P&T Dossier Workshop

Tina Henkin
Associate Dean for Faculty Affairs

College of Arts & Sciences — July 11, 2019

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 – 66 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 (includes regional!)
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
2019 Key deadlines for TIUs

May 24: submission of lists of external reviewers for college approval
October 1: deadline for regional campus letters to be sent to TIU
October 14: recommended deadline for TIU P&T committee meetings (to allow letter preparation, comments period)
October 15: TIU reviews complete, letters given to candidate (start of 10 day comments period)
October 25: deadline for comments period (if starting October 15; TIU can add response to comments to dossier)
October 28: 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 the comments section so we know it will be coming late AND email henkin.3@osu.edu
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

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

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

**TIU head:**
- solicits external reviewers/other letters (e.g., collaborators)*
  - writes TIU head letter

**Departmental staff:**
- assembles final dossier (including forms, divider sheets)
  - generates pdf
  - submits pdf and hard copy to college
Ways to streamline process?

September:  - P&T chair, POD review core dossier to ensure all components are complete (preview checklist form)
            - 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 office hours will be available in September and October with Tina Henkin to answer 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 (TH), TIU contacted for missing/incorrect items
- divisional panels meet, summary letters generated by divisional dean (November/December)
- executive dean reviews, writes decision letters (by January 6, 2020), letters provided to candidates and TIU head
- 10 day comments period/response
- dossiers submitted to OAA (January 27, 2020)
- OAA provides decision to ASC, executive dean sends letter to candidate and TIU head (March)
- final approval at Board of Trustees meeting (June 5, 2020?)
  - promotion takes effect immediately
ASC resources: https://asclintranet.osu.edu/promotion-tenure
Processes & Guidelines

General
- Arts and Sciences APT document [pdf] (rev. August 1, 2014)
- Departmental APT documents approved by OAA
- Promotion & Tenure FAQs
- Peer Review Procedures
- OAA Guide to Ways to Document Faculty Activities

Fourth-Year and Reappointment Review Processes
- Clinical and Research Faculty Reappointment Directions
- Fourth Year Review Submission Guidance

Promotion and Tenure Review Processes
- P&T Guidance Document
- External Hire P&T Review Process
- Expedited P&T Review Process Counter Offer
https://ascintranet.osu.edu/promotion-tenure/materials
Form 109: Record of Review

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)

TIU Name  FTE
Microbiology  70%
Molecular Genetics  30%

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

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

Last Name: Buckeye
First Name: Jane
M.I.:

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)

TIU Name
Microbiology
Molecular Genetics

FTE
70%
30%

If 100%, just check that box, no need to fill in these lines!
Form 109: Record of Review

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)

FTE
Microbiology 70%
Molecular Genetics 30%

Very important! If there’s a second TIU, also need letter from that TIU head!
**Form 109: Record of Review**

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

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

**PROPOSED ACTION CONSIDERED**
- Reappoint only
- Tenure only
- Promotion only
- Promotion and reappoint
- Promotion and tenure
- 4th 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**

**Last non-approved P&T action**

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

**DO NOT RECOMMEND**

**Match what was in offer letter**

**TIU should have copies of forms 111/112**
Form 109: Record of Review

<table>
<thead>
<tr>
<th>FACULTY APPOINTMENT</th>
<th>Tenure-track</th>
<th>Clinical</th>
<th>Research</th>
</tr>
</thead>
<tbody>
<tr>
<td>ASSOCIATED</td>
<td>Tenure title under 50% FTE</td>
<td>Adjunct</td>
<td>Clinical Practice</td>
</tr>
</tbody>
</table>

**PROPOSED ACTION CONSIDERED**

- [ ] Reappoint only
- [ ] Promotion only
- [ ] Tenure only
- [ ] Promotion and tenure
- [ ] Promotion and reappoint
- [ ] 4th 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: __________ Effective date: 6/5/2012

Last non-approved P&T action: __________

**RECOMMEND**

<table>
<thead>
<tr>
<th>Regional Campus Dean</th>
<th>TIU Head (Chair/Director)</th>
<th>Dean</th>
</tr>
</thead>
<tbody>
<tr>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
</tbody>
</table>

