

# P&T Dossier Workshop

Shari Speer

Associate Dean for Faculty Affairs

Professor, Linguistics

College of Arts & Sciences — June 28, 2022

For Whom: P&T Chairs, PODs, TIU heads

What: nuts and bolts of dossier preparation

Why: to facilitate preparation of complete dossiers

- focus on fall P&T reviews – **~50 expected!**
- relevant also for spring fourth year reviews



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# Contacts:

**Shari Speer, Associate Dean for Faculty Affairs**

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**Toni Calbert, Faculty Affairs Specialist**

**[calbert.5@osu.edu](mailto:calbert.5@osu.edu)**

## Today's Process:

- Chat is open for questions during the workshop.
- Toni will monitor the chat.
- Chat content can also be addressed during question breaks between workshop sections.



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# Common Initialisms & Terms

**P&T** Promotion and Tenure

**TIU** Tenure Initiating Unit (department or school)

**TIU Head** Department chair or school director

**Chair Pro Tem** Temporary TIU head for some P&T case(s) (conflict of interest, or TIU head ineligible – e.g., not full prof)

**CEF** Committee of the Eligible Faculty; TIU voting body (regional campus faculty included; TIU head. Research and/or clinical faculty not included)

**P&T Chair** Chair of Committee of Eligible Faculty

**POD** Procedures Oversight Designee; member of Committee of Eligible Faculty, verifies dossier and fairness of review process (checklist Form 105, p. 2-4)

**APT** Appointments, Promotion and Tenure document of TIU

**POA** Pattern of Administration document of TIU

**SEI** Student Evaluation of Instruction (BLUE)

**OAA** Office of Academic Affairs (Provost's office)

# 2022 Key Deadlines for TIUs

- May 27** submission of lists of external reviewers for college approval (updates ongoing)
- September 23** deadline for regional campus letters to be sent to TIU
- October 3** recommended deadline for completion of TIU P&T committee meetings (to allow letter preparation, comments period)
- October 7** recommended deadline for completed TIU review letters to candidate (start of ten *calendar* day comment period)
- October 17** recommended deadline for comment period (if starting October 7)
- October 21 submission to college** (upload to Teams; No Hard Copy!!)

*If you are running behind, we will accept dossiers without candidate comments, and you can add them a few days later – put a placeholder note in the comments section so we know it will be coming late AND*  
(critical) email [calbert.5@osu.edu](mailto:calbert.5@osu.edu)

# Who Does What?

<b>Candidate</b>	<ul style="list-style-type: none"> <li>• prepares material for external evaluators (TIU decides what is sent)</li> <li>• Intro and Core Dossier</li> <li>• publications, etc. for TIU review</li> <li>• <b>completes and signs checklist Form 105, p. 1 BEFORE committee of eligible faculty meeting</b></li> </ul>
<b>POD</b>	<ul style="list-style-type: none"> <li>• <b>verifies dossier BEFORE committee of eligible faculty meeting</b></li> <li>• completes and signs checklist Form 105 p. 2-4 (after CEF meeting)</li> <li>• <b>ensures fair evaluation by TIU</b> (CEF also responsible)</li> </ul>
<b>P&amp;T chair</b>	<ul style="list-style-type: none"> <li>• solicits external reviewers/other letters (e.g., collaborators)*</li> <li>• <b>reviews dossier BEFORE committee of eligible faculty meeting</b></li> <li>• chairs the TIU Committee of Eligible Faculty meeting</li> <li>• writes TIU committee of eligible faculty letter, addressed to TIU head</li> </ul>
<b>TIU head</b>	<ul style="list-style-type: none"> <li>• solicits external reviewers/other letters (e.g., collaborators)*</li> <li>• assigns someone to summarize student comments (if used)</li> <li>• writes TIU head letter, addressed to College Dean</li> </ul>
<b>Departmental staff</b>	<ul style="list-style-type: none"> <li>• assembles final dossier (including forms, divider sheets)</li> <li>• generates pdf</li> <li>• submits pdf to college</li> </ul>

# Ways to streamline the process?

## Start EARLY.

- September**
- P&T chair, POD review core dossier to ensure all components are complete – nothing missing (preview dossier checklist form 105)
  - staff can begin assembly of dossiers prior to receipt of full set of external letters
  - TIU head solicits letters from joint appointment TIU head/center director/DT focus area leader (as needed)
- October**
- P&T chair can begin drafting letters prior to meeting
  - TIU head can begin drafting letters prior to receiving TIU committee letter

P&T consultation will be available by appointment or email in September and October with Shari Speer/Toni Calbert to answer questions, check dossier organization. Staff and candidates welcome.

# What happens after you send to college?

- quick review of dossiers to ensure everything is complete and correct, TIU contacted for missing/incorrect items (early November)
- **GOAL: avoid major missing components that trigger CEF re-review** (small fixes are straightforward - e.g. wrong order, wrong section, etc.)
- divisional panels meet, summary letters generated by divisional dean (November/early December)
- College dean reviews, writes decision letters
- letters provided to candidates cc: TIU head (mid-January)
- 10 *calendar* day candidate comments period/response
- dossiers submitted to OAA (end of January)
- Provost provides decision to ASC, executive dean sends letter to candidate cc: TIU head (mid-March)
- final approval at Board of Trustees meeting (early June)
- **promotion (new rank) takes effect immediately**

# Pause for Questions

Questions about overview of the  
process?



