

# Dossier Preparation Workshop



**JULY 11, 2018**

# UCAPT



**UNIVERSITY COMMITTEE ON  
APPOINTMENTS, PROMOTIONS, AND TENURE**

# Important Dates



- **Dossiers should be submitted to the Office of Faculty Affairs by the following dates:**
  - **October 15:** Promotion dossiers not involving tenure
  - **February 1:** Tenure dossiers
  - **March 15:** Senior lateral appointment dossiers
- **Extensions**
- **Expedited consideration**

# New in 2017 Manual



- **New discussion on collaborative work in multidisciplinary teams (section 2.4)**
- **Policy on recusals of internal authors**
- **New committee on RTPC promotions**
- **New guidance on evidence for teaching effectiveness (section 8.8.2)**
- **New Solicitation Letter templates:**
  - Schools no longer are required to go back to letter writers who have not answered all the questions

# The dossier



# Dossier overview



- **Checklist for Dossier Preparation (UCAPT Manual)**
- **1 complete hard copy**
- **1 complete electronic copy, divided into the sections listed on the Dossier Preparation Checklist**
- **No more abbreviated hard copies!**



# Appointment/ Promotion form

Do not include  
offer letter

University of Southern California

RECOMMENDATION FOR PROMOTION Date \_\_\_\_\_

School \_\_\_\_\_ Second School \_\_\_\_\_

Department \_\_\_\_\_ Second Department \_\_\_\_\_

Name \_\_\_\_\_  
(Last) (First) (Middle Initial)

Terminal degree \_\_\_\_\_ Date \_\_\_\_\_ Institution \_\_\_\_\_

Proposed rank and title \_\_\_\_\_  
 W Tenure  
 W/O Tenure

Present rank and title \_\_\_\_\_  
 W Tenure  
 W/O Tenure

Years of Teaching at USC \_\_\_\_\_

Date of first tenure-track appointment at USC \_\_\_\_\_  
(Attach copy of letter of appointment)

Date of mandatory decision on tenure at USC  
or date tenure was granted \_\_\_\_\_

Dept. Chair \_\_\_\_\_ Date \_\_\_\_\_ Dept. Chair \_\_\_\_\_ Date \_\_\_\_\_  
(If joint appointment)

Dean \_\_\_\_\_ Date \_\_\_\_\_ Dean \_\_\_\_\_ Date \_\_\_\_\_  
(If joint appointment)

Vice President \_\_\_\_\_ Date \_\_\_\_\_

President \_\_\_\_\_ Date \_\_\_\_\_

WHITE COPY: PROVOST/VICE PRESIDENT YELLOW COPY: DEAN PINK COPY: ORIGINATING DEPARTMENT

# I-A. Administrative Assessments



- **Dean's memo**
- **School committee memo**
- **Department chair memo**
- **Department faculty memo**
- **Additional assessments for interdisciplinary candidates**





## **I-B. Quantitative Data**

Quantitative data, including a cohort analysis, are required. If any of this (besides cohort analysis) is not applicable, other relevant metrics need to be included.

- **Cohort analysis (required)**
- **Chart showing scholarly or creative output per year**
- **Citation counts**
- **Journal impact factors**
- **List of grants (if applicable)**
- **Other relevant metrics (optional)**

# Cohort Analysis (required)



## Name of Candidate Sample Cohort Analysis

Name/Title	School	Academic Area	Terminal Degree Year	Year Rank Achieved	Metric #1	Metric #2	Metric #3	Metric #4
<u>CANDIDATE</u>								
Peer #1								
Peer #2								
Peer #3								
Peer #4								
Peer #5								
Peer #6								
Peer #7								
Peer #8								
Peer #9 (etc.)								

\* NOTE: Include paragraph explaining how cohort was determined.

# Citation Counts

(Web of Science)



Web of Science™ InCites™ Journal Citation Reports® Essential Science Indicators™ EndNote™ Sign In Help English

WEB OF SCIENCE™ THOMSON REUTERS™

Search Web of Science™ Core Collection My Tools Search History Marked List

Welcome to the new Web of Science! View a brief tutorial.

