

MEDICAL SCHOOL DOSSIER TEMPLATE

BOOKMARKS*

1. 7.12 Statement or Track Statement
 - a. 7.12 Statement

OR

 - b. Clinical Scholar track, Research track, Teaching track, or Academic track Statement
- i. Memorandum of Understanding (MOU) – only applicable for Tenured/Tenure-track candidates
2. Curriculum Vitae ([Medical School CV template](#))
3. External Review and Evaluation
4. Teaching
5. Research and Scholarship
6. Service
7. Annual Appraisals (Form 12/12a, and/or Summary Evaluation)
(Including current year)
8. Departmental Recommendations
9. Record of Vote
10. Internal Review and Evaluation
11. Candidate's Statement of Assurance
12. Selected Reprints (list only – do not include actual reprints in the dossier)
13. Cover sheet (Word document, submitted separately from the dossier – *tenured and tenure-track faculty only*). See page 16 for template.

Updated 4/12/17

*Insert bookmarks to represent each “Tab” in the dossier and label as listed above. You can view your bookmarks after they have been inserted by clicking on the bookmark icon on the left side of the screen.

1. To insert a bookmark in a PDF file, go to the first page of the section you want to bookmark (for section with multiple pages, such as the CV, go to the first page of that section).
2. Right click on that page, and select the “Add Bookmark” option or go to that page and click “Ctrl +B”.
3. Type the label as noted above.

1. 7.12 STATEMENT OR TRACK STATEMENT

This section includes:

- 7.12 Statement
 - Tenure-track
 - Tenured
- Clinical Scholar
- Teaching Track
- Research Track
- Academic Track

a. MEMORANDUM OF UNDERSTANDING (MOU)

This section includes:

- The form designating the version of the 7.12 chosen for promotion after the approval of the updated 7.12 in 2012-2013.

The MOU form is for Tenured and Tenure-track faculty hired before last approved date on 7.12 only.

2. CURRICULUM VITAE

This section includes:

Current, complete (not abbreviated) curriculum vitae with fully annotated bibliography, using the required [Medical School CV template](#).

Annotated bibliography must include:

- **Candidate name** (in bold)
- **Journal impact factor** (most current impact factor, not from year of publication)
- **Number of times cited** (Manifold, Google Scholar, Web of Knowledge - be sure to indicate where citation count was found)
- **Faculty member's role in the publication**
- **Impact Analytics Grid**

NOTE: Use [Manifold](#) whenever possible. Affiliate faculty should use Google Scholar to derive their metrics and notate it on their CVs.

Impact Analytics Grid

<i>h</i> -Index	<i>h</i> (<i>fl</i>)-Index*	Total Publications	First/Last Author Publications	Total Citations	First/Last Author Citations

**h*(*fl*)-Index is not applicable for affiliate faculty

Go to Manifold: <http://z.umn.edu/manifold> to obtain the above information. (Manifold is a web-accessible interface that generates profiles and reports of research impact and scholarly output for faculty and departments in the University of Minnesota Medical School. Visit the [FAQ](#) section if you feel your profile is missing publications.)

3. EXTERNAL REVIEW AND EVALUATION

8-11 external letters of review

The following criteria should be considered when identifying potential reviewers:

- Distinguished faculty or, occasionally, highly regarded non-academics
- Faculty (**reviewer must be equal to the rank or above for which the candidate is being considered**)
- Ability to provide an impartial and evaluative review of the candidate's qualifications and accomplishments
- Contribution to achieving an overall balanced view of the candidate and to providing a range of perspectives

No more than four non arm's length (external reviewers with a professional relationship) can be included. Professional relationship includes any employment overlap at the same organization (even if the candidate did not interact with the potential reviewer). **DO NOT SOLICIT MORE THAN 5 LETTERS FROM REVIEWERS WITH A PROFESSIONAL RELATIONSHIP TO THE CANDIDATE.**

This section should include:

- a. A numbered list (1-11) of each letter requested in the following order:
Arm's Length, Non-Arm's Length (Professional Relationship), Letters Not Received.
See sample below (page 19)

Include the following information:

- Name, credentials, title, and affiliation of each reviewer contacted.
 - **A statement about each reviewer's qualifications, professional standing, and relationship to the candidate (if any).** Statements from the [External Review and Evaluation](#) document may be used to describe the relationship.
 - For those reviewers who were contacted but did not provide a letter, explain why the request was not fulfilled.
- b. A sample copy of the letter sent to potential reviewers soliciting an evaluation. [Template letters provided.](#)
 - **If a faculty member has extended their "Maximum Period of Probationary Service" (University Forms [1764](#), [1766](#)), a statement to that effect **MUST** be made in the request from the Department.**
 - c. Letters from reviewers external to the University of Minnesota.