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# ASC resources: <https://ascintranet.osu.edu/promotion-tenure>

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## ADMINISTRATIVE GATEWAY



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## Promotion & Tenure

### Processes & Guidelines

- General
- Clinical/Teaching/Practice Review Processes
- Fourth-Year and Reappointment Review Processes
- Promotion & Tenure Review Processes

### Important Dates

### Materials

- Dossier Preparation Materials
- External Evaluator Materials
- Internal Evaluator Materials

### Resources

- OAA Resources

### Workshops

- 2021 Workshops
- 2020 Workshops
- 2019 Workshops
- 2018 Workshops

### News

- Promotion and Tenure Results 2020-21
- Promotion and Tenure Results 2019-20
- Promotion and Tenure Results 2018-19
- Promotion and Tenure Results 2017-18

### Additional Resources

[COVID-19 Resources](#)

[ASC Flexible Work Pilot \[pdf\]](#)

[College Directory \(main site\)](#)

[Arts and Sciences Administration \[pdf\]](#)

[Office of Academic Affairs](#)

[University Policies](#)

[Office of Human Resources](#)

[Committee on Mental Health and Wellness](#)

[Digital Accessibility](#)

## Processes & Guidelines

### General

[Arts and Sciences and departmental APT documents approved by OAA](#) (scroll to College of Arts and Sciences)

[Promotion and Tenure FAQs \[pdf\]](#)

[What's New in ASC Promotion and Tenure 2021-2022? \[pdf\]](#)

[OAA Guide to Ways to Document Faculty Activities](#)

### Fourth-Year and Reappointment Review Processes

[Clinical/Teaching/Practice and Research Faculty Reappointment Guidance](#)

[Fourth Year Review Submission Guidance](#)

### Promotion and Tenure Review Processes

[P&T Review Submission Process Overview](#)

[External Hire P&T Review Process](#)

[Expedited P&T Review Process Counter Offer](#)

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<https://ascintranet.osu.edu/promotion-tenure/materials>

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### Materials

#### Dossier Preparation Materials



[Core Dossier Instructions and Outline \[pdf\]](#)

[P&T Dossier Divider Templates](#)

[P&T Dossier Divider Templates \(with color\)](#)

[Fourth Year Review Divider Templates](#)

[Things to Check in Dossier Preparation \[pdf\]](#)

[Vita Workflow Recommendations](#)

[SEI Report Access \[pdf\]](#)

[COVID-19: SEI Statement for Spring 2020](#)

[COVID-19: Language for Cancelled Presentations \[pdf\]](#)

[OAA P&T Forms](#)

[OAA Additional Resources](#)

#### External Evaluator Materials



#### Additional Resources

[COVID-19 Resources](#)

[ASC Flexible Work Pilot \[pdf\]](#)

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# Pause for Questions

Questions from chat about the  
resources?



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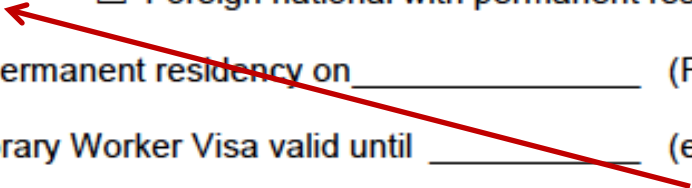
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# Form 109: Record of Review

1

## RECORD OF REVIEW FOR PROMOTION IN ACADEMIC RANK-TENURE-REAPPOINTMENT

Last Name Buckeye First Name Jane M.I. M  
OSU EmplID 12345678 College Arts & Sciences Campus Columbus  
TIU Microbiology TIU Org # 03500

- ☒ U.S. Citizen  ☐ Foreign national with permanent resident status ("green card")—**copy attached**
- ☐ Applied for permanent residency on \_\_\_\_\_ (Form I-485 receipt date)—**copy attached**
- ☐ H-1B Temporary Worker Visa valid until \_\_\_\_\_ (expir. date)—**copy of approval notice attached**
- ☐ Other—**copies of immigration documents attached**
- ☐ 100% FTE ☒ Joint appointment (List below)

If not US citizen, place copy of documentation after this form

TIU Name  
Microbiology  
Molecular Genetics  
\_\_\_\_\_  
\_\_\_\_\_

FTE (If green card still in progress,  
70% REVIEW CONTINUES, but  
30% tenure will be held back)  
\_\_\_\_\_  
\_\_\_\_\_

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- ☐ Other—**copies of immigration documents attached**

☐ 100% FTE      ☒ Joint appointment (List below)

TIU Name  
Microbiology  
Molecular Genetics  
\_\_\_\_\_  
\_\_\_\_\_

FTE  
70%  
30%  
\_\_\_\_\_  
\_\_\_\_\_

If 100%, just check that  
box, DO NOT fill in  
these lines

# Form 109: Record of Review

1

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- ☐ Other—**copies of immigration documents attached**
- ☐ 100% FTE      ☒ Joint appointment (List below)

TIU Name  
Microbiology  
Molecular Genetics  
\_\_\_\_\_

FTE  
70%  
30%  
\_\_\_\_\_

**Very important!**  
If there's a second TIU,  
need letter from that  
TIU head. If DT, need letter  
from DT faculty director.

