P&T Dossier Workshop

Tina Henkin
Associate Dean for Faculty Affairs

For Whom: P&T Chairs, PODs, department administrators
What: nuts and bolts of dossier preparation
Why: to facilitate preparation of complete dossiers
- focus on fall P&T reviews – 50 expected
- also relevant to spring 4th yr reviews (minus external letters)
Terminology

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 particular P&T case(s)
    (conflict of interest, or TIU head isn’t eligible – e.g., not full prof)
Committee of eligible faculty: TIU voting body
P&T Chair: Chair of Committee of eligible faculty
POD: Procedures Oversight Designee
    - member of Committee of eligible faculty who verifies dossier
    and fairness of review process (checklist Form 105, p. 2-4)
APT: Appointments, Promotion and Tenure document of TIU
SEI: Student Evaluation of Instruction
OAA: Office of Academic Affairs

Key deadlines for TIUs

May 26: submission of lists of external reviewers for college approval
October 1: deadline for regional campus letters to be sent to TIU
October 13: recommended deadline for TIU P&T committee meetings
    (to allow letter preparation, comments period)
October 16: TIU reviews complete, letters given to candidate
    (start of 10 day comments period)
October 26: deadline for comments period (if starting October 16;
    TIU can add response to comments to dossier)
October 27: submission to college (upload to Box + 1 hard copy)

*If running behind, we will accept dossiers without candidate comments,
and you can add them a few days later – put a placeholder note in comments section so we know it will be coming late: email Tina Henkin*
Who Does What?

**Candidate:**
- material for external evaluators (TIU decides what is sent)
  - Intro and Core Dossier
  - publications etc. for TIU review
  - completes and signs checklist Form 105, p. 1

**TIU head:**
- solicits external reviewers/other letters*
- writes TIU head letter

**P&T chair:**
- solicits external reviewers/other letters*
- reviews dossier prior to eligible faculty meeting
- assigns someone to summarize student comments (if used)
- runs TIU eligible faculty committee meeting
- writes TIU eligible faculty committee letter

**Procedures oversight designee (POD):**
- verifies dossier prior to eligible faculty meeting
- completes and signs checklist Form 105 p. 2-4
  - **ensures fair evaluation by TIU**

**Departmental staff:**
- assembles final dossier (including forms other than checklist)
- generates pdf
- submits to college

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Ways to streamline process?

**September:**
- TIU chair, POD review core dossier to ensure all components are complete (preview checklist form)
- staff can begin preparation of dossiers prior to receipt of full set of external letters

**October:**
- TIU head solicits letters from joint appointment TIU head/center director/DT focus area leader (as needed)
- P&T chair can begin drafting letters prior to meeting
- TIU head can begin drafting letters prior to receiving TIU committee letter

P&T office hours will be available in September and October with Tina Henkin or Susan Williams to address questions, check dossier organization – hours will be announced in Chairs/Directors mailing
What happens after you send to college?

- quick review of dossiers to ensure everything is complete
  - TIU contacted for missing items
- divisional panels meet, summary letters generated by divisional dean (November/December)
- executive dean reviews, writes decision letters (by January 8, 2018)
- letters provided to candidates and TIU head
- 10 day comments period/response
- dossiers submitted to OAA (January 26, 2018)
- OAA provides decision to ASC, executive dean sends letter to candidate and TIU head (March)
- final approval at Board of Trustees meeting (June 8, 2018)
  - promotion takes effect immediately
ASC resources: https://intranet.asc.ohio-state.edu/apt

Appointments, Promotion and Tenure

General
- Arts and Sciences AIP document [pdf] (rev. August 1, 2014)
- Developmental AIP documents approved by QAA
- EOT FAQ [pdf]
- Peer Review Teaching Chair [pdf] (rev. January 8, 2017)
- FAQ #38 to #41 transition [pdf] (March 21, 2015)
- QAA Guide to Ways to Document Faculty Activities [pdf] (March 21, 2015)

Fourth Year and Reappointment Review Processes
- Concord and Research Faculty Reappointment guidelines [pdf] (posted November 15, 2015)