**DO NOT RECOMMEND**

<table>
<thead>
<tr>
<th>Regional Campus Dean</th>
<th>TIU Head (Chair/Director)</th>
<th>Dean</th>
</tr>
</thead>
<tbody>
<tr>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
</tbody>
</table>

Date of appointment to tenure track: 6/5/2012

**if previously denied**
# Form 109: Record of Review

**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
- 4th 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: 

<table>
<thead>
<tr>
<th>RECOMMEND</th>
<th>DO NOT RECOMMEND</th>
</tr>
</thead>
<tbody>
<tr>
<td>Regional Campus Dean</td>
<td></td>
</tr>
<tr>
<td>TIU Head (Chair/Director)</td>
<td></td>
</tr>
<tr>
<td>Dean</td>
<td></td>
</tr>
</tbody>
</table>

Need regional campus dean signature for regional campus faculty; electronic signatures are OK.
Form 109: Record of Review

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
- 4th 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): 6/5/2012

Last approved P&T action: Promotion and tenure

Last non-approved P&T action: Effective date

Review year:

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

DO NOT RECOMMEND

check boxes must match what letters say!
Form 105: Dossier checklist p. 1
(Use current version – July 2018)

Promotion and Tenure/Promotion Dossier Checklist

CANDIDATE

Jane M. Buckeye
(Print name)

Student Evaluation of Teaching
Required Documentation

☑ SEI or other fixed-response survey data included for every course taught since date of hire
or date of last promotion whichever is more recent.
☑ Correctly placed in dossier Section IV.

Candidate should check boxes
AND ensure they have included the required material
- need cumulative SEI AND individual course sheets
Form 105: Dossier checklist p. 1
(Use current version – July 2018)

Promotion and Tenure/Promotion Dossier Checklist

CANDIDATE

Jane M. Buckeye
(Print name)

Student Evaluation of Teaching
Required Documentation

☑ SEI or other fixed-response survey data included for every course taught since date of hire or date of last promotion whichever is more recent.

☑ Correctly placed in dossier Section IV.

For promotion to Full, use last 5 years 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. 1

Be sure candidate READS this NOW!

Research
Required Presentation

☑ 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 Item 1 for jointly authored papers, in Item 2 for creative works, in Item 5 for research grants, includes:
  ☑ 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. % effort is not adequate without explanation!

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 may be returned to me for revision. Candidate is responsible!!!!

Signature of candidate ____________________________ Date 10/1/19
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: 5
  • Number of evaluations submitted: 6

☑ 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

☑ 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 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

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

form 115 (non-responding evaluators) is no longer used
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!
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. **eligible faculty letter should explain expectations!**

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]  
(Print name)

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

Signature ___________________________ Date __________________

[Signature of person named above]
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.
2. Eligible faculty members who are absent and unexcused.
3. Total faculty eligible to vote on this case, e.g., the total number of tenured associate professors plus professors, or total number of professors.* Don't include chair or excused (11 + 2 = 13)
4. Total faculty participating in the meeting discussing this case.
5. Percentage of eligible faculty required for quorum.
6. Number of YES votes on this case.
7. Number of NO votes on this case.
8. Number of combined YES plus NO votes on this case.
9. Percentage of YES votes from combined YES plus NO votes on this case.
10. 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.
11. Number of faculty attending the meeting abstaining. Abstentions don't count as votes.

Peer Review Processes table lists quorum, percent yes votes per TIU APT

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

*Include the number of clinical associate professors and 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]
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 10 yrs 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

Follow current PROCEDURES (e.g., quorum, percent for positive vote) even if using older CRITERIA
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!!!!

(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
e-mail address

Biographical Narrative – OPTIONAL, keep short if included – FACTUAL

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

Other Positions (if appropriate) academic or administrative
include DT or courtesy appts here
Include past positions

Degrees
Date Degree, Institution
Date Degree, Institution

Fellowships, Internships, Residency (if appropriate – can delete if not)
II. Core Dossier (candidate provides)

prepared with Vita or using Core Dossier Outline (Word format)
– outline allowed 2019-2020 ONLY

NOTE: Vita will be required for everyone starting spring 2020!

