EXTENSION FACULTY & STAFF RESOURCES

Considerations for preparing the dossier for promotion

EXTENSION

UtahStateUniversity.

Considerations for Extension faculty
Preparing the Dossier for Promotion

This document is intended to provide supplemental information for Extension faculty in the preparation of materials for promotion (with tenure if applicable) to Associate Professor. Please refer to the faculty code (USU Policy 405) which governs the promotion and tenure process at USU. **Preparation of the dossier material is the responsibility of the candidate.** Information provided in the following pages includes suggested strategies to assist candidates in assembling a well-organized dossier with strong evidentiary support for their case. The suggestions outlined below should not be interpreted as requirements dictated by the college, as not all content is relevant to all faculty, even those with similar appointments. Candidates should consult with their Promotion & Tenure Chair and/or Department Head with questions about preparing the dossier that are not addressed herein.

Contents

1. Electronic Dossier System

Utah State University requires that candidates use an electronic dossier ("e-dossier" accessible at https://dossier.usu.edu) system for promotion and tenure review as well as the third-year review of probationary tenure-track faculty. The e-dossier is housed on the Interfolio platform which is a cloud based system that has high security, flexibility, and longevity. Below are several e-dossier resources.
- For Campus Community: USU E-Dossier FAQs
- For Candidates: Training Manual

The dossier administrator for USU Extension is Tammy Firth (tammy.firth@usu.edu; 435-797-2201). Please contact her with questions regarding access to your e-dossier.

2. Preparing Your Dossier

The completed electronic dossier will include the following components:
- All letters from the Promotion (and Tenure) Advisory Committee (yearly), the Department Head (yearly) the Dean & Vice-President for Extension (third-year review & final review)
- Letters from external reviewers (for final review; not visible to candidate)
- Role statement (signed annually)
- Candidate's self-assessment letter (only the most recent year)
- Vita

- Documentation (include only those sections that apply to your role statement)
  - Research
  - Teaching
  - Extension
  - Service
- Appendices

General considerations

The Faculty Code dictates that performance in the major area of emphasis must be judged to be "excellent" and your performance in the remaining domains of professional service must be judged to be "effective" to advance and/or be granted tenure. In the appropriate section, provide evidence for the development of excellence in the major domain of your role. Questions pertaining to clarification of benchmarks for excellence or effectiveness should be directed to your Promotion & Tenure Advisory Committee (P/TAC) and/or department head.

The dossier provides the candidate an opportunity to document excellence/effectiveness and to illustrate his/her

> *Recommended best practice:*
> *Begin a draft dossier your first year of employment and update its contents every year prior to annual review.*

professional trajectory over time. A strong document is well-supported by evidence. That evidence may take the form of metrics (citation numbers, evaluation scores, program participants served), narratives (teaching peer evaluations, student letters, survey feedback), and other documents as appendices. To make the strongest case, we advise you to not inappropriately embellish any part of your dossier and to include evidence to support your professional performance as part of the dossier appendices as needed.

Think about the dossier as a work in progress throughout the pre-tenure period with periodic revisions and updates. An effective strategy is to update the dossier each year for review by the P/TAC. Aesthetics and organization will have an impact on the reviewers' first impression of your dossier. A good rule of thumb to keep in mind: a well-constructed dossier will not make a bad case good, but a poorly assembled dossier could dim reviewers' enthusiasm.

A few pointers to consider:
- Use a header system to break up sections and stick with it throughout all of your documentation.
- Use a simple, straightforward font that is easy to read, and test it out in a PDF and on printed paper.
- Be consistent in use of fonts and color.
- Use color to highlight key information.
- Use summary tables, figures, or diagrams to convey complex information in an easily digestible manner.
- Ruthlessly edit your document for spelling and grammar errors.
- Make sure your numbers add up throughout the document (grant tallies, participant tallies, etc.).