NOTE: Letters from reviewers who have a personal relationship with the candidate are not acceptable. Dossiers that do not meet these requirements will be returned to the department for amendment.

4. TEACHING

This section should include:

- a. Estimate of the percentage (%) of time spent in teaching/instructional/educational effort.
- b. Narrative summary of teaching/advising/mentoring activity (2 pages maximum).
- c. Teaching Experience
 - [Teaching table](#) of undergraduate/graduate courses taught, including course number, title, brief description, quarter/semester, role, and number of students enrolled.
 - [Mentoring-Training table](#) of persons trained /mentored /advised in research, degree sought, role as advisor, and status of advisee at time of training. Include current position of these individuals, if known.
 - List of teaching/instructional/educational activity such as continuing education, outreach, and development of teaching manuals or special instructional formats.
- d. Teaching Effectiveness
 - [Evaluation Summary](#) of formal teaching evaluations (student or peer) over time. Summarize the evaluations obtained through Office of Measurement Services forms or other formal measurement tools for evaluation of teaching effectiveness. A brief narrative (no more than one page) including evaluation comments may also be added after the table. **NOTE:** Do not include any raw evaluation data.
 - Informal teaching evaluations such as peer, student, and advisee letters. If including actual letters, indicate whether letters were solicited or unsolicited or are an established component of the department's process of evaluating teaching effectiveness.
 - Honors/awards received for teaching effectiveness.

5. RESEARCH AND SCHOLARSHIP

This section should include:

- a. Estimate of the percentage (%) of time spent in research/scholarship efforts
- b. Narrative summary of research, scholarly activity, and accomplishments (2 pages maximum). This summary should state the focus of independent research inquiry.

Stress why research is important, NOT scientific details/findings.

- c. A list for each of the following items (copied from CV):
 - Grants and contract support (indicate title, funding source/type/amount, duration, and role of the candidate)
 - Peer-reviewed publications with annotation
 - Non-peer reviewed publications
 - Books and book chapters
 - Scientific/professional presentations and abstracts
 - Other evidence of research and scholarship (include research publications, grant proposals, and book/book chapters in preparation or planned)

6. SERVICE

This section should include:

- a. Estimate of the percentage (%) of time spent in the service effort.
- b. Narrative summary of discipline-related, professional and University service (2 pages maximum).
- c. Clinical Service
 - Clinic and patient care responsibilities.
- d. Discipline-Related, Professional Service
 - Editorships and manuscript reviewer/consultant activities; indicate title of journal or publication, level of review, and duration of service.
 - Consultant positions.
 - Service to professional organizations (offices held, committee memberships, etc).
- e. University Service
 - Service at program, division, department, college, and all-university levels.
 - Committee membership roles and duration of service.
- f. Other Service
 - Non-University, community service.

7. ANNUAL APPRAISALS FORM 12, FORM 12a and/or Summary of Annual Faculty Evaluation

This section includes:

a. [Appraisals of Probationary Faculty](#) (Form 12) for **each** of the probationary years

- The current year's appraisal recommending promotion and/or tenure should be included in this section.
- The following statement can be used in the comments section of the Form 12:

“The Department of XXX recommends Dr. XXX for rank of Associate Professor with Tenure.”

- If applicable, attach “Extension of Maximum Period of Probationary Service” form (University Forms 1764-1766) to Form 12 for extension years

b. [Summary of Annual Evaluation Form \(SAFE\)](#) (Form 12a and/or Summary of Annual Faculty Evaluation)

c. All forms must be in reverse chronological order (most recent to oldest).

d. If your candidate is an affiliate faculty member and they do not have any appraisals on file, please add a page noting that for the committee.

8. DEPARTMENTAL RECOMMENDATIONS

This section includes:

- a. [Department Statement of Assurance](#) signed by the Department Head indicating:
 - The final dossier was made available to all who participated in the discussion and vote
 - The candidate was given an opportunity to review the contents of the dossier following addition of department and/or collegiate votes
 - Department head's recommendations
 - Signed and dated

- b. Department Head Recommendation:
 - The Department Head's personal recommendation
 - Include summary of majority and minority views where appropriate
 - Include why s/he agreed or disagreed with faculty vote, summary of candidate evaluations, etc.
 - Signed and dated

NOTE: This is separate from the departmental report.