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https://oaa.osu.edu/sites/default/files/links\_files/Form109.pdf

**FACULTY APPOINTMENT** ☒ Tenure-track ☐ Clinical ☐ Research

**ASSOCIATED** ☐ Tenure title under 50% FTE ☐ Adjunct ☐ Clinical Practice

**PROPOSED ACTION CONSIDERED**

☐ Reappoint only ☐ Promotion and reappoint

☐ Tenure only ☒ Promotion and tenure

☐ Promotion only ☐ 4<sup>th</sup> Year Review

**NEW RANK IF PROMOTION ACTION IS APPROVED** ☐ Professor ☒ Associate Professor

Date of initial faculty appointment in current appointment at Ohio State 9/1/2012

Date of last reappointment (clinical/research appointments only) \_\_\_\_\_

Years prior service credit \_\_\_\_\_ Years excluded 1 (probationary tenure-track only)

Last **approved** P&T action \_\_\_\_\_ Effective date \_\_\_\_\_

Last **non-approved** P&T action \_\_\_\_\_ Review year \_\_\_\_\_

**RECOMMEND** **DO NOT RECOMMEND**

Regional Campus Dean ☐ ☐ \_\_\_\_\_

TIU Head (Chair/Director) ☒ ☐ \_\_\_\_\_

Dean ☐ ☐ \_\_\_\_\_

For promotion to Associate

Match what was in offer letter (rare)

TIU should have copies of forms 111/112/116 - don't include



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**FACULTY APPOINTMENT** ☒ Tenure-track ☐ Clinical ☐ Research

**ASSOCIATED** ☐ Tenure title under 50% FTE ☐ Adjunct ☐ Clinical Practice

**PROPOSED ACTION CONSIDERED**

☐ Reappoint only ☐ Promotion and reappoint

☐ Tenure only ☒ Promotion and tenure

☐ Promotion only ☐ 4<sup>th</sup> Year Review

**NEW RANK IF PROMOTION ACTION IS APPROVED** ☐ Professor ☒ Associate Professor

Date of initial faculty appointment in current appointment at Ohio State 9/1/2012

Date of last reappointment (clinical/research appointments only) \_\_\_\_\_

Years prior service credit \_\_\_\_\_ Years excluded 1 (probationary tenure-track only)

Last **approved** P&T action \_\_\_\_\_ Effective date \_\_\_\_\_

Last **non-approved** P&T action \_\_\_\_\_ Review year \_\_\_\_\_

**RECOMMEND** **DO NOT RECOMMEND**

Regional Campus Dean ☐ ☐ \_\_\_\_\_

TIU Head (Chair/Director) ☒ ☐ \_\_\_\_\_

Dean ☐ ☐ \_\_\_\_\_

**For promotion to Associate**

**Do NOT list 4<sup>th</sup> year review! nothing for promotion to associate**

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**ASSOCIATED** ☐ Tenure title under 50% FTE ☐ Adjunct ☐ Clinical Practice

**PROPOSED ACTION CONSIDERED**

☐ Reappoint only ☐ Promotion and reappoint  
☐ Tenure only ☐ Promotion and tenure  
☒ Promotion only ☐ 4<sup>th</sup> Year Review

**NEW RANK IF PROMOTION ACTION IS APPROVED** ☒ Professor ☐ Associate Professor

Date of initial faculty appointment in current appointment at Ohio State 9/1/2006

Date of last reappointment (clinical/research appointments only) \_\_\_\_\_

Years prior service credit \_\_\_\_\_ Years excluded \_\_\_\_\_ (probationary tenure-track only)

Last **approved** P&T action Promotion and tenure Effective date 6/5/2012

Last **non-approved** P&T action \_\_\_\_\_ Review year \_\_\_\_\_

**RECOMMEND** **DO NOT RECOMMEND**

Regional Campus Dean ☐ ☐ \_\_\_\_\_

TIU Head (Chair/Director) ☒ ☐ \_\_\_\_\_

Dean ☐ ☐ \_\_\_\_\_

**For promotion to Full**

**date of appointment to tenure track**

**if previously denied**

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**ASSOCIATED** ☐ Tenure title under 50% FTE ☐ Adjunct ☐ Clinical Practice

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☐ Reappoint only ☐ Promotion and reappoint

☐ Tenure only ☐ Promotion and tenure

☒ Promotion only ☐ 4<sup>th</sup> Year Review

**NEW RANK IF PROMOTION ACTION IS APPROVED** ☒ Professor ☐ Associate Professor

Date of initial faculty appointment in current appointment at Ohio State 9/1/2006

Date of last reappointment (clinical/research appointments only) \_\_\_\_\_

Years prior service credit \_\_\_\_\_ Years excluded \_\_\_\_\_ (probationary tenure-track only)

Last **approved** P&T action Promotion and tenure Effective date 6/5/2012

Last **non-approved** P&T action \_\_\_\_\_ Review year \_\_\_\_\_

	RECOMMEND	DO NOT RECOMMEND
Regional Campus Dean	<input type="checkbox"/> ←	<input type="checkbox"/>
TIU Head (Chair/Director)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Dean	<input type="checkbox"/>	<input type="checkbox"/>

