**Dossier & P&T Process Frequently Asked Questions**

\*Many Dossier FAQs are found in the [OAA Policies & Procedures Handbook Volume 3](https://oaa.osu.edu/sites/default/files/links_files/oaa-handbook-vol-3-p-and-t-rev-08-2021.pdf) (pages 16 – 31)

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**Forms & Compiling the Dossier**

* + - **Where does everything go in the complete full Dossier?** Refer to these resources:

* + - * [APT Toolbox](https://medicine.osu.edu/faculty/promotion-and-tenure/apt-toolbox) Section 3b: “P&T Packet Checklist for Promotion”
			* [APT Toolbox](https://medicine.osu.edu/faculty/promotion-and-tenure/apt-toolbox) Section 3b: “Example of complete dossier”
			* [OAA Policies & Procedures Handbook Volume 3](https://oaa.osu.edu/sites/default/files/links_files/oaa-handbook-vol-3-p-and-t-rev-08-2021.pdf) (pages 16 – 31)
		- **Form 109** – refer to [APT Toolbox](https://medicine.osu.edu/faculty/promotion-and-tenure/apt-toolbox) section 3b for an example of a completed Form 109
		- **Form 105 – issues with signatures showing**
	+ Select Print > print to an Adobe PDF > print > save as Adobe PDF to your desktop/file > once it’s saved, it’s considered “flat” and will not be fillable. You will not be able to make any more changes to it, and the digital signature will show up.
		- **Can signatures on forms be electronic (e.g., DocuSign).** Yes
		- **Where do we put an external evaluation letter we received that we cannot use due to rank or a conflict?** See below under external evaluations.
		- **Do we use chronological vs. reverse chronological?**
			* Only annual reviews are in chronological order (oldest to newest)
			* Core dossier is reverse chronological order (newest to oldest)
			* Peer & Student evaluations are reverse chronological order (newest to oldest)
		- **Which APT document/criteria may be used?** Candidates may submit their TIU’s current APT document; or, alternatively, they may elect to be reviewed under either (a) the APT document that was in effect on their start date, or (b) the APT document that was in effect on the date of their last promotion, whichever of these two latter documents is the more recent. However, the current APT document must be used if the letter of offer or last promotion, whichever is more recent, was more than 10 years before April 1 of the review year.

\*It is the candidate’s responsible to have retained a copy of the APT document for which they want to be reviewed.

* + - **When is cutoff for faculty to add new info to dossier?** Faculty can no longer make any changes or additions to the dossier once it has been submitted to the department for the faculty review. After that point, faculty can only add to the information already in the dossier during the comments period on the comments forms (after department review and college review). E.g. if a grant that was listed as pending in their core dossier is awarded
		- **When can a faculty see their dossier during the process.** See below under Process questions.

**Narratives**

* + - **How to advise faculty to write their Biographical Narrative**
			* Refer to the [APT Toolbox](https://medicine.osu.edu/faculty/promotion-and-tenure/apt-toolbox) section 3 (a)**.** SpecificallyBuilding Narratives Overview and Presentation as well as the Clinical Excellence guideline for writing narrative.
			* Refer to Insider’s Guide to Core Dossier in the [APT Toolbox](https://medicine.osu.edu/faculty/promotion-and-tenure/apt-toolbox) section 3 (a)**.**

**Core Dossier:**

* + - **Please refer to the Insider’s Guide to the Core Dossier located on the** [**APT Toolbox section 3a**](https://medicine.osu.edu/faculty/promotion-and-tenure/apt-toolbox) **for a complete & thorough guide on each section of the core dossier.**
		- **Is PubMed and Scopus equal in importance**? A: Yes, PubMed and Scopus do not index all the same journals so both can be used if necessary to verify publications.
		- **How far back to incorporate information for Core Dossier. This is stated in each of the three sections in the core dossier:**
			* Teaching section: except for sections #2 & #3, information to be included will be from date of appointment, last promotion, or the past 5 years, whichever is the shortest.
* The research and scholarship section is a full history of publications and creative work and it should clearly denote outcomes from appointment or last promotion at Ohio State.
* Service & Engagement – entire career at OSU

**Internal Letters of Evaluation**

* + - **How far back to include annual reviews?**
			* Probationary tenure track faculty (i.e. Assistant & Associate Professors in advance of tenure) = include all annual reviews since date of hire
			* Faculty with tenure (aka tenured) – all annual reviews since last OSU promotion or date of hire with tenure, not to exceed the most recent 5 years.
			* Clinical & Research track = all annual reviews since date of hire or last OSU promotion, not to exceed the most recent 5 years
			* If any annual reviews are missing, include a letter explaining why.
		- **What to include in each section?**
			* **Written documents submitted as part of annual review.** It is common not to have anything in this section. Example of what may be included is if faculty have a response to their annual review letter, it would go in this section. Do not include what the department requested the faculty candidate to submit in advance of their annual review
			* **Fourth year review letter.** This is fortenure track only. Include 4th (& 8th year, if applicable) review letters which include**:** P&T Chair letter, Department chair letter, and the Dean’s letter.
				+ **If a faculty member went up for promotion in lieu of a 4th year review.** Insert a cover sheet stating the year the faculty member was scheduled for their 4th year review and that they went up for promotion in lieu of the 4th year review.
				+ If faculty is already tenured and going up for promotion to Professor only, 4th & 8th year reviews are not required.
* **Additional letters requested by the candidate and solicited by the TIU Chair.** May not have anything in this section. Examples of what may be included:
	+ Letters from division directors (if obtained)
	+ An external evaluation letter that was received after the department vote. Include cover letter explaining it came in later
	+ An external evaluation letter that cannot be used due to rank or a conflict of interest. Include cover letter explaining why it could not be used

**Internal Letters of Evaluation – Peer Evaluations**

* **What are peer evaluations**? Peer evaluations of teaching are completed by peers of your rank or higher. These assessments are used to evaluate and provide feedback on a particular teaching activity. Peers are defined as faculty members.
* **Is there a form or specific document**? Because teaching in the COM can occur at the bedside, in the OR, at a microscope, or at a lectern, there is not one specific form that needs to be used for Peer Evaluation. It can be a standard form a department uses or it can be in a narrative format that describes what teaching activity was being evaluated, the date, and describes the teaching style & activities. E.g. it could be an email from a peer after a ground rounds or lecture.
* **How many peer evaluations of teaching should be in a faculty’s dossier?** Refer to your department’s APT document. As a college, we require one per year since new hire, last promotion, or past 5 years (whichever is more recent).