4th year reviews Spring 2020 MUST use Vita in preparation for upcoming tenure review!

Candidates should download dossier from Vita as Word document and correct things (e.g., formatting)!
Especially important for describing quality indicators – TIU sets standards for what is allowed!

Candidates should refer to OAA core dossier outline for detailed info about what should be included – includes WORD COUNTS for narratives – TIU must enforce!
II. Core Dossier (candidate provides)

prepared with Vita or using Core Dossier Outline (Word format)
   – outline allowed 2019-2020 ONLY

NOTE: Vita will be required for everyone starting spring 2020!

4th year reviews Spring 2020 MUST use Vita in preparation for upcoming tenure review!

Publications/grants/etc. should not be listed more than once

Narratives should focus on IMPACT of activities

- can address core dossier questions at end, but will focus on TIU-prepared materials first
III. Evaluation

This section will include all evaluative letters that were generated PREVIOUSLY by the TIU (annual reviews [including all 4th year review letters for promotion to associate], peer teaching reviews, other letters – e.g., from collaborators) - these are part of what the TIU considers in the current review process, and should 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 2019) will be placed at the end of the dossier (section V)

[Exception is letter from head of 2nd TIU for joint appointments, or Discovery Theme Focus Area Leader - these are placed in section V in final dossier, but are part of what TIU considers in current review]
III A. 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
     - BUT 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!
Arrange in chronological order (oldest to newest)
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
IIIA. 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), but should be within last 5 years;
  only use letters from OSU (not previous positions)

- numbers should align with what it says in TIU APT document and on Peer Review Procedures table

- numbers should match what it says on Form 105

- chronological order, oldest to newest
III.A. 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)
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

<table>
<thead>
<tr>
<th>Evaluator</th>
<th>Title/Rank</th>
<th>Institution</th>
<th>Suggested by</th>
<th>Relationship to Candidate</th>
</tr>
</thead>
<tbody>
<tr>
<td>John Smith</td>
<td>Professor</td>
<td>Pennsylvania State University</td>
<td>P&amp;T Committee</td>
<td>None</td>
</tr>
<tr>
<td>Susan Jones</td>
<td>Professor</td>
<td>University of Wisconsin</td>
<td>P&amp;T Committee</td>
<td>None</td>
</tr>
<tr>
<td>Andrew Brown</td>
<td>Associate Professor</td>
<td>Harvard University</td>
<td>TIU Head</td>
<td>Professional Colleague</td>
</tr>
<tr>
<td>Mary Rodriguez</td>
<td>Professor</td>
<td>Princeton University</td>
<td>Candidate</td>
<td>None</td>
</tr>
<tr>
<td>Peter Johnston</td>
<td>Professor</td>
<td>Michigan State University</td>
<td>Candidate</td>
<td>None</td>
</tr>
</tbody>
</table>
IllB. External Letters of Evaluation

1. Summary sheet of evaluators (form 114)

<table>
<thead>
<tr>
<th>Evaluator</th>
<th>Title/Rank</th>
<th>Institution</th>
<th>Suggested by</th>
<th>Relationship to Candidate</th>
</tr>
</thead>
<tbody>
<tr>
<td>John Smith</td>
<td>Professor</td>
<td>Pennsylvania State University</td>
<td>P&amp;T Committee</td>
<td>None</td>
</tr>
<tr>
<td>Susan Jones</td>
<td>Professor</td>
<td>University of Wisconsin</td>
<td>P&amp;T Committee</td>
<td>None</td>
</tr>
<tr>
<td>Andrew Brown</td>
<td>Associate Professor</td>
<td>Harvard University</td>
<td>TIU Head</td>
<td>Professional Colleague</td>
</tr>
<tr>
<td>Mary Rodriguez</td>
<td>Professor</td>
<td>Princeton University</td>
<td>Candidate</td>
<td>None</td>
</tr>
<tr>
<td>Peter Johnston</td>
<td>Professor</td>
<td>Michigan State University</td>
<td>Candidate</td>
<td>None</td>
</tr>
</tbody>
</table>