Need regional campus dean signature for regional campus faculty; electronic signatures are OK)

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**ASSOCIATED** ☐ Tenure title under 50% FTE ☐ Adjunct ☐ Clinical Practice

**PROPOSED ACTION CONSIDERED**

☐ Reappoint only ☐ Promotion and reappoint

☐ Tenure only ☐ Promotion and tenure

☒ Promotion only ☐ 4<sup>th</sup> Year Review

**NEW RANK IF PROMOTION ACTION IS APPROVED** ☒ Professor ☐ Associate Professor

Date of initial faculty appointment in current appointment at Ohio State 9/1/2006

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Years prior service credit \_\_\_\_\_ Years excluded \_\_\_\_\_ (probationary tenure-track only)

Last **approved** P&T action Promotion and tenure Effective date 6/5/2012

Last **non-approved** P&T action \_\_\_\_\_ Review year \_\_\_\_\_

	RECOMMEND	DO NOT RECOMMEND
Regional Campus Dean	<input type="checkbox"/>	<input type="checkbox"/>
TIU Head (Chair/Director)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Dean	<input type="checkbox"/>	<input type="checkbox"/>

check boxes must match what letters say. Checking \*DO NOT RECOMMEND (error) can require re-review\*

# Form 105: Dossier Checklist p. 1

Page 1 of 8

## Promotion and Tenure/Promotion Dossier Checklist

CANDIDATE

Jane M. Buckeye

(Print name)

**Be sure candidate  
READS this EARLY in  
the process.**

### Research Required Presentation

**CANDIDATE IS  
RESPONSIBLE FOR  
CORE DOSSIER!**

- ☐ Authors in *Item 1* are listed:
  - ☐ in the order in which they appear on each publication.
  - ☐ in the standard citation style for my discipline or in bibliography or author/date format provided by the approved OAA electronic dossier.
- ☐ Multiple authorship in *Items 1a–1e* for jointly authored papers, in *Item 2* for creative works, in *Item 5* for research funding, includes:
  - ☐ narrative description of my intellectual contribution.
  - ☐ percent of contribution to the funding application, not percent effort or salary release.

I have followed the examples of narrative description provided in the current Dossier Outline per Volume 3 of the OAA Policies and Procedures Handbook. I understand that statements such as "all authors contributed equally" or "50% effort" do NOT constitute adequate narrative description of intellectual contribution.

# Form 105: Dossier Checklist p. 1 (bottom)

## Student Evaluation of Teaching Required Documentation

- ☐ SEI or other fixed-response survey data included for every course taught since start date or date of last promotion whichever is more recent.
- ☐ Correctly placed in dossier Section IV (see Dossier Outline in Section 4.1 of the OAA Policies and Procedures Handbook).

I have prepared my dossier in accordance with the *Current Dossier Outline*, and it fulfills all requirements, with special attention to those noted above. If my start date is August 2018 or later, I used Vita.

I understand that the review process cannot commence until I have submitted a correctly prepared dossier, and that if substantive errors or omissions are discovered at any stage of the process, the dossier may be returned to me for revision.

Signature of candidate [Electronic ok] Date 9/15/20

*\*signature must occur prior to the TIU review*

**Candidate signs  
BEFORE  
TIU CEF meeting**

Candidate should check boxes AND ensure they have included the required material - need cumulative SEI AND individual course sheets  
**- See SEI Reports Access document on intranet (P&T Materials)**

# Form 105: Dossier Checklist p. 1 (bottom)

## Student Evaluation of Teaching Required Documentation

- ☐ SEI or other fixed-response survey data included for every course taught since start date or date of last promotion whichever is more recent.
- ☐ Correctly placed in dossier Section IV (see Dossier Outline in Section 4.1 of the OAA Policies and Procedures Handbook).

I have prepared my dossier in accordance with the *Current Dossier Outline*, and it fulfills all requirements, with special attention to those noted above. If my start date is August 2018 or later, I used Vita.

I understand that the review process cannot commence until I have submitted a correctly prepared dossier, and that if substantive errors or omissions are discovered at any stage of the process, the dossier may be returned to me for revision.

Signature of candidate     [Electronic ok]     Date     9/15/20    

\*signature must occur prior to the TIU review

**Candidate signs  
BEFORE  
TIU CEF meeting**

**For promotion to Full, use last 5 years of SEIs unless promotion to Associate (or hire date) is less than 5 years ago (ok if cumulative report includes earlier data)**

# Form 105: Dossier Checklist p. 2 (top)

Page 2 of 8

## TIU-LEVEL REVIEW

### Internal Evaluation

Only if using  
older APT (rare)

☐ APT document year  is attached to be used in the review (only if the current APT document is not being used)

☐ Annual reviews as required by the Dossier Outline are included in Part III.A. If the set of annual review letters is incomplete, a written explanation is provided.

For promotion  
& tenure →

☐ Candidates for tenure and promotion or tenure—all annual review letters (including 4<sup>th</sup> Year Review) since start date.

For promotion  
to Full →

☐ All other candidates—all annual review letters since last Ohio State promotion or year of hire with tenure, not to exceed the most recent 5 years. **5 years maximum**

☐ Documentation of peer evaluation of teaching (letters, reports, etc.) as required by the unit's APT document is included in Part III.A.