Basic Search

smith, j Author Search

+ Add Another Field | Reset Form Select from Index

**TIMESPAN**

All years

From 1900 to 2017

▶ MORE SETTINGS

\* Author Search and/or Cited Reference Search



**Results: 52,474**

(from Web of Science Core Collection)

Select articles grouped for author name [i](#): **smith,j**

You searched for: AUTHOR: (smith, j) ...More

Create Alert

### Refine Results

Search within results for...



#### Web of Science Categories

- BIOCHEMISTRY MOLECULAR BIOLOGY (2,432)
- MEDICINE GENERAL INTERNAL (2,193)
- PHYSICS PARTICLES FIELDS (1,904)
- ASTRONOMY ASTROPHYSICS (1,785)
- SURGERY (1,725)

more options / values...

Refine

Sort by: **Publication Date -- newest to oldest** ▾

◀ Page 1 of 5,248 ▶

Select Page



Save to EndNote online ▾

Add to Marked List

Analyze Results

Citation Report feature not available. [?]

1. **Total Dissolved Gas Pressure Measurements for Assessing Contaminant Degradation Processes in Groundwater**

By: Roy, James W.; McLeod, Heather C.; Suchy, Martin; et al.  
GROUND WATER MONITORING AND REMEDIATION Volume: 37 Issue: 1 Pages: 67-77  
Published: WIN 2017

Find it @ USC

View Abstract

Times Cited: 0  
(from Web of Science Core Collection)

Usage Count ▾

2. **A Backward Sampling Framework for Interdiction Problems with Fortification**

By: Lozano, Leonardo; Smith, J. Cole  
INFORMS JOURNAL ON COMPUTING Volume: 29 Issue: 1 Pages: 123-139 Published: WIN 2017

Find it @ USC

View Abstract

Times Cited: 0  
(from Web of Science Core Collection)

Usage Count ▾

3. **College Enrollment and Completion Among Nationally Recognized High-Achieving Hispanic Students**

By: Gurantz, Oded; Hurwitz, Michael; Smith, Jonathan  
JOURNAL OF POLICY ANALYSIS AND MANAGEMENT Volume: 36 Issue: 1 Pages: 126-+  
Published: WIN 2017

Find it @ USC

Full Text from Publisher

View Abstract

Times Cited: 0  
(from Web of Science Core Collection)

Usage Count ▾

4. **Ireland, Europe and the Global Crisis (vol 22, pg 177, 2016)**

By: Smith, Jackie  
JOURNAL OF WORLD-SYSTEMS RESEARCH Volume: 23 Issue: 1 Pages: 219-220 Published: WIN-SPR 2017

Times Cited: 0  
(from Web of Science Core Collection)