3. Self-assessment letter (recommended 4 to 6 pages)

The self-assessment letter should be a well thought out essay that clearly articulates your trajectory toward achieving excellence and effectiveness in the respective domains of your role statement. This letter is the executive summary of the outcomes that are further detailed in the dossier. Be positive and promote your achievements. You can also use the letter to share your personality as you tell reviewers *why you do what you do* and why your work matters. Clearly define your domain of emphasis, as specified in your role statement, (i.e., research, teaching, or Extension), at the beginning of your letter. Consistent with your role statement, consider organizing the letter by focusing first on your domain of excellence, then your secondary domains of effectiveness

(if applicable) with service listed last. In all of your domains, illustrate inputs, outputs and outcomes (impacts). Highlight any special recognitions from the university, state, or professional society that are relevant to one of your roles with context to help others understand the nature of the recognition. The self-assessment letter and corresponding documentation gives you the opportunity to openly address any gaps, inconsistencies, or shortcomings, while providing important context as appropriate. You may wish to provide context for any potential concerning elements of your case, but do not focus on these issues excessively to the detriment of telling your professional story. Consider including a few tables, graphs, or other visuals that can concisely summarize key data and demonstrate impact. The recommended length noted here is 4 to 6 pages, though candidates should consult with their P/TAC committees and department heads regarding the letter length as norms may vary by unit.

For Extension faculty, define your approach to Extension
- Provide information on your programs (e.g. needs, innovative approaches, funding, and impacts).
- Discuss your ability to reach diverse audiences. Address how your Extension efforts address specific local, state, national needs.
- Provide information on your work with county faculty and/or other specialists.
- Discuss your efforts in disseminating information.
- Discuss the impacts of your program(s).

Define your approach to service and outcomes
- This section can be brief and summarize key activities and their outcomes. Include service to the department, college/university, profession, and community as appropriate.

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4. Vita

The vita should be a complete accounting of your entire academic and professional history. Some individuals reviewing your documentation may look closely only at the self-assessment letter and the vita. Therefore, the vita may duplicate (in a shortened form) much of the content of the documentation sections. This duplication is understood as necessary because of the different ways each reviewer will approach assessment of your dossier materials.

Candidates should note that the self-assessment letter and the vita will be provided to the external reviewers. Thus, candidates should make sure that the vita is thorough. Consider including a few simple graphics or brief tables that concisely convey highlights or important metrics that illustrate the impact of your teaching, research or extension activities.

The vita can include the following information (as relevant to your role statement), though you may structure the document at your discretion. Some recommendations for organization are noted in parentheses below. This content list is not exhaustive, and you may add/remove sections as needed.
- Education
- Academic appointments & professional experience
- Special licensures, certifications or specialty boards
- Professional and academic honors
- List of funding awards (separate external from internal, competitive from non-competitive)
- Publications (books, journal articles, conference proceedings, fact sheets, etc.; specify which are peer-reviewed; separate published from in review/submitted/in preparation; indicate co-authorship with students; for research faculty, indicate corresponding authors; note relevant metrics)

- Presentations (separate oral from poster presentations; indicate student co-authorship; indicate invited presentations)
- Students or interns mentored (separate graduate and undergraduate; note students for whom you were major advisor; indicate degree completion as appropriate; indicate any special awards students received related to your mentoring activities)
- Courses taught (indicate those for which you were course director and those you developed independently; indicate frequency of instruction, credits, typical class size, etc.)
- Professional societies and organizations (indicate any leadership roles)
- Expert scientific review
- Outreach activities (workshops, public communication, news stories, seminars, etc.)
- Service (department, university, other professional service)

5. Documentation

This section of the dossier can be customized to best tell your professional story. In brief, think of this section as the place where you give **context** to your work. If you have multiple roles, you will ultimately need to split this section into components *research*, *teaching*, *Extension*, and *service* for uploading files in the electronic dossier system.

General suggestions include *mapping your professional activities to your responsibilities outlined in your role statement*. As an example strategy, you could include a table that lists your role statement benchmarks side-by-side with bullet points outlining evidence for excellence. You may also wish to seek example documentation from prior successful candidates with similar responsibilities.

5.i Extension Documentation

Faculty with Extension assignments are expected to provide the public, primarily within the state, with research-based programs and resources. While Extension activities may vary by discipline, your supporting documentation should provide context and specificity regarding how your Extension efforts align with role statement expectations. Specifically, show how you:
- Provide leadership to Extension activities.
- Assist Extension faculty in the field.
- Implement and direct programs that respond to clientele needs and issues.
- Demonstrate scholarship in Extension, which is broadly defined as creative activity in the development and/or application of Extension materials.
- Manage budgets and personnel.
- Serve diverse audiences and support the civil rights mandate of University Extension.