**Must match what is in APT**

- Number of evaluations required as stated in APT Document:

- Number of evaluations submitted:  **Must match what is in dossier**

☐ Open-ended discursive evaluations, if collected, summarized and included in Part IV.C. Candidates for promotion and tenure should include all courses taught; candidates for promotion should only provide most recent 5 years (e.g., SEI comments from students).

**No raw comments allowed! – must be summarized by someone other than candidate**



# Form 105: Dossier Checklist p. 2 (bottom)

## External Evaluation

- ☐ At least five external letters (where required) included in Part III.B.
    - ☐ No more than one-half from persons suggested by the candidate.
    - ☐ None from former PhD or post-doc advisors; collaborators; or those who otherwise have a relationship with the candidate that could reasonably interfere with objective evaluation.
  - ☐ External evaluators summary sheet
    - ☐ Completed summary sheet (Form 114) for external reviewers who agreed to evaluate candidates: All persons who were requested to write and agreed are listed: Reviewer's name; institution; title/rank; suggested by; and relationship to candidate.
  - ☐ External evaluator cover page
    - ☐ A cover page (Form 106) precedes every letter received.
      - ☐ Do NOT include a cover page for evaluators from whom no letter was received.
      - ☐ Every item on the cover page is filled out and includes sufficient information to establish the evaluator's:
        - Credibility.
        - Relationship with candidate
- if low level collaboration but not COI,  
write "TIU does not consider this a  
conflict of interest" on form 106

# Form 105: Dossier Checklist p. 3 (top)

CHANGED in 2021-22

Page 3 of 7

The dossier fulfills all requirements stated in the current Dossier Outline per Volume 3 of the *OAA Policies and Procedures Handbook*, with special attention to the points noted above, including all those affirmed by the candidate.

It is particularly important to check for fulfillment of the requirement for narrative description of intellectual contribution to jointly offered papers and grants. Some candidates sign the checklist indicating that this requirement has been fulfilled when it has not, and the omission goes unnoticed by some Procedures Oversight Designees and other reviewers.

I verify the accuracy of all citations, that the dossier fulfills all requirements, and that the review for accuracy occurred before the dossier was provided to the committee of eligible faculty for formal review.

\_\_\_\_\_  
(Print name)

Signature \_\_\_\_\_

Date \_\_\_\_\_

Procedures Oversight Designee

POD verifies that dossier is complete, appropriately describes contributions to joint work, AND that citations are accurate; POD (or departmental staff person) MUST verify citations

POD also verifies that core dossier meets TIU requirements (e.g., description of quality indicators from APT document)

POD verifies completeness and accuracy  
BEFORE meeting of the CEF for review.

# Form 105: Dossier Checklist p. 3 (bottom)

CHANGE for 2021-22

This review was based on performance and was free of bias against underrepresented groups. The tenure initiating unit (TIU) level review of this candidate was conducted in full accordance with the unit's Appointments, Promotion, and Tenure (APT) document, and the latter document was made available to the TIU deliberative body as part of the review.

All candidates were treated consistently during this year's review process. A written rationale for any apparent inconsistency\* is provided when clear and defensible bases exist for such differences.

*\*Examples: When neither of two candidates for promotion to professor has advised doctoral students, but one is criticized on this point and the other is not. When neither of two candidates for promotion has a book in contract, but one is criticized on this point and the other is not.*

**POD verifies that TIU review was fair  
(see OAA POD Duties document)**

The report of the TIU deliberative body contains:

- ☒ Detailed assessment of the candidate's accomplishments, strengths, and weaknesses, and a report of and interpretation of TIU vote.
- ☒ Explanation of the expectations of the unit against which the candidate is being assessed.
- ☒ Otherwise the expectations of the unit must be explained in the letter by the TIU head or regional campus deliberative body or regional campus dean.

I verify that this review was based on performance, was free of bias against underrepresented groups, was conducted in accordance with the unit's APT document, and that candidates were treated consistently.

\_\_\_\_\_  
(Print name)

Signature \_\_\_\_\_ Date \_\_\_\_\_  
Procedures Oversight Designee

**POD verifies that TIU letters include  
description of expectations from APT doc**

# Form 105: Dossier Checklist p. 4 (top)

Page 4 of 7

## NUMERICAL VOTING RECORD IN THE TENURE INITIATING UNIT

The information below is required in the official record for every review, even when the vote is unanimously positive.

Quorum\*

		Number or Percentage
1	Faculty eligible to vote on this case—does not include TIU head (line 8) or faculty who are excused (line 2). Eligible faculty are defined in each unit's APT document and are dependent on category and rank.	12 <b>Do not include TIU head or excused</b>
2	Eligible faculty on previously approved leave or excused because of a conflict of interest	1 <b>Don't include in 1</b>
3	Eligible faculty members who are absent and unexcused	2 <b>DO include in 1</b>
4	Total faculty eligible to vote present in the meeting and discussing the case (line 1 minus line 3)	10 <b>12-2=10</b>
5	Percentage of eligible faculty in the meeting discussing the case (Line 4 divided by line 1, converted to a percentage)	83% <b>10/12=83%</b>
6	Percentage of eligible faculty that must be exceeded for quorum (>66.7% for 2/3 rule or >50% for simple majority)	67% <b>From APT</b>
7	Is quorum met (Is line 5 greater than line 6—mark Yes or No)	YES <b>83&gt;67</b>
8	Non-eligible faculty participating in the meeting (e.g., TIU head)	1 <b>Don't include in 1</b>