Usage Count ▾

Use the checkboxes to remove individual items from this Citation Report

or restrict to items published between  and

	382	453	1883	3450	2811	23308	395.05
<input type="checkbox"/> 1. <b>Observation of Gravitational Waves from a Binary Black Hole Merger</b> By: Abbott, B. P.; Abbott, R.; Abbott, T. D.; et al. Group Author(s): LIGO Sci Collaboration; Virgo Collaboration PHYSICAL REVIEW LETTERS Volume: 116 Issue: 6 Article Number: 061102 Published: FEB 11 2016	0	0	659	941	382	1982	660.67
<input type="checkbox"/> 2. <b>GW151226: Observation of Gravitational Waves from a 22-Solar-Mass Binary Black Hole Coalescence</b> By: Abbott, B. P.; Abbott, R.; Abbott, T. D.; et al. Group Author(s): LIGO Sci Collaboration; Virgo Collaboration PHYSICAL REVIEW LETTERS Volume: 116 Issue: 24 Article Number: 241103 Published: JUN 15 2016	0	0	114	436	276	826	275.33
<input type="checkbox"/> 3. <b>FIRST MEASUREMENT OF THE RATE FOR THE INCLUSIVE RADIATIVE PENGUIN DECAY B-]S-GAMMA</b> By: ALAM, MS; KIM, IJ; LING, Z; et al. PHYSICAL REVIEW LETTERS Volume: 74 Issue: 15 Pages: 2885-2889 Published: APR 10 1995	1	5	2	2	1	618	25.75
<input type="checkbox"/> 4. <b>THE CLEO-II DETECTOR</b> By: KUBOTA, Y; NELSON, JK; PERTICONE, D; et al. NUCLEAR INSTRUMENTS & METHODS IN PHYSICS RESEARCH SECTION A-ACCELERATORS SPECTROMETERS DETECTORS AND ASSOCIATED EQUIPMENT Volume: 320 Issue: 1-2 Pages: 66-113 Published: AUG 15 1992	4	3	4	1	2	618	22.89
<input type="checkbox"/> 5. <b>Measurements of the meson-photon transition form factors of light pseudoscalar mesons at large momentum transfer</b> By: Gronberg, J; Hill, TS; Kutschke, R; et al. Group Author(s): CLEO Collaboration PHYSICAL REVIEW D Volume: 57 Issue: 1 Pages: 33-54 Published: JAN 1 1998	19	12	22	24	6	447	21.29
<input type="checkbox"/> 6. <b>GW170104: Observation of a 50-Solar-Mass Binary Black Hole Coalescence at Redshift 0.2</b> By: Abbott, B. P.; Abbott, R.; Abbott, T. D.; et al. Group Author(s): LIGO Sci Virgo Collaboration PHYSICAL REVIEW LETTERS Volume: 118 Issue: 22 Article Number: 221101 Published: JUN 1 2017	0	0	0	155	256	411	205.50
<input type="checkbox"/> 7. <b>GW170817: Observation of Gravitational Waves from a Binary Neutron Star Inspiral</b>							

# Barry Barish Citations



Export Data:

