Promotion and Tenure Guidance
2018-2019

Updated 7-17-2018

This document provides directions about promotion reviews for assistant and associate professors in the college and how to submit materials for review by the divisional review panels and the executive dean. A summary of links embedded in the document is available on p. 7.

KEY DATES

2018

May
25 (F): deadline to submit names of external reviewers for approval by the college to henkin.3@osu.edu

July
11 (W): ASC P&T Dossier Preparation Workshop (for department administrators, chair of TIU eligible faculty, POD); register here

August
21 (T): fall semester begins
22 (W): OAA P&T Workshop for TIU Teams (TIU chair, chair of eligible faculty, Procedures Oversight Designee); register here

September
5 (W): OAA P&T Workshop for TIU Teams (TIU chair, chair of eligible faculty, Procedures Oversight Designee); register here
TBD: P&T office hours

October
1 (M): deadline for submission of regional campus letters to TIU
15 (M): recommended last date to schedule meetings of the eligible faculty
16 (T): recommended start date for candidates’ 10-day comment period
26 (F): deadline for comment period (if starting October 16)
29 (M): deadline for submission of dossiers to college
TBD: P&T office hours

December
13 (R): fall exam period ends; review panels complete work

2019

January
7 (M): spring semester begins; executive dean notifies candidates of his recommendation and starts 10 day comment period
17 (R): 10 day college comment period ends
25 (F): OAA deadline for receipt of dossiers from college

May
31 (F) Board of Trustees meeting at which all promotion and tenure decisions approved by the provost are on the agenda
CONTEXT AND GENERAL INFORMATION

As defined in the rules of the university faculty, the mandatory tenure review occurs in the sixth year of service. For example, a faculty member who joined a department in 2013-14 will have a mandatory promotion and tenure review in 2018-2019.

Assistant professors who have approved prior service credit or who have an exclusion of time (extension of the clock) may have their promotion and tenure review at a time other than their chronological sixth year. In the example above, assume an assistant professor received an extension of the clock in spring 2016, following the birth of a child. The fourth year review would then be held in 2017-18 and the mandatory promotion and tenure review in 2019-20, unless the candidate requests that the fourth year review be held earlier. Assistant professors who wish to be reviewed for promotion and tenure earlier than the mandatory year may ask to be considered for non-mandatory (“early”) promotion and tenure review. However, Faculty Rule 3335-6-04 states that “the tenure initiating unit promotion and tenure committee may decline to put forth a faculty member for formal non-mandatory promotion and tenure review…if the candidate’s accomplishments are judged not to warrant such review.”

Promotion to full professor does not follow a specific clock and can occur at any time after promotion to associate professor. Faculty Rule 3335-6-04 states that, as with assistant professors, a unit’s promotion and tenure committee may also decline to put forward an associate professor for a formal promotion review. In the case of associate professors, however, such a formal promotion review can also be denied for one year.

Faculty Rule 3335-6-04 states that “Each tenure initiating unit shall establish a mechanism such as a promotion and tenure committee, for presenting the case of a candidate for promotion and tenure to the eligible faculty for consideration and for preparing a report for the tenure initiating unit chair providing the eligible faculty's assessment of quality and effectiveness of teaching, quality and significance of scholarship, and quality and effectiveness of service.

The department chair/school director or the chair of the promotion and tenure committee is responsible for soliciting names of potential external reviewers from the eligible faculty. For faculty with joint appointments, or membership in a Discovery Theme focus area, suggestions from the secondary unit or Discovery Theme focus area leader must be solicited for consideration by the chair or promotion and tenure chair. The candidate is given the opportunity to identify any conflicts of interest and to provide additional names, as described in the TIU’s APT document. This list is submitted to the college during the spring prior to the promotion review for approval. Please visit the Promotion and Tenure/Materials section on the intranet for External Evaluator Materials.

The deadline for submitting this list to the college for review is May 25, 2018.
The P&T chair in a department or school (TIU), working with the Procedures Oversight Designee (POD), is responsible for making sure that the core dossier submitted by the candidate for review is complete, that citations are listed only once, and that the citations are verified.

If the faculty member has a joint appointment in another unit, or is a member of a Discovery Theme focus area, the chair or director of the TIU is responsible for soliciting a letter from the head of the secondary unit or Discovery Theme focus area leader for inclusion in the dossier prior to review by the departmental P&T committee.

The TIU is also responsible for collecting and maintaining any copies of scholarship (e.g., articles, articles, digital works, including recordings of creative activity) submitted for the purposes of verification or for the review of the TIU faculty and chair. These supplementary materials are NOT submitted to the college.

The TIU must retain in the faculty member’s personnel file all evaluation letters that are generated during the probationary period for assistant professors (annual review letters, fourth year review letters from the P&T chair, chair, divisional P&T committee, and dean). The TIU must also include these letters in the dossier submitted for the promotion and tenure review. For promotion to full professor, the dossier should include annual review letters since the previous promotion or the last 5 years.

The TIU chair or director is responsible for informing the candidate in writing of the recommendations of the P&T committee and the TIU head, of the availability for review of the written evaluations of the P&T committee and TIU head, and of the opportunity to submit written comments, within 10 days of receipt of notification by the unit head. A sample letter inviting such comments is available at http://oaa.osu.edu/assets/files/documents/Letter307.pdf. This comments period must be complete before submission to the college. The suggested deadline for beginning the comments period is October 16, 2018.

