activity</b>	No	Probably
<b>Student work samples</b>	No	Yes
<b>Classroom observations</b>	No	Yes
<b>Evidence of innovation</b>	No	Probably
<b>Contributions beyond the classroom</b>	No	Yes
<b>Educational Portfolio</b>	No	Yes

The extensiveness of the in-depth assessment of teaching also varies depending on

- Your expected percent effort in the teaching area
- The standard you are expected to meet (**effectiveness, promise of excellence, or excellence**)
- Your *area of emphasis*

### **Teaching Leadership**

The College of Engineering's standard of excellence includes the phrase "teaching leadership." It is expected that individuals who select teaching as their *area of emphasis* will have evidence of teaching activities that are helping to improve teaching beyond the walls of their own classroom. Common evidence would include grant activity in the area of pedagogy, publishing a text that is adopted at other universities, presentations at national conferences focused on education, and/or publications related to education in journals; but other evidence of teaching leadership may be presented.

### **Letters from Students**

Letters from students are not included in Section VIII: Teaching, but are required as part of an in-depth assessment of teaching and are included in Section III. The number of student letters solicited (by the department head) should increase (5+) when the percent effort in the teaching area is greater than 45%, or when the *area of emphasis* is teaching. When a faculty member is attempting to demonstrate **excellence** or **promise of excellence** in teaching, external reviews of teaching are required.

A teaching packet containing (1) your CV, (2) your teaching statement and (3) your educational portfolio is sent to external reviewers as part of the in-depth assessment of teaching when your area of emphasis is teaching.

## ***IX. Research/Creative Activity***

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**Responsibility:** Candidate

### **Applicability**

Information on research/creative activity is required for all levels of review for faculty members who have an expected effort (> 0%) in the research/creative activity area.

### **Intent**

This section contains the basic data that will be used to perform an in-depth assessment of research/creative activity. It is important to provide sufficient information that the assessment committee can complete the in-depth assessment.

### **Evaluation Materials**

The College of Engineering has identified the following materials as useful for evaluating performance in research/creative activity. This list is meant to be informative: you do not have to include every item on this list, nor are you limited to listed items.

- Research funding and proposal writing
- Student (graduate and undergraduate) research productivity and performance
- Documented research reports, conference presentations, refereed journal articles, conference articles, monographs, texts
- Invited papers and presentations
- Professional assignments with technical committees, technical editing
- Awards or honors for research or similar recognition
- Use of research and creative activities to improve instruction

Your assigned percentage effort in research and your chosen area of emphasis are considered when your performance is evaluated. See the COE Policy on In-Depth Assessments for more detail.

### **Contents of Research Section**

Many of the evaluation criteria are documented as part of your CV. The Research section contains the following items:

- **Research Summary**  
This is much like a personal statement with a research focus. It is intended to provide context for the evaluation of your research efforts. It is typically 0.5 to 2 pages.
- **Selected Journal Articles or Creative Works**  
MSU restricts faculty to a set of 5 journal articles or other creative works. You are expected to choose a set of works that best shows your abilities.

For most faculty, the research summary and set of journal articles is all that appears in the Research section, but adding additional information (other than additional journal articles or creative works) is allowed if it will help with the in-depth assessment of your research.

A research packet containing (1) your CV, (2) your research summary and (3) your selected journal articles or creative works is sent to external reviewers as part of the in-depth assessment of research/creative activity when your area of emphasis is research.

## ***X. Outreach/Service***

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**Responsibility:** Candidate

### **Applicability**

Information on outreach/service is required for all levels of review for faculty members who have an expected effort (> 0%) in the outreach/service area.

### **Intent**

This section contains the basic data that will be used to perform an in-depth assessment of outreach/service. It is important to provide sufficient information that the assessment committee can complete the in-depth assessment.

### **Evaluation Criteria**

The College of Engineering has identified the following materials as useful for evaluating performance in outreach/service. This list is meant to be informative: you do not have to include every item on this list, nor are you limited to listed items.