Promotion and Tenure Review Processes

Dossier Preparation Materials
- Dossier Outline Template [pdf]
- 4th Year Review Outline Template [pdf]
- Things to Watch in Dossier Preparation [doc]
- Directions for Setting Time Periods [pdf] in Your Research In Your Profile
- Core Dossier Period [pdf]
- Core Dossier Outline [doc]

[doc] - Some links on this page are to Microsoft word files requiring the use of Microsoft Word. If you need them in a more accessible format, please contact ascresources@osu.edu

[pdf] - Some links on this page are to Adobe .pdf files requiring the use of Adobe Reader. If you need them in a more accessible format, please contact ascresources@osu.edu
Useful Links

**ASC resources:**  [https://intranet.asc.ohio-state.edu/apt](https://intranet.asc.ohio-state.edu/apt) (updated)


P&T FAQ:  (useful for candidate) [https://intranet.asc.ohio-state.edu/sites/intranet.asc.ohio-state.edu/files/asc-pt-faq-8-2-2016.pdf](https://intranet.asc.ohio-state.edu/sites/intranet.asc.ohio-state.edu/files/asc-pt-faq-8-2-2016.pdf)

Dossier divider templates:  [https://intranet.asc.ohio-state.edu/sites/intranet.asc.ohio-state.edu/files/pt-dividers-7-6-2016.pdf](https://intranet.asc.ohio-state.edu/sites/intranet.asc.ohio-state.edu/files/pt-dividers-7-6-2016.pdf)

Things to Watch in Dossier Preparation [docx]

OAA P&T Forms:  [http://oaa.osu.edu/forms.html#PromotionTenure](http://oaa.osu.edu/forms.html#PromotionTenure)

Form 109: Record of Review

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

<table>
<thead>
<tr>
<th>Last Name</th>
<th>Buckeye</th>
</tr>
</thead>
<tbody>
<tr>
<td>First Name</td>
<td>Jane</td>
</tr>
<tr>
<td>M.I.</td>
<td>M</td>
</tr>
<tr>
<td>OSU Empld</td>
<td>12345678</td>
</tr>
<tr>
<td>College</td>
<td>Arts &amp; Sciences</td>
</tr>
<tr>
<td>Campus</td>
<td>Columbus</td>
</tr>
<tr>
<td>TIU Microbiology</td>
<td></td>
</tr>
<tr>
<td>TIU Org #</td>
<td>03500</td>
</tr>
</tbody>
</table>

- **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** [expr. date]—copy of approval notice attached
- **Other—copies of immigration documents attached**

For promotion to Associate

**REGULAR FACULTY TRACK**

- **Tenure**
- **Clinical**
- **Research**

**AUXILIARY**

- **Reg title under 50% FTE**
- **Adjunct**
- **Auxiliary Clinical**

**PROPOSED ACTION CONSIDERED**

- **Reappoint only**
- **Tenure only**
- **Promotion only**
- **Promotion and reappoint**
- **Promotion and tenure**

**NEW RANK IF PROMOTION ACTION IS APPROVED**

- **Professor**
- **Associate Professor**

- **Date of initial faculty appointment in current rank at Ohio State**
- **Date of last reappointment (regular clinical/research track only)**
- **Years prior service credit**
- **Years excluded**
- **Last approved P&T action**
- **Last non-approved P&T action**
- **Effective date**
- **Review year**

**RECOMMEND**

- **Regional Campus Dean**
- **TIU Head (Chair/Director)**
- **Dean**

**DO NOT RECOMMEND**

- **Regional Campus Dean**
- **TIU Head (Chair/Director)**
- **Dean**

**Match what was in offer letter**

- **TIU should have copies of forms 111/112**

**Very important!**

- If there’s a second TIU, also need letter from that TIU head!

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

- If not US citizen, place copy of documentation after this form
Form 109: Record of Review

For promotion to Full

If APT has been revised, candidate can choose to be reviewed under previous version (rarely happens) – see OAA handbook

If candidate uses APT that is different from that on OAA site http://oaa.osu.edu/governance.html, insert a copy of the older APT immediately after Record of Review

If using version of APT on OAA site, do NOT insert copy
Candidate should check boxes AND include the required material
- need cumulative SEI AND individual course sheets

For promotion to Full, use last 5 years (ok if cumulative report includes earlier data)
Form 105: Dossier checklist p. 1

Be sure candidate READS this now!

