

Promotion and Tenure/Promotion Dossier Checklist

CANDIDATE

(Print name)

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.
- Multiple authorship in *Items 1a–1e* for jointly authored papers, in *Item 2* for creative works, in *Item 5* for research funding, includes:
 - a narrative description of my intellectual contribution.
 - the percentage of my contribution to the writing. For research funding applications, this percentage represents my contribution to the proposal, not the percentage of effort or salary release if required by the unit.

I have followed the examples of narrative description provided in the current Dossier Outline per Volume 3 of the *OAA Policies and Procedures Handbook*. I understand that statements such as "all authors contributed equally" or "50% effort" do NOT constitute adequate narrative description of intellectual contribution.

Student Evaluation of Teaching Required Documentation

- SEI or other fixed-response survey data included for every course taught since start date or date of last promotion, whichever is more recent.
- Correctly placed in dossier Section IV (see Dossier Outline in Volume 3 of the *OAA Policies and Procedures Handbook*).

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.

Signature* of candidate _____ Date _____

*signature must occur prior to the TIU review

TIU-LEVEL REVIEW

Internal Evaluation

- All citations in items 1 and 2 of the core dossier are verified by the POD for accuracy.
- APT document year _____ is attached to be used in the review (*only if the current APT document is not being used—see Volume 3 of the OAA Policies and Procedures Handbook*).
- 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.
 - Probationary tenure track faculty candidates—all annual review letters since start date. This includes the 4th Year Review (all letters and comments generated during the review).
 - All other candidates—all annual review letters since last Ohio State promotion, start date with tenure not to exceed the most recent 5 years, or date of last appointment.
- Documentation of peer evaluation of teaching (letters, reports, etc.) as required by the APT document being used for the review is included in Part III.A.
- Number of evaluations required as stated in APT Document: _____
- Number of evaluations submitted: _____
- Open-ended discursive evaluations (e.g., SEI comments from students), if collected, summarized and included in Part IV.C. Candidates for promotion with tenure should include all courses taught; candidates for promotion should only provide the most recent 5 years.

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 evaluators summary sheet. A summary of all requests made is to be maintained by the unit but not included in the dossier.
 - Completed summary sheet (Form 114) for external reviewers who agreed to evaluate candidates. All persons who were requested to write and agreed are listed, including reviewer's name; institution; title/rank; suggested by; and relationship to candidate.
- External evaluator cover page
 - A cover page (Form 106) 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 and relationship to the candidate. If the evaluator is not from a peer institution, provide a justification for their selection.

Verification

The dossier fulfills all requirements stated in the current Dossier Outline per Volume 3 of the OAA *Policies and Procedures Handbook*, 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 authored 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, that the dossier fulfills all requirements, and that the review for accuracy occurred before the dossier was provided to the committee of eligible faculty for formal review.

(Print name)

Signature _____ Date _____

Procedures Oversight Designee

This review was based on performance and the criteria set forth in the APT document, and it was procedurally correct, fair, and free of bias. 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.*

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.

I verify that this review was based on performance; was procedurally correct, fair, and free of bias; and was conducted in accordance with the unit's APT document.

(Print name)

Signature _____ Date _____

Procedures Oversight Designee

NUMERICAL VOTING RECORD IN THE TENURE INITIATING UNIT

The information below is required in the official record for every review, even when the vote is unanimously positive.

Quorum

Step	Description	Number or Percentage
1	Faculty eligible to vote on this case. Eligible faculty are defined in each unit's APT document and are dependent on category and rank. Faculty on approved leave and who are NOT participating or those with a conflict of interest are EXCLUDED from this count.	
2	Eligible faculty members who are absent and unexcused	
3	Total faculty eligible to vote present in the meeting and discussing the case (line 1 minus line 2)	
4	Percentage of eligible faculty in the meeting discussing the case (Line 3 divided by line 1, converted to a percentage)	
5	Percentage of eligible faculty that must be exceeded for quorum (e.g., >66.7% for 2/3 rule or >50% for simple majority)	
6	Is quorum met (Is line 5 greater than line 6? Mark Yes or No)	
7	Non-eligible faculty participating in the meeting (e.g., TIU head)	

Vote

Step	Description	Number or Percentage
1	Number of YES votes on this case	
2	Number of NO votes on this case	
3	Number of combined YES and NO votes on this case	
4	Percentage of YES votes relative to combined YES plus NO votes on this case	
5	Percentage YES votes required by the APT document being used for this review for the eligible faculty's recommendation to be considered positive	
6	Number of eligible faculty attending the meeting abstaining (these votes are NOT counted in 3)	

Note: Abstentions are not counted as 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 _____
(Print name)

Signature _____ Date _____

**The Procedures Oversight Designee in colleges without departments should sign on this page rather than on page 5 given that these colleges serve as the TIU for their faculty.*

COLLEGE-LEVEL REVIEW
Only for colleges with TIUs

I verify the following:

- The TIU has conducted its review consistent with university, college, and TIU policies and rules.
- This review was based on performance and was free of bias against underrepresented groups.
- The report of the college P&T committee adequately explains the bases for its recommendation and for differing with TIU recommendations where such differences exist.
- The dossier fulfills all requirements stated in the current Dossier Outline per Volume 3 of the *OAA Policies and Procedures Handbook*, with special attention to the points noted above, including all those affirmed by the candidate and by the TIU Procedures Oversight Designee.