**External Evaluations**

* + - **Refer to** [**APT Toolbox section #2**](https://medicine.osu.edu/faculty/promotion-and-tenure/apt-toolbox) **for guidelines, checklist, and templates.**
		- **Refer to the** [**APT Toolbox Section 3b**](https://medicine.osu.edu/faculty/promotion-and-tenure/apt-toolbox) **for the P&T Packet Checklist for Promotion on what to include in this section of the dossier.**
		- **External evaluation letters need to be on letterhead, dated (prior to the TIU level review), and signed by the evaluator.** If the evaluator is not allowed to use their institution's letterhead (For example NIH), please insert a cover sheet documenting the reason.
		- **Do we include non-responding external evaluators?** No, OAA no longer requires the form of non-responding evaluations. Only include letters from those you received. Do not include any information from an external evaluator who agreed to write a letter and did not formally submit a letter.
		- **Where do we put a letter we received that we cannot use due to rank or a conflict?** Include in section: III.A.4. Additional Letters Requested by the Candidate and Solicited by the TIU Head. It does not get included on the list of responding external evaluator – Form 114
		- **Where do we put a letter received after the department eligible faculty vote?** Include in section: III.A.4. Additional Letters Requested by the Candidate and Solicited by the TIU Head. It does not get included on the list of responding external evaluator - Form 114.
		- **Examples of External Evaluator conflicts**: See [External Evaluator checklist](https://medicine.osu.edu/-/media/files/medicine/faculty/promotion-and-tenure/apt-toolbox/external-evaluation-checklist-except-clinical-excellence-v2.pdf?la=en&hash=D1A8CDAB30C829C7FD3B0397330728D5F4996A4D) on the APT Toolbox section #2 (separate one for Clinical Excellence).
* **Can an external evaluator be from a non-academic institution** (e.g. Residency Director at a private practice). Yes, this should be infrequent. Use Form 106 to offer additional context about the evaluator’s qualifications.
* **What happens if we don’t have the required 5 external evaluations?** Please reach out to the College Office of Faculty Affairs. Depending on the situation, you may need to include a letter signed by the (1) faculty, (2) department P&T chair, and (3) Department chair on why there are not 5 external evaluations letters and that you all agree this does not constitute as a procedural violation.

**Student Evaluation of Instruction**

* + - **What are student evaluations?** Student evaluations of teaching are completed by the student. This includes undergrads, graduate, medical students, residents, and fellows. The majority of the teaching will take place at OSU.
		- **How far back to include Student Evaluations?**
			* Probationary tenure track faculty (i.e. Assistant & Associate Professors in advance of tenure) = include all annual reviews since date of hire
			* Faculty with tenure (aka tenured) – include all since last OSU promotion or date of hire with tenure, not to exceed the most recent 5 years.
			* Clinical & Research track = include all since date of hire or last OSU promotion, not to exceed the most recent 5 years
		- **Do we include medical student, undergrads, graduate students, residents**? Yes, all learners.

* + - **What is the difference between Cumulative Fixed Response and Fixed Response Evaluation Data?**
			* IV.A Cumulative fixed = Vitals (medical Student), Medhub (resident), & SEI (undergrad & graduate).
			* IV.B Fixed Response Student eval data: (aka the summary) e.g. if a faculty has 100 students and they receive 50 student survey responses, you don’t include all 50 sheets, and instead the cumulative rating for 50 with compiled comments.
			* IV.C. Summary of Open-Ended Student Evaluations – e.g. Faculty asks specific questions and the student provides written feedback.
* **Where can I find student evaluations?**
	+ Vitals (Medical Students) – faculty pulls from Vitals. Tip sheet can be located under the Help tab on Faculty Portal. Note: If a faculty has never been asked to fill out an evaluation in Vitals about a student or have not done any active teaching in the LSI curriculum, they will not have a Vitals account.
	+ Medhub (Residents) – residency coordinator can pull these for faculty in their department.
	+ SEI (undergraduate & graduate) – faculty pulls. [SEI Report Access](https://registrar.osu.edu/sei/reports.html)
	+ Others e.g. from other institutions, REDcap

**Internal Review Letters (e.g. P&T Chair letter & TIU/Dept Chair )**

* + - **Refer to the** [**APT Toolbox Section 3b**](https://medicine.osu.edu/faculty/promotion-and-tenure/apt-toolbox) **for the P&T Packet Checklist for Promotion on more specific information.**
			* Reminder: Include the vote and date of the vote in the P&T Chair letter

**Process**

* + - **Can a faculty member be denied consideration for a self-nominated promotion?** Yes, only for nonmandatory reviews. The P&T Committee or Committee of Eligible Faculty (CEF) can deny the faculty to be considered for promotion and the TIU/Dept Chair cannot overturn CEF decision. E.g. If CEF says no, TIU Chair cannot say yes. If CEF says yes, TIU chair cannot stop it.
			* Probationary faculty (any track) – can be denied multiple times
			* