e-Dossier Setup and Moderation
For College Dossier Administrators
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Overview of the e-Dossier System

This manual is written for individuals who have been selected by their college to be the college dossier administrator. It is a technical document explaining the operation and management of the e-dossier system and is not a source of authority on the tenure and promotion process as a whole. For more information on the tenure and promotion process itself, please see the Provost’s office webpage on promotion and tenure at http://www.usu.edu/provost/faculty/promotion_and_tenure/

This manual is supplemented by additional help resources, available online at https://cidi.usu.edu/edossier, including:

- Quick step guides
- Training videos
- Support contacts and workshop schedules

Additionally, candidates have access to a manual, job aid, videos, and workshops on how to use the e-dossier system to build their electronic portfolios.

What the system does

Prior to the establishment of the e-dossier system, tenure and promotion candidates would build a portfolio using a physical binder, composed of binder tabs and paper files, to provide evidence of their accomplishments in the areas of their role statement. The completed binder would be passed from the candidate to his or her advisory committee and then to the various reviewers that followed, each of whom would review the contents of the binder as part of the decision-making and recommendation process.

The e-dossier system was designed to be a digital conversion of the same concept and process. It is an electronic system that:

- Accepts file uploads from a candidate and displays them in an organized, categorical manner to specific individuals who have been given permission to view it.
- Allows digital moderation of the dossier from one stage of the review process to the next in a manner that is transparent to the viewers and the candidate.
- Keeps a digital copy of the dossier in perpetuity for the candidate and others who have been granted permission to view it.

Access, Roles, and Permissions

The e-dossier system is password protected and can be accessed only by individuals with a user account in the system. Unless otherwise specified, an individual’s username and password is the A number and password used to access the campus portal and other campus systems.

There are three types of user roles in the system:

- University admin
- College admin (for whom this manual is written)
- Regular user (which covers all other use cases, including candidate and reviewer)
The university admin can
- Add users to the system.
- Create, edit, moderate, redraft, and access all dossiers and external review items in any state.
- Edit and modify the system and its collection definitions and settings.
- Provide viewing permissions to an individual for any dossier in any state.

The college admin can
- Create new dossiers for users in the college.
- View and edit dossiers associated with the college that are still undergoing review.
- Register votes and add recommendation letters to a dossier associated with the college.
- Moderate a dossier associated with the college, or in other words, approve it to the next review stage.
- View the moderation progress of a dossier associated with the college.
- Add and associate external review letters to a candidate’s dossier and specify separate viewing permissions.

A regular user can
- View only dossiers or external review letters that a college admin or university admin has given permission to view, whether as a candidate or as a reviewer.
- View the moderation progress of a dossier he or she has been given viewer access to by a college or university admin.
- Edit a dossier for which he or she is listed as a candidate, but only when it is in the dossier preparation stage.

In summary, the only people who can view a dossier are those given permission to do so by a dossier system admin at the college or university level. Tenure and promotion candidates can edit their dossier only when it is in the dossier preparation state. College admins can edit the dossier throughout the process but should only do so to log votes and upload recommendation letters. University admins are available as a support to assist the process at any step of the way.

Viewing privileges for external peer review letters are set up separately from dossiers to ensure that candidates are prevented from being able to view the letters.

The job of the college admin
To maintain simplicity and reduce the likelihood of error in the e-dossier process, the college dossier admin is primarily responsible for performing the following tasks within the e-dossier system for the department he or she represents:

1. Create a dossier for each candidate and associate it with the candidate.
2. Add the list of reviewers, selecting their role in the review process and thereby providing viewer privileges.
3. Put the dossier in *Dossier Preparation* stage so the candidate can begin loading files.
4. Assist the candidate as needed with loading files into the system.
5. Obtain signed approval from the candidate to submit the dossier for review, once the candidate is finished preparing it.
6. Log the votes of each reviewer and upload all reviewer recommendation letters as received.
7. Obtain signed approval from the lead reviewer of each stage to submit the dossier to the next stage of review.
8. Submit the dossier to each new stage of review.
9. Assist the candidate and other reviewers, as needed, in accessing the dossiers they have been given permission to view.

![Approval screen the college admin sees when submitting the dossier for review at the next stage.](image-url)
e-Dossier System Structure

The e-dossier system is built on a content repository management platform called Equella. Thinking of it as a repository system can help you better understand its terminology and structure.

Collections and Resources
Content in the system is organized into collections. Each collection contains resources, which in turn contain attachment items and metadata (descriptive information).

There are two collections in the e-dossier system:
1. The Dossier collection
2. The External Reviews collection

Each of these collections has its own resource contribution wizard, which is basically a web form for entering information and uploading files, to be stored together as a single resource. You contribute a resource to the collection by filling out the form and providing the information and uploading the files it asks for.

The resource contribution wizard for the dossier collection is a web form that collects the information needed for the dossier, including information about the candidate, the review year, the list of reviewers, and more. It also collects attachment items such as files the candidate wants to include in the dossier and the recommendation letters that are submitted by reviewers throughout the review process.

External peer review letters and bios are submitted to the separate external review collection so that viewing rights to these materials can be controlled apart from the dossier and kept more limited. The contribution wizard for the dossier collection provides a way for the college admin to link to a resource in the external review collection, but only individuals who are added as viewers to that resource will be able to view its contents.

A resource in the Dossier collection contains information about the candidate and the dossier, along with file attachments. It also can link to a resource in the External Review collection, which can have a more limited set of viewers associated with it.
The Dossier Workflow

This section briefly outlines the process a dossier is intended to go through from start to finish. More specific instructions on moving a dossier through the workflow are given in the next chapter.

The life of a dossier is as follows:

1. The college dossier admin contributes a new dossier (aka resource) to the Dossier collection.

2. The college dossier admin adds the candidate and the list of reviewers to the dossier.

3. **Moderation Point:** The college dossier admin submits the dossier for moderation. This puts it in the Dossier Preparation stage, in which the candidate can add files.

4. The candidate selects dossier categories and uploads files, seeking help from the college dossier admin and peers as needed.

5. When the candidate is ready to submit the dossier for review, he or she provides a signature verifying his or her readiness to relinquish editing control and turn the dossier over for review.

6. At some point the college dossier admin creates a separate item for external review letters and links to it from the dossier.

7. **Moderation Point:** The college dossier admin approves the dossier for the next stage, Tenure/Promotion Advisory Committee Review.

8. The Tenure/Promotion Advisory Committee accesses and reviews the dossier online and provides the college dossier admin with a recommendation letter and the committee members’ recommendation votes.

9. The college dossier admin adds the votes and recommendation letters to the dossier. The committee chair verifies this was done accurately and provides a signature indicating it is correct.

10. **Moderation Point:** The college dossier admin approves the dossier for the next stage, Department Head Review.

11. The department head accesses and reviews the dossier online and provides the college dossier admin with a recommendation vote and recommendation letter.

12. The college dossier admin adds the vote and recommendation letter to the dossier. The department head verifies this was done accurately and provides a signature indicating it is correct.

13. **Moderation Point:** The college dossier admin approves the dossier for the next stage, Dean Review.

14. The dean accesses and reviews the dossier online and provides the college dossier admin with a recommendation vote and recommendation letter.

15. The college dossier admin adds the vote and recommendation letter to the dossier. The dean verifies this was done accurately and provides a signature indicating it is correct.

16. **Moderation Point:** The college dossier admin approves the dossier for the next stage, Central Committee Review.

17. Central committee members access and review the dossier online and forward their recommendation to the Provost and President. The dossier remains in a read-only state for the candidate and all reviewers until the following year.

18. **Moderation Point:** As the next year’s tenure and promotion review process begins, the university dossier admin approves the dossier for the final stage, complete. The dossier is removed from the view of prior reviewers and remains in a read-only state for the candidate (and other reviewers as requested by the candidate).

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The Moderation Progress as shown by the dossier system. Completed stages are green. The current stage is red.
Dossier Setup and Moderation

This chapter provides step-by-step information for the college dossier admin on how to setup a dossier and moderate its progress. It also provides information on the candidate's tasks so that the college admin can provide assistance to candidates as needed.

Dossier Setup

We begin by setting up a resource for a new candidate in the dossier collection. The college admin does this.

Login and Contribute

1. To access the e-dossier system, go to http://dossier.usu.edu and login with your A# and password.

2. Click the Contribute button in the left-hand navigation column.

3. When asked what type of resource you are contributing, choose Dossier.

Dossier Administration Screen

You should now be looking at the contribution wizard for the dossier. There are three screens for entering information, which you can navigate to in the right-hand column: Dossier Administration, Candidate Dossier Materials, and Add Extra Viewers.

Begin on the Dossier Administration screen. This is where you will associate the candidate with the dossier, add reviewers, and later add votes and upload recommendation letters.

Add Details About the Candidate and the Review

The first wizard item asks for information about the candidate followed by general information about the review.

To begin, add the candidate to the dossier.

1. Click the Select a User button.

2. Search for the candidate by name or A#.

If the candidate's name does not appear, call CIDI at 435.797.9506.
3. Click the radio button next to the candidate's name when it appears in the search results. Click Select this user.

Next, select the candidate's department.

1. Under the Department heading, click the Select Terms button.

2. Browse to the list of departments and click the Select button next to the candidate's department.

3. Click OK.

Next, select the type of review (Tenure with Rank Advancement or just Rank Advancement), and then select the review year.

You have now provided the most basic information needed to save the dossier. Of course, you can still add reviewers if you know who they are, but at this point you can also save the dossier and/or submit for moderation.

Saving and Submitting for Moderation

At any point when contributing a dossier resource, you can click Save to preserve your changes and exit the dossier. When you do this initially, a prompt appears asking if you want to Submit for moderation or Save draft.

The Submit for moderation option puts the dossier into the Dossier Preparation stage, which then gives the candidate access to view the dossier and edit the Candidate Dossier Materials screen of the contribution wizard.

Until you submit the dossier for moderation, clicking Save draft preserves your changes and allow you to return and edit the dossier later, although it prevents the candidate and reviewers from viewing it.

Add Committee Members and Reviewers

Those who need access to review the candidate’s dossier are given access to do so on the Dossier Administration screen of the contribution wizard.

You can add as many reviewers as needed in the following manner:
1. Look for the **Dossier Reviewers** heading. Below it is a box with options for selecting a user and associating a viewer role. (See the image below.) Click the **Select a User** button to search for and select a user in the system.

2. Select a role for the user from the **Viewer Role** menu.

3. Click the **Add** button below the box of options to add another user. This reveals a new box with options for adding another user with a specified role.

![Steps 1-3 above are performed as shown in this figure.](image)

4. Continue this process until you have added all reviewers that you are aware of to the dossier.

**Additional notes on adding reviewers**

- You will not add viewer recommendation votes until later in the review process, when each individual's **Yes** or **No** recommendation has been submitted to you.
- It is easiest to add reviewers in the order you wish them to appear. However, if you need to reorder or remove reviewers, each viewer box has options at the top right for reordering or removing users.

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**Allowing the Candidate to Edit the Dossier**

At this point the dossier should be ready for the candidate to begin uploading materials to. You provide the candidate editing access by clicking **Save** after you are done editing and choosing the **Submit for Moderation** option (see the image and instructions on the previous page). This puts the dossier into the **Dossier Preparation** stage.

Note that reviewers can be added before or after you submit for moderation. However, reviewers will only be able to see the dossier once it has been submitted beyond the **Dossier Preparation** stage to the **Advisory Committee Reviews** stage. Candidates always remain unable to see the list of reviewers or their recommendations. Below are example images of what a freshly setup dossier, in the **Dossier Preparation** stage and with reviewers added, look like to the college admin and to the candidate, respectively.

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**Candidate view of new dossier in Dossier Preparation mode.**

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**Admin view of new dossier in Dossier Preparation mode.**
Candidate Dossier Materials

During the Dossier Preparation stage, the candidate has access to edit the dossier and add content via the Candidate Dossier Materials screen. No other screens are available to the candidate.

Adding content to the Candidate Dossier Materials screen is primarily the candidate’s job; however, the college admin may be asked to help, so instructions are provided here.

Login, Access, and Edit the Dossier

1. Like the college admin, the candidate logs on to http://dossier.usu.edu with his or her university A# and password.

2. The dashboard page provides a link to the candidate’s dossier.

3. The candidate should click the dossier link and then click the green Edit This Dossier button.

Select Dossier Sections

In edit mode, the candidate sees the Candidate Dossier Materials screen. The first task is to identify sections for dossier content that align with the candidate’s role statement. This is done by checking the box next to the applicable sections. As the boxes are checked, the identified sections appear further down the screen.

Upload Dossier Files

Each section of the dossier has a heading followed by a button for attaching files. The process for attaching files is as follows:

1. Find the appropriate heading for the content to be uploaded and click the Add a Resource button. This opens a dialog box for uploading files.

2. The Upload Files dialog box provides two options for uploading files. You can use one or both.

Option 1: Browse Button
To browse for files on your computer the traditional way, click the Browse button. Select the file you wish to attach and click Open.

Option 2: Click and Drag
You can also click and drag files from your computer’s file browsing system onto the image of the box labeled Drag and Drop Here.
You can repeat either option to add multiple files. Each time you add a file, a green bar next to the file name indicates that the file has been uploaded and is ready to attach.

Files cannot be reordered once they are added, so be sure to upload them in the order you want them to appear.

**Note:** The only file types accepted by the system are PDF (for text-based material), JPG and PNG (for images), MP4 (for Video), MP3 or AAC (for Audio). This is for ease in viewing online, as these file types open readily in modern browsers. Website URLs are not accepted because they can be modified outside of the dossier once it has been submitted.

3. When the file or files have finished uploading, click the **Next** or **Add** button, depending on which is presented.

If you are only attaching one file, you will see an extra screen where you can preview the file and some of its details. There you can also give the file a different display name for its link besides the file name. Click the **Save** button.

4. The file or files appear below the section heading. You can click the **Edit** link associated with each file to modify its display name. There are also options to **Replace** or **Delete** the file.

Clicking on a file link downloads or displays the file so the candidate can make sure the uploaded file is correct.

5. You can repeat steps 1-4 to add more files as needed.

6. Below each heading is a checkbox to add an appendix for that item, where files that do not serve as primary evidence can be uploaded. This option should be used judiciously.

For the role statement, there is also a checkbox to add a past role statement, if the candidate's role statement has changed.

### Saving and Returning to Edit

At any point during the *Dossier Preparation* stage, the candidate or college admin can save the dossier in its current state and see how the dossier appears on its main display page. The candidate can exit the system and return at a later date to login, view the dossier, and continue editing it.

The candidate is not permitted to submit the dossier to the next level of review. This is to prevent the candidate from accidentally doing so and thereby revoking editing privileges before he or she is ready to do so. Only the college admin has the ability to move the dossier to the next stage. The candidate, however, provides a signature authorizing the college admin to do so.

### Adding External Peer Reviews

Before the college admin submits the dossier for advisory committee review, he or she will likely receive the external peer review letters and external reviewer bios solicited by the department for the candidate’s dossier. These are added to a separate collection and linked to the dossier. The reason they are added to a separate collection is so viewing privileges can be assigned separately, thus preventing the candidate or guest viewers from ever seeing the letters and bios.

The following section provides instructions for creating an external review resource, uploading letters and bios to it, adding authorized viewers, and then linking the resource to the candidate’s dossier.
Create the External Review Resource

1. Click the Contribute button in the left-hand navigation column.
2. Choose External Reviews as the type of resource you are contributing.

3. The External Reviews contribution wizard will open. Begin by adding the name of the candidate the review letters are for. Click Select a User to search for and select the candidate.

4. Specify the associated review year from the Review Year drop-down menu.

Add External Review Letters and Bios

Next, upload and attach the external review documents.

1. Look for the heading that invites you to “Attach at least four external peer review letters.” Click the Add a Resource button that appears below that heading.

2. The Upload Files dialog box will appear, giving you options to browse for files or drag and drop from your computer (see the instructions on the previous page). Upload all external review files and then click Add.

3. Each attached file will appear as a link. You can click on the link to view the file and choose the Edit option to give the link a display name other than the filename.

4. The same process applies to adding external review bios. Use the Add a Resource button under the heading “External Peer Review Biographical Sketches.”

Add Viewers

1. To give individuals permission to view the external review letters and bios, click the Select a User button, then search for and select the user whom you wish to add. You can search by the user’s name or A#.

2. You can continue using the Select a User button to add as many viewers as needed to the item.

   Do not add the candidate as a viewer, as the candidate is not supposed to see the letters or bios. As an added safety measure, the system will not let you save the item if the candidate is listed as a viewer.

3. After you have added content and reviewers, click Save and (if ready) publish to make the item viewable to those who are added as viewers.
Create a Link From the Dossier

The final step in adding external peer reviews is to create a link to the external review item from the candidate’s dossier. When you do this, only those with permission to view the external review item are allowed to see it when they click the link.

To link the external review item to the dossier:

1. Click the Dashboard or My Dossiers link in the left-hand navigation column, then find and click on the dossier you wish to add the external review link to.
2. Click the Edit This Version link to begin editing the dossier.
3. On the Dossier Administration screen, scroll down to the heading titled “External Peer Review Letters and Reviewer Bios.” Click the Add a Resource button below the heading.
4. A search box will appear. Type the name of the candidate into the search box. As you type, the title of the external review item for the candidate should appear. Click on it to autocomplete the search field, or finish typing and click the magnifying glass button to search.
5. The external reviews item should appear in the search results. Hover over the + button, which will change to read Select Summary Page. Click the button.
6. Next click Return Selection, and then Save. (In the process you will have an option to rename the link if you wish to do so.)
7. A link to the external review item will appear on the page. Click Save to exit the dossier. Be sure to test the link from the dossier display page to make sure it works properly.
When an individual who has permission to view the external review letters clicks on the External Reviews and Bios link from the dossier, he or she will be permitted to see it.

However, if the candidate or someone not given viewing permission attempts to access the link, he or she will see the following screen indicating that access to view the item is not granted:

2. On the Dossier Administration screen, scroll down to the name of the viewer you are logging a vote in behalf of.

3. Click on yes or no, depending on the reviewer’s recommendation.

4. Repeat for each reviewer you are logging a vote for.

To attach a recommendation letter:

1. Scroll down to the Recommendation Letters and External Reviews section.

2. Find the heading for the type of letter you would like to attach and click the Add a Resource button. Upload the file from your computer, click Next, and then Add. (See page 8 for more details on how to attach files).

Note that there is also a heading where you can attach statement(s) explaining negative votes or minority report as deemed necessary. This section can be skipped if no such files are provided by the committee.

The Moderation Process

The college admin is responsible for moving a dossier through each stage of the moderation workflow. The stages include the following:

1. Dossier Preparation
2. Advisory Committee Review
3. Department Head Review
4. Dean Review
5. Central Committee Review
6. Complete

For an overview of what occurs in each stage, see page 4 of this manual. Read below for details on how to (1) add reviewers’ recommendation letters and votes to a dossier and (2) submit the dossier from one workflow stage to another.

Adding Votes and Recommendation Letters

The college admin uploads the recommendation letters and votes of the advisory committee, department head, and dean as they become available. These can be provided to the college admin by whatever method is most convenient. The advisory committee chair, department head, or dean make sure the college admin’s entry is accurate and provide a signature indicating that it is.

To log a reviewer’s recommendation vote, do the following:

1. Navigate to the candidate’s dossier and choose the link to Edit this version.

Approving and Submitting to the Next Stage

Once the recommendation letter is attached and the votes logged for a given stage, the college admin obtains a signature from the stage’s lead reviewer certifying that the information is accurate. The college admin then logs the signature in the dossier and submit it to the next workflow stage.

Here are the steps for doing this:

1. Log on to the dossier system at http://dossier.usu.edu
2. Scroll to the top and look for the red tasks box. This shows the number of tasks you have to complete as a system moderator. Click on the box to access your moderation tasks list.

3. The dossier you are going to moderate should be listed. Click the Moderate button that accompanies it.

4. Click the Edit Resource button.

5. On the Dossier Administration screen, scroll down to the Dossier Review and Release Form section, located at the bottom of the screen.

6. Click on the checkbox labeled Signed for the signature you are logging.

7. Select the date of the signature in the Date box.

8. Click Save Resource.

9. With a signature in place verifying the completion of the workflow stage, the dossier is ready to approve and submit to the next stage. Click the Approve button.

10. Here you are given an opportunity to log any relevant comments you may have. This is optional. Click the Submit button.

11. The dossier will now move to the next stage of the workflow process. Be sure to notify the reviewers involved in that stage that the dossier is ready for their attention. You will repeat these steps through each stage of the dossier workflow until it reaches the Central Committee stage, where your moderation and editing access will be removed.

View Moderation Progress

Those with access to view a dossier can view its moderation progress to see what stage of the process it is in.

To view the moderation progress of a dossier, log on to the dossier system, then find and click on the dossier to view it. Click the Moderation Progress link in the list of links on the right-hand column of the page.

The moderation flowchart will appear. The stages highlighted in green are completed and the one highlighted in red is the current stage.
Adding Extra Viewers

You can provide limited dossier viewing privileges to individuals who are not the candidate or a dossier reviewer. Do this by going to the Add Extra Viewers screen when editing the dossier. Neither candidates nor reviewers have access to this screen.

Once you are on the screen, click the Select a User button under the Add Viewer heading to search for and select users in the system.

Any user you add here will be able to see the candidate’s dossier for an unspecified period of time until that user is removed. Recommendation votes and letters and external peer review letters are not made visible to extra viewers.

Resources and Support

The following resources should prove useful if you need help or have questions as you facilitate the e-dossier process:

Technical Support and Training

Center for Innovative Design and Instruction
https://cidi.usu.edu
435.797.9506
cidi@usu.edu
Training documents and videos:
https://cidi.usu.edu/edossier

Policy Support

Faculty Promotion and Tenure Website
http://www.usu.edu/provost/faculty/promotion_and_tenure/
435.797.1166