- c. Departmental Report prepared by the Department Head or designee and reviewed by faculty in appropriate rank and track. This states:
 - Faculty's recommendation
 - References Record of Vote outcomes
 - Summary of the candidate's file
 - Summary of majority and minority views where appropriate
 - Signed and dated

NOTE: The candidate may file a separate report if they believe their views are not adequately represented in the departmental report.

9. RECORD OF VOTE

This section includes:

The department must include a [department record of vote](#), signed and dated by the department head, with one vote taken for both the rank the candidate is seeking and (**if applicable**) the granting of tenure by voting-eligible faculty members.

If the granting of tenure is not applicable to the candidate, remove the mention of it from the record of vote form.

Departments should encourage a minimum of 50% eligible faculty to participate in the discussion and vote of the candidate.

If necessary, departments should update their ballots to include a section for optional comments and rationale from faculty members.

NOTE: There must be at least five (5) eligible faculty to review and vote on recommendation for promotion and/or tenure. Voting faculty must be at the same rank or higher as candidate, and only tenured faculty may vote on tenure-track/tenured faculty.

10. INTERNAL REVIEW AND EVALUATION

3-5 Internal Letters of Review

This section includes letters received from reviewers internal to the University of Minnesota.

- “Arms-length” policies do not apply to internal letters
- Request must be made by Department Head or designated faculty member, not by staff
- Include the list of letters solicited following the same format as for external letters
- Consider soliciting some of these letters from faculty outside the department/college

11. CANDIDATE'S STATEMENT OF ASSURANCE

This section includes:

[Candidate's Statement of Assurance](#) signed and dated by the candidate. This indicates that the candidate:

- has reviewed the contents of the dossier
- has had an opportunity to add materials or comments, properly identified, to the dossier.

Note: It is the responsibility of the candidate to review the results of the departmental vote before submitting their final dossier.

This statement should be signed as the final step before submitting the dossier. Forms that are dated before the departmental recommendations (departmental statement of assurance, department head letter, department report, departmental vote) will be returned to department for re-signature by the candidate.

12. SELECTED REPRINTS

This section should include:

- A. The annotated list of the candidate-selected reprints (including role, times cited and impact factor – copy and paste from CV):
 - The reprints selected should reflect significant contribution(s) of the candidate
 - **NOTE:** In the case of multiple authorships, the contribution of the candidate to the project must be clearly established and reported.
 - **ONLY** the list should be included in dossier as item 12.

- B. Create a **SEPARATE PDF FILE** of the three (3) reprints (this is NOT included in the dossier and is submitted in addition to the dossier):
 - The annotated list should be page 1 of the separate file
 - The separate file should use the following naming convention:
 - Last, First_Department, 20XX-XX Reprints

Appendix

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Cover Sheet submitted with Dossier:

- **Submit for Tenured and Tenure-track faculty only – required by the Provost’s office**
 - See p. 16 document titled “[Enter Academic Year] Recommendations Promotion to Associate Professor with Tenure / Promotion to Professor (Tenured)”
- This document should be included in the dossier packet as a separate, Word document. The department must be filled in the candidate’s information. The Medical School (college unit) voting information and Dean’s recommendation will be added by the Office of Faculty Affairs.

[Enter Academic Year] Recommendations
Promotion to Associate Professor with Tenure / Promotion to Professor (Tenured)

Candidate Name (as appears on CV):

EMPLID:

Unit Name:

Mailing Address (include mail delivery code):

Telephone: E-mail:

Unit Chair/Head Name (include title):

Unit Chair/Head Mailing Address (include mail delivery code):

Educational Information (Highest Degree)

Degree: Year: Institution:

UMN Faculty Appointment Information

Current Rank: Effective date:

Current Appt. Type (e.g., N, P):

Previous Rank/Appt. Type: Effective date:

UMN Probationary Service

Prior Service Credit: # years

Institution:

UMN probationary service (including current year): # years

Extension of probationary period # years (include leaves without pay)

Total probationary years: # years

Proposed Rank:

Proposed Appointment Type: P

Voting Information (Fill in with total numbers voting in each category.)