- [x] Authors in Item 1 are listed:
  - [x] in the order in which they appear on each publication.
  - [x] in the standard citation style for my discipline or in bibliography or author/date format provided by Research in View

- [x] Multiple authors in Item 1 for jointly authored papers, in Item 2 for creative works, in Item 5 for research grants, includes:
  - [x] narrative description of my intellectual contribution.

I have followed the examples of narrative description provided in the Dossier Outline. I understand that statements such as "all authors contributed equally" or "50% effort" do NOT constitute adequate narrative description of intellectual contribution.

I have prepared my dossier in accordance with the Current Dossier Outline, and it fulfills all requirements, with special attention to those noted above.

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 will be returned to me for revision.

Signature of candidate ___________________________ Date ____________

Candidate signs
Form 105: Dossier checklist p. 2 (top)

TIU-LEVEL REVIEW

Internal Evaluation

☐ 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.

☒ Candidates for tenure and promotion or tenure—all annual review letters (including 4th Year Review) since date of hire.

☐ 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.

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

- Number of evaluations required as stated in APT Document: ______
- Number of evaluations submitted: ______

☒ 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.

POD completes p. 2-4 – make sure materials are actually present!

Form 105: Dossier checklist p. 2

External Evaluation

☒ 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 evaluation summary sheets

☒ Completed Summary 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.

☒ Completed Summary Form (115) for external reviewers who did not agree to evaluate candidates; All persons who were requested to write but did not agree are listed: Reviewer's name; institution; title/rank; suggested by; and relationship to candidate.

☒ External evaluation cover page

☒ A cover page precedes every letter received.

☒ Do NOT include a cover page for evaluators from whom no letter was received.
Form 105: Dossier checklist p. 3 (top)

- Every item on the cover page is filled out and includes sufficient information to establish the evaluator’s:
  - Credibility
  - Relationship with candidate

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 and expectations match TIU APT

Form 105: Dossier checklist p. 3 (bottom)

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.

The dossier fulfills all requirements stated in the Dossier Outline, 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

(POD or staff member’s name)  [Print name]

Signature person named in line above Date

POD verifies that dossier appropriately describes contributions to joint work AND that citations are accurate; POD (or departmental staff person) MUST verify citations!
Form 105: Dossier checklist p. 4

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.

1. Eligible faculty members on leave or excused because of a conflict of interest.

13. Total faculty eligible to vote on this case, e.g., the total number of tenured associate plus full professors, or total number of full professors.*

2. Eligible faculty members who are absent and unexcused.

11. Total faculty participating in the meeting discussing this case.

**70% Quorum required by the TIU’s APT document.**

9. Number of YES votes on this case.

1. Number of NO votes on this case.

10. Number of combined YES plus NO votes on this case.

90% Percentage of YES votes from combined YES plus NO votes on this case.

67% Percentage of YES votes required by the TIU’s APT document (e.g., “M” for simple majority or 2/3 in order for its recommendation to be considered positive.

1. Number of faculty attending the meeting abstaning.

Departmental Peer Review of Teaching Requirements [pdf]
lists quorum, percent yes votes listed in TIU APT

must meet quorum as defined in TIU APT

must participate in meeting to vote

- no votes in absentia, SKYPE is ok

abstentions don’t count as votes

must match APT

Form 105: Dossier checklist p. 4

Note: Abstentions are not 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 POD name
(Print name)

Signature POD signature Date 10/16/17

*Include the number of associate and full clinical professors if document allows for their vote in a clinical promotion case.

**The Procedures Oversight Designee in colleges without departments should sign above rather than below since these colleges serve as the TIU for their faculty.

POD verifies that numbers are listed correctly

[p. 5-7 filled in by college – include pages, don’t fill out]
I. Introduction

insert P&T divider sheets, starting here

printed from Dossier Divider Templates file on ASC intranet
(under Dossier Preparation Materials)

print divider sheets on COLORED PAPER!!!!

