**Promotion and Tenure Guidance 2021-2022**  
Revised July 1, 2021

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 page seven.

### KEY DATES

<table>
<thead>
<tr>
<th>Year</th>
<th>Month</th>
<th>Date</th>
<th>Event Description</th>
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<tbody>
<tr>
<td>2021</td>
<td>May</td>
<td>25 (T)</td>
<td>Deadline to submit names of external reviewers for approval by the college to <a href="mailto:shari.speer@osu.edu">Shari Speer</a>.</td>
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<tr>
<td></td>
<td>June</td>
<td>23 (W)</td>
<td>ASC P&amp;T Dossier Preparation Workshop (for department administrators, chair of TIU eligible faculty, Procedures Oversight Designee; on Zoom, materials posted on the <a href="https://administrativegateway.osu.edu">Administrative Gateway</a>).</td>
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|      | August | 24 (T) | OAA P&T Workshop for TIU Teams (TIU head, chair of eligible faculty, Procedures Oversight Designee)  
Fall semester begins |
|      | September | 30 (R) | Deadline for submission of regional campus letters to TIU |
|      | October | 1 (F) | Deadline for submission of regional campus letters to TIU |
|      | 14 (R) | Recommended last date to schedule meetings of the eligible faculty |
|      | 15 (F) | Recommended start date for candidates’ 10-day comment period |
|      | 20 (W) | OAA P&T Workshop for TIU Teams (TIU head, chair of eligible faculty, Procedures Oversight Designee) |
|      | 25 (M) | Deadline for comment period (if starting October 15) |
|      | 28 (R) | Deadline for submission of dossiers to college |
|      | TBD | P&T office hours (by appointment) |
|      | December | College review panels complete work |
| 2022 | January | 6 (R) | Executive dean notifies candidates of recommendation and starts 10-day comment period |
|      | 10 (M) | Spring semester begins |
|      | 16 (S) | 10-day college comment period ends |
|      | 27 (R)* | OAA deadline for receipt of dossiers from college |
June

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 was appointed to the tenure track in 2016 will have a mandatory promotion and tenure review in 2021-2022.

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 hired in 2016 received an extension of the clock in spring 2018, following the birth of a child. The fourth year review would then be held in 2020-2021 and the mandatory promotion and tenure review in 2021-2022, 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 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 should 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 Materials section of the Administrative Gateway for External Evaluator Materials.

The deadline for submitting this list to the college for review is May 25, 2021.
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. The core dossier content is ultimately the responsibility of the candidate, but review of the document BEFORE the eligible faculty committee meeting is essential. The candidate must be provided with form 105 and asked to sign p. 1 BEFORE the eligible faculty committee meeting; be sure to use the current version of form 105, found on the OAA website.

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 professor, the dossier should include annual review letters since the previous promotion, but no more than the last five 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 on the OAA website. This comments period must be complete before submission to the college. The suggested deadline for beginning the comments period is October 15, 2021.

**SUBMISSION GUIDELINES**

The following process applies to all promotion dossiers and must be completed no later than **Thursday, October 28, 2021**:

Submit one (1) PDF copy of the dossier to the college via OneDrive (labeled P&T reviews). Chairs and directors should send the name of the person who will be uploading this material to Caitlin Brendel.
Name the file using the following format: DEPARTMENT/SCHOOL NAME 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.

**Please note: physical copies of the dossier are no longer needed.**

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: 1) the candidate on p. 1 BEFORE the TIU eligible faculty meeting; 2) the Procedures Oversight Designee, P&T chair, or other person charged with verifying citations on p. 3; and 3) the Procedures Oversight Designee on p. 4. All P&T forms are available on the OAA website.

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 unit's Appointment, Promotion and Tenure (APT) document and should match what is shown on the Peer Review Procedures table on the Administrative Gateway.

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 on the OAA website. 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 after the checklist.

**All forms should be the most current version from the OAA website.**
P&T Guidance Document

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 - insert after form 105)

I. Introduction (start colored divider sheets HERE; use the most current version, posted on the Administrative Gateway).

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 five years); 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. For assistant professors, include all fourth year review letters that were generated; arrange in chronological order (oldest to newest)
   4. Documentation of peer evaluation of teaching (include all that are available since date of hire for promotion to assistant, and since date of hire or last promotion, but not to exceed last five years, for promotion to full); in chronological order (oldest to newest)
   5. 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; include list of materials provided to the evaluators
   3. External letters preceded by external evaluator cover sheet (Form 106)

IV. Student Evaluation of Instruction (see SEI Report Access document).

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; chronological order, oldest to newest)
C. Summary of Open-Ended Student Evaluations (summarized by someone other than the
candidate; do not include raw comments; include name of individual who generated summary)

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; copy of email exchange is allowed; Form 103 is optional)
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 on the Administrative Gateway that should be downloaded and then printed on colored paper. Include dividers even if section is not applicable, but do not include a sheet that says "Not applicable". Do not staple or paperclip anything.

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 Shari Speer. Please direct questions on assembling or submitting PDFs to Caitlin Brendel.

All materials are due to the college office by Thursday, October 28, 2021.
HELPFUL LINKS:

- College Appointments, Promotion and Tenure Materials
- ASC and Unit Governance Documents
- OAA Annual Review Policy
- OAA Handbook on Promotion and Tenure Review
- OAA Promotion and Tenure forms
- University Faculty Rules