**Faculty on FPL MAY participate – if so, move from category 2 to category 1**  
**Must participate in all cases at particular level; phone/video is fine**

# Form 105: Dossier Checklist p. 4 (bottom)

Vote\*

1	Number of YES votes on this case	8
2	Number of NO votes on this case	1
3	Number of combined YES and NO votes on this case	9 <b>8+1=9</b>
4	Percentage of YES votes relative to combined YES plus NO votes on this case	89% <b>8/9=.89</b>
5	Percentage YES votes required by the APT document being used for this review for the eligible faculty's recommendation to be considered positive	67% <b>From APT</b>
6	Number of eligible faculty attending the meeting abstaining (these votes are NOT counted in 3)	1 <b>Don't include in 3</b>

Note: Abstentions are not counted as votes consistent with the Office of Academic Affairs' guidelines for APT documents and with Robert's Rules of Order.

*I understand that if the tenure initiating unit reviews and forwards a dossier lacking key information and/or containing less than credible external evaluation, the review process may have to begin anew.*

TIU\*\* Procedures Oversight Designee Barbara Jones  
(Print name)

**POD signs here**

Signature (signature) Date (date)

**POD verifies that numbers are listed correctly  
AND that dossier is complete**

**[p. 5-7 filled in by college – include pages, don't fill out]**

# Copy of APT?

If APT has been **revised**, candidate **can choose** to be reviewed under previous version (rarely happens) – see OAA handbook  
(promotion to associate: current or when hired;  
promotion to full: current or when promoted to associate IF less than ten years prior to April 1 of review year)

If candidate uses APT that is different from that on OAA site  
<https://oaa.osu.edu/appointments-reappointments-promotion-and-tenure>  
**insert a copy of the older APT** immediately after form 105

**If using version of APT on OAA site, do NOT insert copy**

TIU often keeps older versions of APT- OAA makes this the candidate's responsibility

Follow **CURRENT PROCEDURES** (e.g., quorum, % for positive vote)  
even if using older **CRITERIA – check TIU APT doc**

# **Pause for Questions / 5 minute BREAK**

Questions from chat about the  
forms?



**THE OHIO STATE UNIVERSITY**  
COLLEGE OF ARTS AND SCIENCES

# I. Introduction

insert P&T divider sheets, starting here

printed from Dossier Divider Templates file on ASC intranet  
(under Dossier Preparation Materials)  
(separate set for 4<sup>th</sup> year review – no evaluator pages)

- **USE CURRENT VERSION** (minor changes)
- **Divider sheets must have COLORED BACKGROUND**
- **Include all divider sheets, even if section is empty.**

(If extra Introduction/Core Dossier dividers are included  
with

what candidate gives you (e.g. generated by Vita),  
remove and replace with colored dividers from templates)



# I. Introduction (candidate provides)

Jane M. Buckeye  
Campus Address  
Campus Phone  
email address

Vita generates, candidate can modify  
TIU should check that it is complete

**Biographical Narrative** – OPTIONAL, short if included – Puts previous appointments and /or interdisciplinary work in context

## **Current Appointments**

Assistant Professor, Microbiology  
Assistant Professor, Molecular Genetics

(if joint appointment)

## **Other Positions** (if appropriate)

academic or administrative

## **Degrees**

- include DT or courtesy appts here
- include past positions

Date                      Degree, Institution

Date                      Degree, Institution

## **Fellowships, Internships, Residency** (if appropriate – can delete if not)

This section in REVERSE chronological order (newest to oldest)

## II. Core Dossier (candidate provides)

prepared with Vita or using Core Dossier Outline (Word format)

We recommend candidates enter data and download dossier from Vita as Word document and MAKE EDITS/CORRECTIONS (e.g. formatting)

**Vita generates a variety of tables. OAA requires format “that exactly matches the Vita format.”**

**TIU sets standards for what is allowed/expected in core dossier**  
- Vita inserts some tables as 'placeholders' – delete if not using

**Candidates should refer to OAA core dossier outline for detailed info about what should be included – includes WORD COUNTS for narratives – TIU is responsible to enforce these**

**In categories, list entries in REVERSE chronological order (newest to oldest).**

## II. Core Dossier (candidate provides)

**Check teaching table** – SEIs/peer reviews should match what is in the dossier. Vita will populate this table to default values – all ‘yes’ for SEIs, all ‘no’ for peer review. EDIT THIS. **TIU should CHECK.**

Publications/grants/etc. should be listed **ONCE**

- exception is publications by grad students, which can be listed under both teaching and research

Narratives should focus on **IMPACT** of activities

- not useful to just repeat things that are already listed
- research narratives should be written for general audience
- if too long/detailed, won't be read (which defeats the purpose)

**Core dossier must be checked by TIU (POD/mentors/etc.) BEFORE eligible faculty meeting**

# III. Evaluation

Evaluation sections will include all evaluative letters that were generated **PREVIOUSLY**.