If there is ANY relationship, don’t say "None"! must match what it says on evaluator form and letter
IIIB. 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
- 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

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

<table>
<thead>
<tr>
<th>Candidate</th>
<th>Jane M. Buckeye</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evaluator</td>
<td>John Smith</td>
</tr>
<tr>
<td>Title/Rank</td>
<td>Professor of Biochemistry &amp; Molecular Biology</td>
</tr>
<tr>
<td>Institutional Affiliation</td>
<td>Pennsylvania State University</td>
</tr>
<tr>
<td>Complete Address of Evaluator</td>
<td>Department of Biochemistry &amp; Molecular Biology</td>
</tr>
<tr>
<td></td>
<td>307 Althouse Lab</td>
</tr>
<tr>
<td></td>
<td>Pennsylvania State University</td>
</tr>
<tr>
<td></td>
<td>University Park, PA 16802</td>
</tr>
</tbody>
</table>

**EXTERNAL EVALUATOR FORM**

*Must indicate rank of evaluator (associate or full professor)*

*Must include university name*
IIIB. External Letters of Evaluation

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.

**Highlights** - Whatever you need to establish status/credentials of evaluator (not just AAU)
NOT detailed description of research interests
DO NOT ATTACH CV!

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 _____________________
IIIB. External Letters of Evaluation

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 1985, 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 that TIU considers this not to be a conflict of interest (and explain in letters)

Relationship to candidate:

None

Evaluator suggested by:

☐ Candidate  ☐ Department Chair  ☑ P&T Committee  ☐ Other ___________________
IV. Student Evaluation of Instruction

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

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

New SEI system – “Blue” – summer 2018 onward
See “SEI Reports Access” document (on intranet and in folder)
   for explanation of different reports and which to use for P&T
Will need to mix old and new reports for next few years

Place in chronological order, oldest to newest
IV. Student Evaluation of Instruction

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

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

C. Summary of Open-Ended Student Evaluation

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

ONLY include teaching evaluations from OSU!
V. Review Letters

A. Regional campus (if applicable) (include dividers)
   1. Regional campus faculty deliberative body
   2. Regional campus dean

B. TIU
   1. TIU faculty deliberative body
   2. TIU head
   3. Head of TIU or Center (for joint appointments) and/or Discovery Theme Focus Area Leader
   4. TIU level comments process
      (letters generated or documentation that candidate declined to provide comments – form 103 optional, email OK)
V. Review Letters

A. Regional campus (if applicable) (include dividers)
   1. Regional campus faculty deliberative body
   2. Regional campus dean

B. TIU
   1. TIU faculty deliberative body
   2. TIU head

TIU letters should be **EVALUATIVE**, not just a list of facts; TIU eligible faculty letter should include **DESCRIPTION OF CRITERIA**; TIU head should provide **INDEPENDENT ASSESSMENT OF CANDIDATE** and not repeat what is in eligible faculty letter - **HIGHLIGHTS!**
V. Review Letters

C. College

1. College P&T committee
   (divisional panel for ASC)
2. College dean
   (Executive Dean for ASC)
3. College-level comments process

(to be added by college; include divider sheets)

Scan single-sided, in color
Upload pdf to TIU’s box – make sure uploader has access
(questions to Jen Rasor)
Deliver hard copy to divisional dean’s assistant
See P&T guidance document for instructions
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

- if already at college, alert me 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, only error correction for items already in dossier
General Comments

- **Print divider pages on colored paper!**
- Document the 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 and submitting pdf
- **SCAN IN COLOR!**
- Submit pdf on Box, deliver hard copy to divisional dean’s assistant
More Help

Aug 20 and Sept 11: OAA P&T Workshops for TIU Teams
(TIU chair, P&T committee chair, POD)
(RSVP links in Chairs & Directors mailing)

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

personal appointments available – just email
henkin.3@osu.edu (email always better than phone)

Vita (for candidates): offered several workshops, will do more early fall (and I will answer questions)

Contacts: Tina Henkin henkin.3@osu.edu (content)
Jen Rasor rasor.3@osu.edu (logistics)