

# 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 4<sup>th</sup> yr reviews (minus external letters)



**THE OHIO STATE UNIVERSITY**

COLLEGE OF ARTS AND SCIENCES

# 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](mailto: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://ascintranet.osu.edu/promotion-tenure>

The screenshot shows a web browser window with the URL [ascintranet.osu.edu](https://ascintranet.osu.edu). The browser's address bar and tabs are visible at the top. The website header includes the text "COLLEGE OF ARTS AND SCIENCES" and "ADMINISTRATIVE GATEWAY" on the left, and "THE OHIO STATE UNIVERSITY" with its logo on the right. A search bar is located in the top right corner. Below the header, a navigation menu shows "Home" and "Promotion & Tenure". The main content area is titled "Promotion & Tenure" and is organized into several sections: "Processes & Guidelines" (with links to General, Fourth-Year and Reappointment Review Processes, and Promotion & Tenure Review Processes), "Important Dates" (with a link to 2018 Dates), "Materials" (with links to Dossier Preparation Materials, External Evaluator Materials, and Internal Evaluator Materials), "Resources" (with a link to OAA Resources), "Workshops" (with links to 2018 Workshops and 2017 Workshops), and "News" (with a link to Promotion and Tenure Results 2018). On the right side, there is a blue box labeled "Additional Resources" containing a list of links: College Directory (main site), Office of Academic Affairs, University Policies, Office of Human Resources, Employee Self Service, eTimesheet, eLeave, eRequest, University Email, and Important Links.

ascintranet.osu.edu

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COLLEGE OF ARTS AND SCIENCES  
**ADMINISTRATIVE GATEWAY**

**THE OHIO STATE UNIVERSITY**

MENU

Search

Home Promotion & Tenure

## Promotion & Tenure

### Processes & Guidelines

- General
- Fourth-Year and Reappointment Review Processes
- Promotion & Tenure Review Processes

### Important Dates

- 2018 Dates

### Materials

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

### Resources

- OAA Resources

### Workshops

- 2018 Workshops
- 2017 Workshops

### News

- Promotion and Tenure Results 2018

### Additional Resources

- College Directory (main site)
- Office of Academic Affairs
- University Policies
- Office of Human Resources
- Employee Self Service
- eTimesheet
- eLeave
- eRequest
- University Email
- Important Links

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

[Home](#) [Promotion & Tenure](#) [Processes & Guidelines](#)

## 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](#)

**Additional Resources**

- [College Directory \(main site\)](#)
- [Office of Academic Affairs](#)
- [University Policies](#)
- [Office of Human Resources](#)
- [Employee Self Service](#)
- [eTimesheet](#)
- [eLeave](#)
- [eRequest](#)
- [University Email](#)
- [Important Links](#)
- [Request Tech Support](#)

**College News**

- [Submit News and Events Item](#)



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

The screenshot shows a web browser window displaying the 'Administrative Gateway' for the College of Arts and Sciences at The Ohio State University. The page is titled 'Materials' and is part of a 'Promotion & Tenure' section. The browser's address bar shows the URL 'ascintranet.osu.edu'. The page header includes navigation links for 'Journal of Bacteriology', 'News', 'Amazon', 'Facebook', 'Twitter', 'Instagram', 'Home - Digital Collaboration', 'Mail - henkin.3@osu.edu', 'Home | ASC Intranet', 'Dublin, OH H... Underground', and 'OSU.EDU'. A search bar is located in the top right corner. The main content area is divided into sections: 'Dossier Preparation Materials' (expanded), 'External Evaluator Materials', and 'Internal Evaluator Materials'. Under 'Dossier Preparation Materials', there are several links: 'Dossier Divider Templates', '4th Year Review Divider Templates', 'Core Dossier Outline (docX)', 'Things to Check in Dossier Preparation', 'Vita Workflow Advice (pdf)', 'SEI Report Access (pdf)', and 'QAA P&T Forms'. Red arrows point to 'Dossier Divider Templates', 'Things to Check in Dossier Preparation', 'SEI Report Access (pdf)', and 'QAA P&T Forms'. To the right, there is an 'Additional Resources' section with links to 'College Directory (main site)', 'ASC Administration (pdf)', 'Office of Academic Affairs', 'University Policies', 'Office of Human Resources', 'Employee Self Service', 'eTimesheet', 'eLeave', 'eRequest', 'University Email', 'Important Links', and 'Request Tech Support'. Below that is a 'College News' section with links to 'Submit News and Events Item' and 'College Events Listing'.