NUMERICAL VOTING RECORD IN THE COLLEGE

The information below is required in the official record for every review, even when the vote is unanimously positive. College committees are recording a vote on proposed action (i.e., promotion or promotion with tenure).

_____ Number of YES to recommend approval on proposed action votes on this case.

_____ Number of NO to recommend approval on proposed action votes on this case.

_____ Number of Abstentions on this case.

Note: Abstentions are not votes per the Office of Academic Affairs' guidelines for APT documents and consistent with Robert's Rules of Order.

I understand that if the college reviews and forwards a dossier to the Office of Academic Affairs that lacks key information and/or containing less than credible external evaluation, the review process may have to begin anew.

College Procedures Oversight Designee _____
 (Print name)

Signature _____ Date _____

FINAL CHECK OF DOSSIER CONTENTS

by College Office Staff Member

- Record of review signed by regional campus dean; TIU head; college dean (as applicable).
- Dossier checklist [this document] signed by candidate; Procedures Oversight Designee for TIU (or college without departments); Procedures Oversight Designee for college with departments; college office staff member performing final check.
- Copy of approved criteria used for review (only if using criteria that is different from current criteria).
- PART I: INTRODUCTION.
 - Biographical statement of candidate.
- PART II: CORE DOSSIER.
- PART III: EVALUATION.
- PART III.A. Internal Letters of Evaluation. Every item in Part III.A. should be preceded by a divider noting the item that follows.
 - 1. TIU annual review letters, as required by Dossier Outline, are arranged in chronological order (oldest to newest); with written explanation if set is incomplete.
 - For probationary tenure track faculty, all annual review letters since start date.
 - For all others, all annual review letters since previous promotion at Ohio State or start date with tenure—not to exceed last 5 years—or date of last appointment.
 - 2. Written documentation submitted as part of the annual reviews (i.e., comments submitted by the candidate).
 - 3. Fourth Year Review all letters to the probationary faculty member generated during the review, written documentation submitted as part of the review (i.e., comments submitted by the candidate).
 - 4. Additional letters requested by the candidate and solicited by the TIU head. These are 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.
 - 5. Documentation of peer evaluation of teaching (letters, reports, etc.) as required by APT document being used in this review.
- PART III.B. External Evaluation.
 - 1. Summary sheet of all evaluators from whom a letter was received (Form 114).
 - 2. A representative sample of the letters sent to evaluators.
 - 3. If not included in the letter sent to evaluators, a list of materials submitted to external reviewers by candidates.

4. Letters from at least five (5) external evaluators, consistent with list on summary sheet, with each letter preceded by a completed cover page (Form 106).
- PART IV. Student Evaluation of instruction.
- A. Cumulative Fixed-Response Survey Data.
- B. Fixed-Response Student Evaluation Data.
- C. Summary of Open-Ended Student Evaluations (e.g., student comments).
- PART V. Appointment, Promotion, Tenure Internal Review Evaluation.
- A. Regional campus faculty deliberative body, if applicable.
- B. Regional campus dean, if applicable.
- C. TIU (or college without departments) faculty deliberative body.
- D. TIU head.
- E. Head(s) of unit(s) in which the candidate has split FTE appointments, if applicable.
- F. TIU-level comments process letters or notation that the candidate declined to provide comments.
- G. College (with departments) P&T committee.
- H. College dean.
- I. College-level comments process letters or notation that the candidate declined to provide comments.

I have reviewed the contents of this dossier as summarized above and verify that all required material is included and located in the correct section of the dossier in accordance with the Dossier Outline. I understand that if any substantive omissions are discovered when the dossier is reviewed in the Office of Academic Affairs, the dossier will be returned to the college office for correction before the review may continue.

This dossier contains no extraneous material (i.e., not specifically requested in the Dossier Outline), such as articles, book reviews, news clippings, unsolicited letters, etc. **Any material of this kind that was examined during the TIU- or college-level review must be removed before the dossier is forwarded to the Office of Academic Affairs.**

College office staff member doing final check:

(Print name)

Signature

Date _____