SUBMISSION GUIDELINES

The following two-step process applies to all promotion dossiers and must be completed no later than Monday, October 29, 2018:

Submit ONE (1) single-sided paper copy of the dossier in a file folder to the assistant of the divisional dean for your TIU. On the tab of the file folder, provide a label with the year of review; the candidate’s name (last name, first name); and the Department/School. This paper copy will assist the deans in reading a large number of files and will serve as a reference if any pages are inadvertently missing from the PDF (see below).
The dossier should include the following documents:

Record of Review for Promotion (Form 109). This form must be signed (electronically or by hand) by the TIU head, and by the regional dean if applicable. For faculty who are not US citizens, appropriate documentation should be inserted after this page.

Dossier Checklist (Form 105) completed and signed by the candidate on p. 1; the Procedures Oversight Designee, P&T chair, or other person charged with verifying citations on p. 3; and the Procedures Oversight Designee on p. 4. This checklist and all other P&T forms are available at https://oaa.osu.edu/policies-guidelines-forms.

In reporting “the total faculty participating in the vote” on page 4, the POD should not include the chair or director if she or he attended the meeting. The purpose of this number is to determine if the quorum of faculty required for the vote has been met, and chairs and directors are not included in setting quorum. The numbers listed on p. 4 regarding the percentage for a positive vote should be the same as listed in the Appointment, Promotion and Tenure (APT) document.

A copy of the APT document should be included after the Dossier Checklist only if the version used was not the same as the one posted at http://oaa.osu.edu/governance.html. Assistant professors have the option to be evaluated under the APT in effect at the time of their appointment if it is different from the current one. Associate professors have the option to be evaluated under the APT in effect at the time of their promotion and tenure review if that occurred less than 10 years before April 1 of the current review year; intermediate versions cannot be used. If either the P&T committee or TIU head decision is negative, a copy of the P&T section of the APT document should be included immediately after the checklist.

DOSSIER OUTLINE

Record of Review (Form 109)

Dossier Checklist (Form 105)  
APT Document Used for Review (submitted only if the review does not follow the version on the OAA website at http://oaa.osu.edu/governance.html - insert after form 105)

I. Introduction (start colored divider sheets HERE)

II. Core Dossier prepared using Vita or as a Word document that follows the OAA core dossier format; step-by-step guidance is provided in the OAA handbook.
III. Evaluation

A. Internal Letters of Evaluation
   1. Annual review letters (for assistant professors, all since date of hire; for associate professors, all since previous promotion, or hire with tenure, not to exceed last 5 years); for assistant professors, include all fourth year review letters that were generated; arrange in chronological order (oldest to newest)
   2. Written comments submitted as part of annual reviews (including comments on fourth year review, if generated)
   3. Documentation of peer evaluation of teaching (include all that are available since date of hire or last promotion, not to exceed last 5 years for promotion to full)
   4. Additional letters requested by the candidate and solicited by head of TIU; optional, and can include letters from collaborators (external or from other units at OSU). Candidates with significant service/outreach activities outside the unit may request that the TIU solicit letters from colleagues familiar with the candidate’s contributions to these activities.

B. External Letters of Evaluation
   1. Summary sheet of evaluators (Form 114)
   2. Example of letter sent to evaluators
   3. External letters preceded by cover sheet (Form 106)

IV. Student Evaluation of Instruction

A. Cumulative Fixed-Response Survey Data
B. Individual Fixed-Response Student Evaluation Data (since date of hire or last promotion, not to exceed last 5 years for promotion to full)
C. Summary of Open-Ended Student Evaluations (summarized by someone other than the candidate; do not include raw comments)

V. Review Letters

A. Regional campus (if applicable)
   1. Regional campus faculty deliberative body (if applicable)
   2. Regional campus dean (if applicable)
B. TIU
   1. TIU faculty deliberative body
   2. TIU head
   3. Head of TIU or center for joint appointment or Discovery Theme Focus Area Leader (if applicable)
   4. TIU-level comments process (letters generated or documentation that candidate declined to provide comments)
C. College
   1. College P&T Committee (to be added by college)
   2. College dean (to be added by college)
   3. College-level comments process (to be added by college)
Departments and schools must insert a piece of colored paper (section divider) between each of these sections. The college provides divider templates that should be downloaded and then printed on colored paper. Include dividers even if section is not applicable. Do not staple or paperclip anything.

Submit one (1) scanned PDF copy of the paper copy to the college via Buckeye Box at box.osu.edu. Chairs and directors should edit or verify the google document that informs Meg Piasecki of the appropriate person to invite to the box.

Submit ONE copy of form 110 per TIU with the dossier hard copies; this form summarizes all of the TIU’s cases.

Scan the dossier as a single-sided document, using colored sheets of paper between the main sections of the dossier as described above. Name the file using the following format: DEPARTMENT/SCHOOL LAST NAME, FIRST NAME.pdf. For example: ECONOMICS Smith, Jacqueline.pdf.

Although it is not necessary or required to do so, loading the PDF in a searchable format or with a table of contents will aid the college and OAA in reviewing the file.

Supplemental Materials

As indicated above, units are responsible for retaining any supplemental materials throughout the review process; they should not be sent to the college. These materials include copies of discursive student evaluations (only summaries should be provided in the dossier, under section IVC) as well as copies of books, articles, and digital and creative works. If the college needs to consult these materials, they will request them from the unit as the need arises.

Please direct any questions about dossier content to Associate Dean Tina Henkin (henkin.3@osu.edu). Please direct questions on assembling or submitting PDFs to Meg Piasecki, program manager for faculty affairs, at ascfacultyaffairs@osu.edu. Direct questions about submission of hard-copy dossiers to the assistant or associate of your divisional dean.

All materials are due to the College Office by Monday October 29, 2018.
HELPFUL LINKS:

College Appointments, Promotion and Tenure materials

Departmental governance documents

OAA Annual Review Policy

OAA Handbook on Promotion and Tenure Review

OAA Promotion and Tenure forms

University Faculty Rules

Peer Review Procedures