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COLLEGE OF ARTS AND SCIENCES  
**ADMINISTRATIVE GATEWAY**

THE OHIO STATE UNIVERSITY

MENU

Home Promotion & Tenure Materials

### Materials

**Dossier Preparation Materials**

- [Dossier Divider Templates](#)
- [4th Year Review Divider Templates](#)
- [Core Dossier Outline \(docX\)](#)
- [Things to Check in Dossier Preparation](#)
- [Vita Workflow Advice \(pdf\)](#)
- [SEI Report Access \(pdf\)](#)
- [QAA P&T Forms](#)

**External Evaluator Materials**

**Internal Evaluator Materials**

**Additional Resources**

- College Directory (main site)
- ASC Administration (pdf)
- Office of Academic Affairs
- University Policies
- Office of Human Resources
- Employee Self Service
- eTimesheet
- eLeave
- eRequest
- University Email
- Important Links
- Request Tech Support

**College News**

- Submit News and Events Item
- College Events Listing

# 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	FTE
<u>Microbiology</u>	<u>70%</u>
<u>Molecular Genetics</u>	<u>30%</u>
_____	_____
_____	_____

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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, no need to fill in these lines!

# Form 109: Record of Review

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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,  
also need letter from that  
TIU head!

# Form 109: Record of Review

oaa.osu.edu

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Policies, Guidelines & Forms | Office of Academic Affairs, The Ohio State University [https://oaa.osu.edu/sites/default/files/links\\_files/Form109.pdf](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 **For promotion to Associate**

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 **Match what was in offer letter**

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 \_\_\_\_\_ **TIU should have copies of forms 111/112**

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"/>

# Form 109: Record of Review

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Policies, Guidelines & Forms | Office of Academic Affairs, The Ohio State University [https://oaa.osu.edu/sites/default/files/links\\_files/Form109.pdf](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 9/1/2006 *date of appointment to tenure track*

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 \_\_\_\_\_ *if previously denied*

	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"/>	_____

*For promotion to Full*

# Form 109: Record of Review

oaa.osu.edu

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Policies, Guidelines & Forms | Office of Academic Affairs, The Ohio State University [https://oaa.osu.edu/sites/default/files/links\\_files/Form109.pdf](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 9/1/2006

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 \_\_\_\_\_

	<b>RECOMMEND</b>	<b>DO NOT RECOMMEND</b>
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)**

# Form 109: Record of Review

oaa.osu.edu

Home - Digital Collaboration Apple Google The Weather Channel

https://oaa.osu.edu/sites/default/files/linka\_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 9/1/2006

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"/>

**check boxes must match what letters say!**



# Form 105: Dossier checklist p. 1

(Use current version – July 2018)

Page 1 of 7

## 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)

Page 1 of 7

## 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                     **Candidate signs**                     Date 10/1/19

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

Page 2 of 7

## 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) **only if using older APT**

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 associate**  Candidates for tenure and promotion or tenure—all annual review letters (including 4<sup>th</sup> Year Review) since date of hire. **ALL 4<sup>th</sup> yr review letters – TIU + college + regional**

**for 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. ←

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

**(see table)**

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 form 115 (non-responding evaluators) is no longer used
- 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 105: Dossier checklist p. 3 (top)

Page 3 of 7

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. **eligible faculty letter should explain expectations!**
- 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]  
\_\_\_\_\_  
(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 \_\_\_\_\_ signature of person named above Date \_\_\_\_\_

# Form 105: Dossier checklist p. 4

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 unanimsously 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 professors plus professors, or total number of professors. **\*don't include chair or excused (11+2=13)**
- 2 Eligible faculty members who are absent and unexcused.
- 11 Total faculty participating in the meeting discussing this case.
- 70% Percentage of eligible faculty required for quorum. **must participate in meeting to vote - no votes in absentia, SKYPE is ok**
- 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 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.





# 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

email 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

## **Degrees**

Include past positions

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!**

**4<sup>th</sup> 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!**

**4<sup>th</sup> 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 4<sup>th</sup> 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 2<sup>nd</sup> 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]

# 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
    - **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 4<sup>th</sup> 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 4<sup>th</sup> 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**

## IIIA. 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)

# IIB. 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

# IIIB. External Letters of Evaluation

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

### SUMMARY FORM FOR RESPONDING EXTERNAL REVIEWERS

Candidate: Jane M. Buckeye

Department/College: Microbiology

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

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



## 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)

EXTERNAL EVALUATOR FORM	
Candidate	Jane M. Buckeye
Evaluator	John Smith
Title/Rank	Professor of Biochemistry & Molecular Biology
Institutional Affiliation	Pennsylvania State University
Complete Address of Evaluator	Department of Biochemistry & Molecular Biology 307 Althouse Lab Pennsylvania State University University Park, PA 16802

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 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** 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](mailto: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](mailto:henkin.3@osu.edu) (content)  
Jen Rasor [rasor.3@osu.edu](mailto:rasor.3@osu.edu) (logistics)