I. Introduction (candidate provides)

Jane M. Buckeye
Campus Address
Campus Phone
e-mail address

Current Appointments
Assistant Professor, Microbiology
Assistant Professor, Molecular Genetics for joint appointment

Other Positions (if appropriate) academic or administrative

Degrees
Date Degree, Institution
Date Degree, Institution

Fellowships, Internships, Residency (if appropriate)
II. Core Dossier (candidate provides)

prepared with Research In View (RIV) or Vita
- for all promotions to Associate Professor
- for promotions to Full Professor for faculty who have previously used RIV
  - if have not, promotion to full have option of using the same outline without using the actual RIV or Vita system – 2017 ONLY

NOTE: Vita will be required for everyone starting fall 2018
4th year reviews Spring 2018 will require Vita!

Publications/grants/etc. should not be listed more than once
Any additional information regarding impact can be included as an appendix to the core dossier
OK to download dossier as Word document and correct things!
Especially important for describing quality indicators – TIU sets standards for what is allowed!

III. Evaluation

This section will include all evaluative letters that were generated PREVIOUSLY by the TIU (annual reviews, peer teaching reviews, other letters) and are part of what the TIU considers in the current review process

The TIU faculty and TIU head letters (etc.) generated DURING the current review (e.g., in fall 2017) will be placed at the end of the dossier

NOTE: this is a change in order started in 2016, and is designed to make it easier to add the evaluation letters to the dossier pdf file
### IIIA. Internal Letters of Evaluation

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
     - **not to exceed last 5 years**
     (if any are missing, include explanatory note)
   - for assistant professors, include all internal recommendation letters that were generated for 4th year review (regional campus if appropriate, TIU faculty panel, TIU head, joint TIU head if appropriate, college panel, dean) – all in this section

   TIU is responsible for maintaining these letters!
   (some divisions didn’t do college letters for 4th yr reviews before 2016 – that’s ok)

### IIIA. Internal Letters of Evaluation

2. **Written comments submitted as part of annual reviews**
   - any correspondence about annual review letters
     - comments from candidate, corrections of errors, etc.
   - includes any comments from 4th yr reviews for promotion to associate
III. Internal Letters of Evaluation

3. Documentation of peer evaluation of teaching

- peer teaching evaluation letters since hire (for promotion to associate) or since last promotion (for promotion to full);
  can only use letters from OSU (not previous positions)

- numbers should align with what it says in TIU APT document and on summary table posted on ASC intranet: Departmental Peer Review of Teaching Requirements [pdf]

- numbers should match what it says on Form 105

III. Internal Letters of Evaluation

4. Additional letters – OPTIONAL!

- requested by candidate/solicited by TIU head, to provide contextual information

- letters from research collaborators
  - can be from individuals at OSU or outside OSU

- letters documenting exceptional service/outreach activities
  - within or outside OSU

(realize that it’s a little confusing to include non-evaluative letters including letters from outside OSU in a section called “internal letters of evaluation” but this is where OAA says to put them)
IIIB. External Letters of Evaluation

1. Summary sheet of evaluators (form 114)

   If an evaluator was Independently suggested by both the candidate and someone else (e.g., P&T committee), can use P&T committee here. If there is any relationship, don’t say “None”! Must match what it says on evaluator form and letter.

   No more than half can be suggested by candidate.

<table>
<thead>
<tr>
<th>Candidate: Jane M. Buckeye</th>
<th>Department/College: Microbiology</th>
</tr>
</thead>
<tbody>
<tr>
<td>evaluator</td>
<td>title/rank</td>
</tr>
<tr>
<td>John Smith</td>
<td>Professor</td>
</tr>
<tr>
<td>Susan Jones</td>
<td>Professor</td>
</tr>
<tr>
<td>Andrew Brown</td>
<td>Associate Professor</td>
</tr>
<tr>
<td>Mary Rodriguez</td>
<td>Professor</td>
</tr>
<tr>
<td>Peter Johnston</td>
<td>Professor</td>
</tr>
<tr>
<td>Pennsylvania State University</td>
<td></td>
</tr>
<tr>
<td>University of Wisconsin</td>
<td>P&amp;T Committee</td>
</tr>
<tr>
<td>Harvard University</td>
<td>TIU Head</td>
</tr>
<tr>
<td>Princeton University</td>
<td>Candidate</td>
</tr>
<tr>
<td>Michigan State University</td>
<td>Candidate</td>
</tr>
<tr>
<td></td>
<td>Suggested by</td>
</tr>
<tr>
<td></td>
<td>Relationship to Candidate</td>
</tr>
</tbody>
</table>

2. Summary form for non-responding external evaluators (form 115)

   Include form even if everyone wrote – just enter “None” in 1st box.