- TIU annual review letters and any comments on those letters
- For promotion to Associate, all 4<sup>th</sup> year review materials

- these are part of what the TIU considers in the current review process and must be part of the file the TIU reviews

The TIU faculty and TIU head letters (etc.) generated **DURING** the current review (e.g., in fall 2022) will be placed at the end of the dossier (section V)

- Exception is current letter from head of 2<sup>nd</sup> TIU for joint appointments, or DT Focus Area Leader - placed in section V in final dossier but part of what CEF considers in current review

-these sections are placed in **CHRONOLOGICAL** order (oldest to newest). **CHANGE** from Core Dossier order.

# III.A. Internal Letters of Evaluation

## III.A.1 Annual review letters

- for assistant professors, **all since date of hire**
- for associate professors, **since previous promotion**  
**OR since date of hire if hired with tenure**  
**- BUT not to exceed last 5 years**

(if any are missing, include explanatory note)

TIU is responsible for maintaining these letters and any comments from the process.

## III.A.2 Written documents submitted as part of annual reviews

Any reports, mentoring committee documents, etc.

(If no such documents, include divider but nothing in section)

# III.A. Internal Letters of Evaluation

## III.A.3. 4<sup>TH</sup> Year Review Letters (promotion to associate)

- **ALL** internal recommendation letters that were generated during 4<sup>th</sup> year review
- regional campus (regional faculty committee and dean, if appropriate), TIU eligible faculty committee, TIU head, joint TIU head/DT leader if appropriate, college panel, executive dean)

(for promotion to professor, include divider but nothing in section)

## III.A.4 Additional letters requested by the candidate and solicited by the TIU Head (at OSU or outside OSU)

- letters from research collaborators
- letters documenting exceptional service/outreach activities

**These must be part of what eligible faculty committee reviews**

# III.A. Internal Letters of Evaluation

## III.A.5. Documentation of peer evaluation of teaching

- peer teaching evaluation letters since hire (for promotion to associate) or since last promotion (for promotion to full), but must be within last 5 years;  
**only use letters from OSU (not previous institutions)**
- letters must include name of peer reviewer
- numbers must meet or exceed what is specified in TIU APT
- **numbers must match what it says on Form 105  
and peer reviews listed in teaching table in core dossier**
- **chronological order, oldest to newest**

# III.B. External Letters of Evaluation

## 1. Summary sheet of evaluators (form 114)

### SUMMARY FORM FOR RESPONDING EXTERNAL REVIEWERS

Candidate: Jane M. Buckeye

Department/College: Microbiology

Evaluator	Title/Rank	Institution	Suggested by	Relationship to Candidate
John Smith	Professor	Pennsylvania State University	P&T Committee	None
Susan Jones	Professor	University of Wisconsin	P&T Committee	None
Andrew Brown	Associate Professor	Harvard University	TIU Head	Professional Colleague
Mary Rodriguez	Professor	Princeton University	Candidate	None
Peter Johnston	Professor	Michigan State University	Candidate	None

If an evaluator was independently suggested by both the candidate and someone else (e.g., P&T committee), can use P&T committee here

No more than half can be suggested by candidate (OAA rule)



## III.B. External Letters of Evaluation

### 2. Example of letter sent to evaluators

Set of template letters is available on ASC intranet (.docx)

- standard (to associate or full)
- for regional faculty
- for full profs under flexible process (i.e., higher service/teaching)

(also have templates for collaborator letters)

**LETTER MUST STATE RANK FOR PROMOTION**

(to Associate vs. to Full)

These are **STARTING POINTS** and are **OPTIONAL**

- **TIU controls solicitation letter content**
- **TIU controls what materials are sent to evaluators**
- **letter should include a list of what materials were sent**  
(either in the letter itself, or as a list appended to the letter here)

## III.B. External Letters of Evaluation

### III.B.3. External letters preceded by cover sheet (form106)

- letter must be signed and on letterhead (electronic ok)
- if not, add note on the letter “TIU considers letter to be authentic”  
(e.g., sent from institutional email address)

#### EXTERNAL EVALUATOR FORM

Candidate Jane M. Buckeye

Evaluator John Smith **Must indicate rank of evaluator**

Title/Rank Professor of Biochemistry & Molecular Biology **(associate or full professor)**

Institutional Affiliation Pennsylvania State University **Must include university name**

Complete Address of Evaluator

Department of Biochemistry & Molecular Biology  
307 Althouse Lab  
Pennsylvania State University  
University Park, PA 16802

## III.B. External Letters of Evaluation

### III.B.3. External letters preceded by cover sheet (form 106)

#### Qualifications as an Evaluator

(PROVIDE DETAIL SUFFICIENT TO ESTABLISH THE EVALUATOR'S CREDIBILITY)

Dr. Smith is the Henry James Professor of Biochemistry & Molecular Biology, where he has been on the faculty since 1995, and is an expert in Dr. Buckeye's field of microbial physiology. He is a Fellow of the American Academy of Microbiology and the American Association for the Advancement of Sciences. He is an Editor of the Journal of Bacteriology, one of the premier journals in the field. He has published over 150 research articles, has chaired a number of international scientific conferences, and has served on multiple National Institutes of Health grant review panels. He has interacted with Dr. Buckeye at scientific conferences, but they have no direct connection and have not collaborated or published together.