The dossier should provide evidence of high-quality leadership to the Extension activities and areas you are assigned. This leadership can occur in many ways. The content below provides suggestions to help you build a compelling argument for promotion and tenure. Please note that this list is not necessarily exhaustive and should be customized to tell your professional story.

Extension activities
- Extension can provide educational opportunities to clientele in a wide variety of settings such as webinars, interactive video broadcasts, apps, workshops, short courses, seminars, demonstrations, one-on-one consultations, radio, TV, etc. Describe innovative approaches and/or why you use traditional methods.
- Describe the assessment of needs/issues that prompted development of your extension programs.
- For each program, outline goals and describe tools used for feedback and assessment of effectiveness.
- Consider including a logic model for each major Extension program.
- Include information on clientele. Document number of program participants and relevant demographic information that illustrates the reach of your program.
- Describe efforts to meet local needs through program public/private partnerships, work with advisory groups, community interactions, etc.

Assistance to Extension faculty in the field
- Describe your philosophy and approach to coordinating and collaborating with others.
- Detail collaborative programs and describe your role.
- List the number of updates, in-service trainings, etc. provided to field faculty on the latest research, national Extension initiatives, and issues in your academic discipline
- Describe the impact of your leadership on the efforts, effectiveness, and efficiency of field faculty.

Funding for Extension programs
- Provide context for the funding environment and the typical agencies/foundations that support Extension projects.
- List all proposals submitted including the investigators, proposal title, funding entity, requested amount.
  - Indicate funding status (i.e., awarded, declined, under review).
  - Indicate your role on the proposal (primary investigator, co-investigator, consultant, etc.) and provide a definition for different roles as needed for different agencies. Indicate your percent responsibility on the grant as assigned in Kuali (under *credit allocation*) when submitted.
  - Provide a brief description of the project goals extracted from the abstract.
  - For funded proposals, include award amount, start and end dates.
- Document how funded awards supported program objectives (ties in with documenting impact of extension programs).

Extension publications, reports, educational materials, electronic resources or other multi-media content
- List products or resources developed, such as apps, e-courses, etc.
- List articles with official authorship list, publication year, article title, journal name, volume, page range. If published in an academic journal, describe relevant metrics such as age of the journal, acceptance rate, impact factors, the SJR journal ranking, and the journals' h-index.
- For reports, fact sheets and other publication types, provide the author list, article title, publisher and date of publication.
- Use special font style (e.g., italics, bold, or underline) or superscript symbol (*,†, ‡, §, etc.) to identify undergraduate students, graduate students or postdoctoral co-authors.
- Separate refereed papers/resources from non-refereed.
- The vita may include all of your publications and scholarly works. However, for the Extension documentation, you should focus on work published **while at USU** versus those of prior appointments, including graduate student and postdoctoral publications.
- Document the readership/users of your publications/resources by including metrics for citations (if appropriate). These may include page views, downloads, likes or followers, subscribers, etc.

Extension presentations
- Clearly list all presentations at Extension conferences, professional meetings, community meetings, etc. (include abstract citation or dates, sponsoring organization, and location of meeting; create separate lists for presentations by type of event).
- Provide evidence of impact. Describe the venue, and note if it was a major meeting in your field. Note the expertise (academic or lay) and scope (local, regional, national, international) of the audience. Indicate the number of attendees or viewers.
- Use special font style (e.g., italics, bold, or underline) or superscript symbol (*,†, ‡, §, etc.) to identify undergraduate student, graduate student or postdoctoral co-authors.
- Note any oral presentations that were invited or special lectures (e.g., keynote).
- Note any presentations that were recognized with special awards, such as for student competitions.

Extension outreach communications
- Note any interviews given, news stories authored, or social media content developed in your Extension role.
- Document date of interview/publication, publisher/outlet, and the target audience. Include copies of communication products (PDFs or media recordings) in your appendices.