<table>
<thead>
<tr>
<th>Candidate: Jane M. Buckeye</th>
<th>Department/College: Microbiology</th>
</tr>
</thead>
<tbody>
<tr>
<td>evaluator</td>
<td>title/rank</td>
</tr>
<tr>
<td>Philip Marsh</td>
<td>Professor</td>
</tr>
<tr>
<td>University of Michigan</td>
<td>P&amp;T Committee</td>
</tr>
<tr>
<td></td>
<td>Suggested by</td>
</tr>
<tr>
<td></td>
<td>Relationship to Candidate</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

   1

   1

   1
IIIB. External Letters of Evaluation

3. Example of letter sent to evaluators

Set of template letters is available on ASC intranet (.docx)
- standard (to associate/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
- need to indicate here what materials were sent
(either in the letter itself, or as a list appended to the letter here)

IIIB. External Letters of Evaluation

4. External letters preceded by cover sheet (form 106)
(letter must be signed and on letterhead)

<table>
<thead>
<tr>
<th>EXTERNAL EVALUATOR FORM</th>
</tr>
</thead>
<tbody>
<tr>
<td>Candidate</td>
</tr>
<tr>
<td>Evaluator</td>
</tr>
<tr>
<td>Title/Rank</td>
</tr>
<tr>
<td>Institutional Affiliation</td>
</tr>
<tr>
<td>Complete Address of Evaluator</td>
</tr>
<tr>
<td>Department of Biochemistry &amp; Molecular Biology</td>
</tr>
<tr>
<td>907 Althouse Lab</td>
</tr>
<tr>
<td>Pennsylvania State University</td>
</tr>
<tr>
<td>University Park, PA 16802</td>
</tr>
</tbody>
</table>

Must indicate rank of evaluator (associate or full professor)
IIIB. External Letters of Evaluation

4. External letters preceded by cover sheet (form 106)

Highlights - Whatever you need to establish status/credentials of evaluator
DO NOT ATTACH CV!
Make sure this matches form 114!
Problem if this says no relationship, but letter indicates they’ve collaborated!
If there is a (minor) collaboration, spell it out and write that TIU considers this not to be a conflict of interest (and explain in letters)

IV. Student Evaluation of Instruction

A. Cumulative Fixed-Response Survey Data
(overall summary – generated by SEI system)

B. Individual Fixed-Response Student Evaluation Data
(pages for each course – last 5 yrs for promotion to full)

C. Summary of Open-Ended Student Evaluations
(if comments were collected, must be summarized by someone other than candidate – don’t include raw comments!)

ONLY include teaching evaluations from OSU!
Appointments, Promotion and Tenure
Internal Review Evaluations

1.1. Regional campus faculty deliberative body
1.2. Regional campus dean
   (these apply only for regional campus faculty!)
   (include divider sheets for completeness)
2.1. TIU faculty deliberative body
2.2. TIU head
2.3. Head of TIU or Center (for joint appointments)
    and/or Discovery Theme Focus Area Leader
    (must be included if applicable!)
2.4. TIU level comments process
    (letters generated or documentation that candidate
     declined to provide comments – form 103 optional, email OK)

Appointments, Promotion and Tenure
Internal Review Evaluations

3.1. College P&T committee
    (divisional panel, letter written by divisional dean)
3.2. College dean
    (executive dean for ASC)
3.3. College level comments process

Include divider pages
Letters will be added by the college
General Comments

- Print divider pages on colored paper!
- Document comments process even if candidate declines to comment
- Do NOT include candidate’s publications!
  - should be retained by the department
- No double-sided printing!
- Follow instructions in guidance document for making PDF
  - SCAN IN COLOR!

More Help

Aug 30 and Sept 7: OAA P&T Workshops for TIU Teams
  (TIU chair, P&T committee chair, POD)

ASC P&T office hours – September and October
  - dates will be announced in Chairs & Directors mailing
  - drop-in for in-person advice

personal appointments available – just email

Contacts: Tina Henkin henkin.3@osu.edu (content)
  Meg Piasecki piasecki.4@osu.edu (logistics)