Description should establish status/credentials of evaluator (not just AAU/BTAA)  
**NOT** CV or detailed description of research interests

Make sure this matches form 114  
Problem if this says no relationship,  
but letter indicates they've collaborated

Relationship to candidate:

None

Evaluator suggested by:

☐ Candidate ☐ Department Chair ☒ P&T Committee ☐ Other \_\_\_\_\_

## III.B. External Letters of Evaluation

### III.B.3. External letters preceded by cover sheet (form 106)

#### Qualifications as an Evaluator

(PROVIDE DETAIL SUFFICIENT TO ESTABLISH THE EVALUATOR'S CREDIBILITY)

Dr. Smith is the Henry James Professor of Biochemistry & Molecular Biology, where he has been on the faculty since 1995, and is an expert in Dr. Buckeye's field of microbial physiology. He is a Fellow of the American Academy of Microbiology and the American Association for the Advancement of Sciences. He is an Editor of the Journal of Bacteriology, one of the premier journals in the field. He has published over 150 research articles, has chaired a number of international scientific conferences, and has served on multiple National Institutes of Health grant review panels. He has interacted with Dr. Buckeye at scientific conferences, but they have no direct connection and have not collaborated or published together.

If there is a minor collaboration, spell it out **HERE** and write **HERE**: "TIU does not consider this to be a conflict of interest" and explain in letters

Relationship to candidate:

None

Evaluator suggested by:

☐ Candidate ☐ Department Chair ☒ P&T Committee ☐ Other \_\_\_\_\_

(standard is whether success of candidate affects success of evaluator)

# Pause for Questions

Questions from chat about  
internal and external letters?



THE OHIO STATE UNIVERSITY

COLLEGE OF ARTS AND SCIENCES

# IV. Student Evaluation of Instruction

## IV.A. Cumulative Fixed-Response Survey Data

(summary of all courses – generated by SEI / Blue systems)

## IV.B. Individual Fixed-Response Student Evaluation Data

(single page overview for each course – last 5 yrs or since last promotion, whichever is shorter, for promotion to full)

## IV.C. Summary of Open-Ended Student Evaluation

(if comments were collected, must be **summarized** by someone other than candidate – **don't include raw student comments!**)

- indicate who generated the summary, POD should review

**See “SEI Reports Access” document (Tina Henkin) for explanation of different reports and which to use for P&T**

**Place in chronological order, oldest to newest**

**ONLY include teaching evaluations from OSU**

# V. Review Letters

V.A. Regional campus (if applicable) (include dividers)

V.A.1. Regional campus faculty deliberative body

V.A.2. Regional campus dean

V.B. TIU

V.B.1. TIU faculty deliberative body

V.B.2. TIU head

V.B.3. Head of TIU joint appointment or discovery  
theme focus area (if applicable)

V.B.4. TIU-Level Comments Process

TIU letters should be **EVALUATIVE**

TIU CEF letter includes **STANDARDS** from APT document

TIU head provides **INDEPENDENT ASSESSMENT**

- do not repeat what is in eligible faculty letter

IF there are **NEGATIVE** votes or many abstentions

- Letters address cause or indicate cause is unknown

# V. Review Letters

## V.C. College

V.C.1. College P&T committee  
(divisional panel for ASC)

V.C.2. College dean  
(Executive Dean for ASC)

V.C.3. College-level comments process

(to be added by college; **include divider sheets**)



# SUBMISSION

## **Upload pdf to TIU's TEAMS channel**

- make sure uploader has access
- Faculty Affairs reviews dossiers before releasing them to panels
- questions to TONI CALBERT
- FINAL COLLEGE DEADLINE: October 21

See **P&T review submission process document** for instructions

<https://ascintranet.osu.edu/promotion-tenure/processes-guidelines>

# New Information

If candidate has new information **ABOUT ITEMS  
ALREADY IN DOSSIER:**

- can be added if TIU hasn't yet reviewed
- if TIU review is done but before submission to college, TIU head asks eligible faculty if they want to reconsider (THIS MUST happen even if item is positive and vote was unanimous)
- if already at college, alert Shari and divisional dean; college will decide if want to return to TIU or divisional panel (depending on where it is in the process)
- if already at OAA, can only correct errors for items already in dossier – can't add anything, no updates

# General Comments

- **Document the comments process** even if candidate declines to comment
- Begin **page numbers** at 1 for the core dossier (not at the introduction). This is from OAA guidance.
- **Follow instructions** in P&T submission process overview document for making and submitting pdf
- **Read P&T FAQs, Things to Check, What's New?** documents

# More Help

Aug 31 and Oct 28: OAA P&T Workshops for TIU Teams  
(TIU chair, P&T committee chair, POD)

<https://oaa.osu.edu/promotion-and-tenure-workshops>

ASC P&T office hours – September and October

- by appointment
- in-person advice, dossier review
- dossier review can also be done by email

personal appointments available – just email

Contacts: **Shari Speer** [speer.21@osu.edu](mailto:speer.21@osu.edu) (content)  
**Toni Calbert** [calbert.5@osu.edu](mailto:calbert.5@osu.edu) (logistics)

# Final Questions?

**Shari Speer, Associate Dean for Faculty Affairs**  
[speer.21@osu.edu](mailto:speer.21@osu.edu)

**Toni Calbert, Faculty Affairs Specialist**  
[Calbert.5@osu.edu](mailto:Calbert.5@osu.edu)



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