- Memberships in professional societies
- Leadership roles in professional societies
- Conference chair positions
- Service on University, College, Department committees
- Service on advisory boards
- Journal and proposal reviews

Many of the evaluation materials are simple lists and are documented as part of your CV, but the lists are typically reproduced in Section X: Service.

For a faculty member with a 10% work expectation in service, a simple list of service activities is generally adequate. However a faculty member with a more significant expectation in outreach will need a much more extensive collection of evidence of performance in this area.

### ***XI. Professional Development***

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#### **Applicability**

This section is not used in College of Engineering dossiers; it should be left empty.

### ***XII. APPENDIX: Supporting Documentation***

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**Responsibility:** Candidate (if needed)

#### **Applicability**

This section is available if needed for any type of review, but it is rarely used.

#### **Intent**

This section is available for additional information that may be required to adequately assess your performance. If you include information in this section, be sure to refer to the information in one or more of the other sections (V through XI), or the information may never be read.

# Dossier Preparation Checklist

## Responsibility

### Items to Department Head Early

- |  |           |
|--|-----------|
| <input type="checkbox"/> Notification of intent to submit dossier for review                             | Candidate |
| <input type="checkbox"/> Names and contact data for potential external reviewers in area of emphasis     | Candidate |
| <input type="checkbox"/> Packet of materials to send to external reviewers in area of emphasis           | Candidate |
| <input type="checkbox"/> Names and contact data for potential reviewers in other areas of responsibility | Candidate |
| <input type="checkbox"/> Packet(s) of materials to send to reviewers in other areas of responsibility    | Candidate |

### Items to Candidate Before Dossier Preparation

- |   |       |
|---|-------|
| <input type="checkbox"/> COE Role and Scope Document in front pocket        | Staff |
| <input type="checkbox"/> Dossier Binder (until the process goes electronic) | Staff |
| <input type="checkbox"/> Table of Contents Page                             | Staff |
| <input type="checkbox"/> Cover Sheet  | Staff |

### Items Added to Dossier Before Submission to Department Head

- |   |           |
|---|-----------|
| <input type="checkbox"/> Cover Sheet  | Candidate |
| <input type="checkbox"/> Table of Contents  | Candidate |
| <input type="checkbox"/> Dossier sections V. through XI. consecutively numbered (by hand is ok) | Candidate |
| <input type="checkbox"/> Table of Contents Sections V. through XI. numbered (by hand is ok)     | Candidate |
| <input type="checkbox"/> V. Assignment and performance documents                                | Candidate |
| <input type="checkbox"/> VI. Curriculum vitae   | Candidate |
| <input type="checkbox"/> VII. Self-evaluation/personal statement                                | Candidate |
| <input type="checkbox"/> VIII. Materials Indicative of Teaching Performance                     | Candidate |
| <input type="checkbox"/> IX. Materials Indicative of Performance in Research/Creative Activity  | Candidate |
| <input type="checkbox"/> X. Materials Indicative of Performance in Outreach/Service             | Candidate |
| <input type="checkbox"/> XI. Documentation Indicative of Professional Development               | Candidate |
| <input type="checkbox"/> Supporting Documentation (rarely needed)                               | Candidate |

### Items Added to Dossier Before In-Depth Assessments

- |   |                 |
|---|-----------------|
| <input type="checkbox"/> II. External review letters, cover letter, CVs of external reviewers | Department Head |
| <input type="checkbox"/> III. Student letters (if needed)                                     | Department Head |
| <input type="checkbox"/> IV. Internal peer review letters                                     | Department Head |

### Processing Steps Before In-Depth Assessments

- |   |       |
|---|-------|
| <input type="checkbox"/> Four copies of dossier (plus original) | Staff |
|---|-------|

### Items Added after In-Depth Assessments, Before Review Process

- |  |                 |
|--|-----------------|
| <input type="checkbox"/> III. In-Depth Assessments – All Areas of Responsibility | Department Head |
|--|-----------------|

### Items Added to Dossier During Review Process

- |   |       |
|---|-------|
| <input type="checkbox"/> Review letters added as reviews are completed                            | Staff |
| <input type="checkbox"/> Decision and vote tally added to cover sheet as each review is completed | Staff |