Things to Check in Dossier Preparation 2023
Revised July 17, 2023

Below please find a quick reference guide to the sections of the P&T dossier that addresses common issues encountered by faculty and staff as they finalize this document. Refer to the P&T Review Submission Process document for more detailed guidance (posted on the ASC Intranet – Promotion and Tenure). Keep in mind that rules and requirements for dossiers are based primarily on the OAA Policies and Procedures Handbook, Volume 3: Promotion and Tenure. We encourage you to become familiar with this document and refer to it often as you compile the dossier. If you have any questions about this process, please contact Toni Calbert (.5).

1. Record of Review (Form 109) – use current version (Rev. 09/22)
   - Green cards no longer need to be included for permanent residents. Candidates with temporary immigrant status (e.g., with Hb-1 visa) must include this MOU.
   - Joint appointments (in a second TIU) must be listed
     - requires letter from head of other unit in section VB3
     - Discovery Theme appointments may not be listed but dossier should include a letter from the faculty director in section VB3
   - Courtesy (non-salaried) appointments are not listed on Form 109
   - Note proposed action (promotion only vs. promotion and tenure)
   - Years excluded from tenure clock must be listed, type of exclusion should not be included
   - 4th Year Review is not considered a P&T action – do not add
   - Record of Review must be signed by TIU head/regional dean
     - digital signatures are allowed
     - do not add divisional dean signature. This step happens at the college.
   - Recommendations by TIU head/regional dean must match letters

2. Dossier Checklist (Form 105) – use current version (Rev. 5/23)
   - Candidate must sign p. 1 of Dossier Checklist (Form 105) BEFORE distribution of materials to the eligible faculty to verify that core dossier is correct; checklist must be complete, actions must be done as indicated
   - Candidate must not sign other parts of the checklist that are not the responsibility of the candidate
   - POD must complete and sign TIU checklist in 3 places (p. 2-4); items indicated must be in dossier
   - POD must not fill out or sign college checklist (p. 5-7)

3. Numerical Voting Record in the Tenure Initiating Unit (Form 105 p. 4)
   - Percentages for positive vote or quorum must correspond to what is in TIU’s APT document
   - Eligible faculty total must not include TIU head (line 1)
   - Eligible faculty total must not include those on leave or otherwise excused (line 1)
   - If faculty who are excused (e.g., on FPL) choose to participate, they must participate in all P&T cases for which they are eligible and should be included in the total eligible faculty (line 1)
4. **Introduction**
   - Introduction must include education, previous positions
     - Arrange all items in this section in REVERSE chronological order
     - Narrative is optional, but if used, should be short and should place the candidate’s scholarly record in context for a broad university-level reviewing audience. Information available immediately below about appointments and degrees should not be duplicated.
     - List courtesy appointments, indicate courtesy vs. salaried

5. **Core Dossier**
   - Use current version of [core dossier outline in Vita Format](#)
   - Arrange all entries in sections of the core dossier in REVERSE chronological order (newest to oldest)
   - Teaching table should list all courses since hire for promotion of probationary faculty, last five years (or since promotion if less than five years) for promotion of non-probationary faculty
     - Columns for student evaluations and peer evaluations should match the documents provided in the dossier for these sections.
   - Follow word counts listed on core dossier outline (no longer than 750 words, except where noted)
   - Publications, grants, etc. may not be listed more than once (exception is graduate student publications, which can also be listed as candidate publications)
   - Work in progress is discussed only in the narrative section
   - Information regarding impact (e.g., charts from google scholar) that are referred to in the narrative statement by the candidate must be included in the core dossier
   - Descriptions of role in joint work are required for each coauthored publication and should be brief; percent effort must also be included.
   - Joint research grants should indicate candidate’s role, who is PI, and how much funding goes to the candidate’s program as well as a brief description of candidate’s intellectual contribution and percentage of contribution.
   - If research is included prior to the start of candidate’s current appointment, clearly indicate through subheadings or other notation items from before/after current appointment
   - Student comments may NOT be quoted in narratives; these should be summarized by someone other than candidate in section IVC
6. **Internal Letters**
   - Annual review letters and any candidate comments must be in IIIA1 (if a letter cannot be located, include an explanatory note)
     - place in chronological order (oldest to newest)
   - ALL fourth-year review letters are required for promotion to associate
     - include all internal recommendation letters and any candidate comments that were generated
       (regional campus letters, if appropriate, P&T chair, chair, chair of secondary unit, if appropriate, college review panel; college dean)
   - For promotion to associate, include all since date of hire
   - For promotion to professor, last five years (or since promotion if less than five years)
   - Peer teaching review letters must indicate who wrote them; number should match what is indicated in the TIU APT document, on Form 105 p. 2, and the peer eval column of the teaching table; include note if fewer than required; place in section IIIA5 in chronological order, oldest to newest

7. **External Evaluators**
   - Summary sheet (form 114)
     - “suggested by” column should match the “evaluator suggested by” box on Form 106;
     - “relationship to candidate” should not state “none” if the actual letter states a relationship
     - if an evaluator was independently suggested by both the candidate and the chair or P&T committee, list as chair/P&T committee on forms
     - check that information on Form 114 matches cover page Form 106 and letter for each evaluator
   - External evaluator form should BRIEFLY highlight qualifications (simply saying “AAU” or describing research interests is not sufficient; be sure to list name of university (not just “School” if subdivision of university) and evaluator’s academic title including rank
   - Letter of invitation included as sample should ensure that reviewers are aware of what rank candidate is being considered for (e.g., it is a procedural error if letter says the person is being considered for professor, but they are being considered for associate professor)
   - Include list of materials sent to evaluators with sample letter
   - Letters need to be signed (electronically is ok) and on official stationery; e-mail message is ok, if necessary, but needs to be from institutional address - add comment that TIU has verified the source
8. **Student Evaluations**
   - Include both cumulative report (IVA) and individual course reports (IVB) in chronological order, oldest to newest
   - Individual course reports should be one page report format (Overview Report)
   - Follow SEI Reports for P&T Dossiers documents (on intranet) for description of correct SEI reports to include
   - For promotion to associate, include all since date of hire
   - For promotion to professor, last five years (or since promotion if less than five years)
   - Student comments (IVC), if used by your TIU, should be presented as a summary generated by someone other than the candidate; do NOT include raw comments report from SEIs; summary must indicate who generated it (name and role). See Summary of Student Comments Template for suggested format.

9. **APT Internal Review Evaluations**
   - Include letter from chair/director of joint TIU, Discovery Theme, etc. as appropriate in section VB3
   - Include documentation of TIU comments process in VB4
     - Use of Form 103 is preferred, email exchange is allowed

10. **Copies of research publications or creative work**
    - Should be kept by the department and not submitted with the dossier

11. **Dossier file structure**
    - Dossiers should be submitted in PDF format via department folders on Teams; do not submit a hardcopy
    - Use current set of divider templates (use colored pages, any color ok)
    - Include all divider pages, even if no letter (e.g., regional letters)
    - Check quality of PDF to ensure all information is legible
    - Follow instructions in P&T Review Submission Guidance Document for creating and naming PDF (posted on the ASC Intranet – Promotion and Tenure)