	Unit Tenure Vote	Unit Head Recommendation	College/Campus P&T Committee Tenure Vote	Dean/Chancellor Recommendation
Yes				
No				
Abstain				
Not Voting				
Notes:				

Record of Vote Department of _____

Promotion and Tenure Vote:

Record of vote of the faculty members of the (department) _____ regarding the proposal for the promotion of (candidate's name) _____ from the rank of (current rank) _____ to the rank of (proposed rank) _____ and, if applicable, for the granting of tenure from tenure-track regular faculty to that of tenured regular faculty.

_____	Total eligible members*
_____	Voting yes
_____	Voting no
_____	Abstaining
_____	Total ballots returned
_____	No ballot received

Date

Department Head's Signature

***NOTE:** Ballots voting "yes," plus ballots voting "no," plus number listed under "abstaining," plus number listed under "no ballot received" should equal the number of "total eligible members."

EXTERNAL REVIEWER LIST FORMAT TEMPALTE

Mary Smith, MD
External Reviewers

Arm's Length Reviewers:

1. Dr. Meryl Cohen, Associate Professor
Director, Echocardiography
The Children's Hospital of Philadelphia
34th Street and Civic Center Boulevard
Philadelphia, PA. 19104
Phone: 215-590-1000
Email: cohenm@email.chop.edu

Professional Standing: Dr. Cohen is the Director of Echocardiography at the Children's Hospital of Philadelphia. She is an expert in Echocardiography in Fetuses and Children.

Nature of Relationship with Promotional Candidate: Dr. Smith has not met, published or collaborated with Dr. Cohen.

2. Dr. Daniela Lax, Associate Professor
Department of Pediatrics
The University of Arizona Medical Center
535 North Wilmot Road
Tucson, AZ 85711
Email: dlax@peds.arizona.edu

Professional Standing: Dr. Lax is a Pediatric Cardiologist at The University of Arizona Medical Center. She is an expert in Pediatric Cardiology and Echocardiography.

Nature of Relationship with Promotional Candidate: Dr. Smith met Dr. Lax one time, but has not published or collaborated with him.

Not arm's length:

1. Dr. William E Hellenbrand
Professor of Pediatrics
Chief, Pediatric Cardiology
Yale Pediatric Cardiology
302 LLCI Building
333 Cedar Street
New Haven, CT 06510-8064
Phone 203-785-2022
E-mail- William.hellenbrand@yale.edu

Professional Standing: Dr. Hellenbrand is the Professor of Pediatrics and Chief of Pediatric Cardiology at Yale University. He is a Pediatric Cardiologist and Interventional Cardiologist in children's.

Nature of Relationship with Promotional Candidate: Dr. Smith has worked with Dr. Hellenbrand as a cardiology fellow at Columbia University, New-York Presbyterian Hospital. She has collaborated or published with him.

2. Dr. Lynn Simpson, Professor of Obstetrics and Gynecology
Division of Maternal Fetal Medicine: High-Risk Obstetrics
Columbia University, Dept. Ob/Gyn
622 W. 168th Street, PH 16-66
New York, NY 10032
212-305-6293
Fax: 212-342-2717
E-mail- ls731@mail.cumc.columbia.edu

Professional Standing: Dr. Simpson is Professor of Obstetrics and Gynecology at Columbia University, New York. She is an expert in high risk pregnancy with fetuses diagnosed with cardiac defects.

Nature of Relationship with Promotional Candidate: Dr. Smith was a Fellow in Pediatric Cardiology at Columbia University and has published with Dr. Simpson.

Contacted but not included:

1. Elizabeth Perlich Sweeney
President, Children's Heart Link
5075 Arcadia Avenue
Edina, MN 55436
e-mail Elizabeth@Childrensheartlink.org
Phone 952-928-4860
Did not respond.

2. Dr. Thomas J. Starc, MD, MPH
Professor of Clinical Pediatrics
Pediatric Cardiologist
Morgan Stanley Children's Hospital
New York-Presbyterian
3959 Broadway, Room 255
2 North, New York, NY 10032
tjs1@columbia.edu
Was unable to write review due to time constrains.

Teaching Table

I. Undergraduates				
Course	Role	Hours of time/year (number of lectures, etc)	# of Students	Years Taught
II. Graduates				
Course	Role	Hours of time/year (number of lectures, etc)	# of Students	Years Taught
III. Post-Doctoral				
Classroom or Clinical	Role	Hours of time/year (number of lectures, etc)	# of Students	Years Taught
IV. Other Teaching/Activities (list)	Role	Hours of time/year (number of lectures, etc.)	# of Students	Years Taught