Provide evidence of impact
This will vary by program. Impacts may occur in behavioral, financial, social, or environmental domains. In order to document the impacts of your program, obtain "benchmarks" early in program development which can be used later to monitor progress and impact. Impacts may be described as results, actions, or changes that occurred because of your program.   Some examples include:
- Adoption of resources/curricula by other Extension personnel.
- Application/adaptation of scholarly activity.
- Delivery methods and use of novel media in information transfer to clientele.
- Intra- and extramural applied research and/or Extension funding.
- Leadership in applied or adapted scholarly activity directed toward solving current problems and issues created by new ideas.
- Evidence of a strong ability to interact with colleagues and transfer information from research programs to clientele groups.
- Major contributions to public service for growers, industry, commodity organizations, consumers, and/or county extension .
- Documented improvements in practices of growers, consumers, and/or government clientele.
- Documented outputs, impacts, and outcomes through surveys or other data collection tools.

Awards and honors
- Provide a list of all awards or honors pertaining to your extension role.
    - Describe the nature of the award (local, regional, national, etc.).
    - Indicate what qualifications were needed for the award, the attributes that the award recognizes.
    - Indicate (if known) how competitive the selection process was.

Supporting materials
- Copies of assessment or feedback tools for extension programs.
- Educational resources or documents produced.
- Publications, fact sheets, reports, etc.

- Letters of support from participants and community partners.

5.ii Service Documentation

Note that "service" cannot be designated as the primary role for any USU faculty.
- Clearly list all committee service with start/end dates and brief descriptions of responsibilities and accomplishments. Outline the committee outputs and impacts.
- Separate this content into subsections for department, college, university, professional and community service as needed.
- Indicate any leadership roles in service activities (committee chair, conference organizer, symposium chair, etc.)
- Document service as an expert in your discipline
  - List journals for which you provided expert peer review (indicate journal prestige with impact factor and/or ranking and indicate number of articles reviewed).
  - List granting agencies and grant review panels for which you provided expert peer review (include dates of service; separate internal grant review from that provided for state or federal agencies).
- Include a list of other expert opinion or scientific review provided.
- List any awards for service.

6. Appendices in Interfolio

Because the dossier is submitted electronically, you have a fair amount of freedom in the appendices you provide to the committee and external reviewers. Please note that if content is not provided in the self-assessment, vita, supporting documentation, or appendices, it may not be considered in the review process. In other words, if an item is not part of your Interfolio dossier, it essentially does not exist. Thus, you can use the appendices to provide evidence for the materials you outline in the letter, vita and supporting documentation. Consult with your P&T chair and/or department head regarding questions on what to include and any limits on the number/size of appendices files to include in the electronic dossier.

Appendices may include, in part:
- PDF copies of published journal articles, fact sheets, trade publications, etc.
- Multi-media files for other types of scholarly or creative work.
- PDF versions of presentations (reduced size PDFs please for easy upload and viewing).
- PDF copies of submitted conference abstracts or conference proceedings, preferably including the submission information for that conference.
- PDF copies of submitted grants.
- Notices of grant awards from funding agencies.
- Copies of letters for honors or awards received from the sponsoring individual.
- Copies of letters (or email) invitations for service as grant review or manuscript review.

Avoid relying on URL links to documents in box.com or other repository, if possible. External reviewers may be hesitant to click on links as some sophisticated internet users can devise mechanisms to track incoming URL locations, which may reveal the identity of the individual accessing the material. If your content is internet-based, include a URL along with a PDF printout of the website in case a reviewer declines to access the web address. We suggest that you employ an easily trackable referencing system in your documentation to the appendices.

7. Content for External Review

While USU reviewers use content deposited by candidates in Interfolio, external reviewers do not have access to the electronic dossier. Per USU Policy 405.8.3(1), the candidate should prepare a summary of the pertinent information in his or her file to send to the external reviewer, in consultation with the promotion advisory committee and department head. Recommended materials include the following:

- Role statement
- Self-assessment letter
- Vita
- Select materials documenting the candidate's performance (appendices)
- Criteria for promotion and tenure and USU, as established by USU Policy Manual (faculty code) and approved by the Board of Trustees.