

Things to Check in Dossier Preparation 2022

Revised October 5, 2022

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 Overview document for more detailed guidance (posted on the [ASC Intranet – P&T Processes & Guidelines](#)). 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 \(Rev. 09/22\)](#)**
 - 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 \(Rev. 04/21\)](#)**
 - 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
 - Eligible faculty total must not include those on leave or otherwise excused
 - If faculty who are excused (e.g., on FPL) choose to participate, they should no longer be listed as excused



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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](#)
- Arrange all entries in sections of the core dossier in REVERSE chronological order (newest to oldest)
- Start page numbers in this section with "1"
- 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



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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



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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 Access](#) 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 – P&T Processes & Guidelines](#))