Total Publications

495



*h*-index

72

Average citations per item

47.09

Sum of Times Cited

23,308

Without self citations

21,856

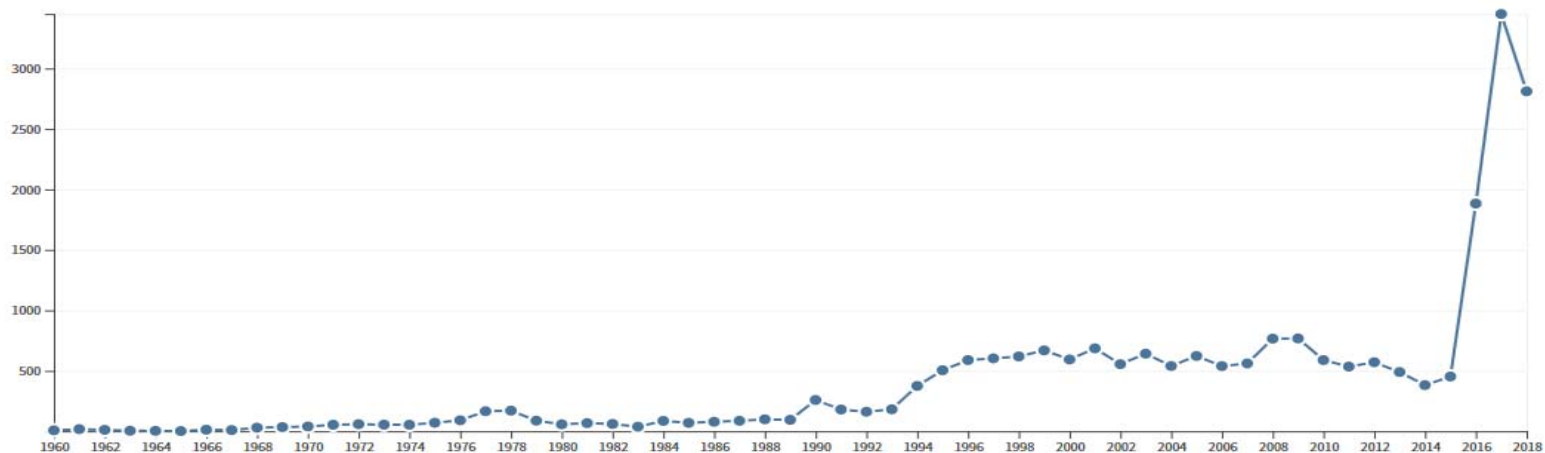
Citing articles

13,055

Without self citations

12,669

Sum of Times Cited per Year



# Journal Impact Factors

- From ISI Journal Citation Reports, journal webpages, etc.

The screenshot displays the InCites Journal Citation Reports interface. At the top, there is a navigation bar with links for Web of Science™, InCites™, Journal Citation Reports®, Essential Science Indicators™, and EndNote™. On the right side of the navigation bar are links for Sign In, Help, and English. Below the navigation bar, the InCites™ Journal Citation Reports® logo is prominently displayed, along with the Thomson Reuters™ logo. A 'Home' button is visible on the left side of the page. The main content area is divided into two tabs: 'Journals By Rank' (selected) and 'Categories By Rank'. Under the 'Journals By Rank' tab, there is a search bar labeled 'Master Search' and a 'Show Visualization +' button. Below the search bar, there are three main sections: 'Compare Selected Journals', 'Add Journals to New or Existing List', and 'Customize Indicators'. The 'Compare Selected Journals' section contains a table with the following data:

		Full Journal Title	Total Cites	Journal Impact Factor	Eigenfactor Score
<input type="checkbox"/>	1	CA-A CANCER JOURNAL FOR CLINICIANS	20,488	137.578	0.06231
<input type="checkbox"/>	2	NEW ENGLAND JOURNAL OF MEDICINE	283,525	59.558	0.68235



## II. Curriculum Vitae

- CV format that is standard for discipline
- Publications must have dates or be noted as “in press,” “under review,” or “submitted”

## III. Personal Statement

- Need not be more than 5 pages
- Should not simply be a summary of publications





## **IV. Teaching Record**

- Teaching memo from department/school
- Teaching statement from candidate
- Chronological list of courses taught
- List of courses developed/revised
- List of graduate students/post-docs mentored

## V. Service Record



- **Service statement from candidate (optional)**
- **Service record (list)**



## **VI. Referee Letters**

- **Sample solicitation letter**
- **Referee chart**
- **Referee bios (before each letter)**
- **Section VI-A: substantive letters from arms-length referees**
- **Section VI-B: other letters (collaborator, non-arms-length)**



# Section VI-A: Arms-length letters



## Arms-length

- May have met the candidate at conferences and other professional activities

## Non-arms-length

- Collaborator
- Friend
- Current or former colleague
- Former fellow grad student
- Mentor

# VII. Appendix



## VII-A. Evidence of Scholarship

- Recent publications and other scholarly/creative work, including (if applicable):
  - Articles and books
  - Samples of creative work
  - Reviews of candidate's work (published reviews and/or publishers' reviews)
  - Pink sheets of grants

## VII-B. Evidence of Teaching Effectiveness

- Course syllabi
- Student evaluations
- Classroom observations
- Other evidence (optional)

# Senior Lateral Appointments and Transformative Hires



- Deans may use different school/department committees for administrative assessments
- Personal statement may not be available
- Could ask official or colleague at candidate's current institution for information on the candidate as a teacher and mentor
- Service information may be available from candidate's CV or the public record
- Deans may contact the Office of Faculty Affairs if you would like to use a smaller number of referees
- Evidence of scholarship may be available from the public record

# Reconsiderations on Tenure Decisions



- **Original dossier AND reconsideration dossier**
- **Reconsideration dossier should include full hard copy and electronic copy**
- **Reconsideration dossier should only include the new evidence**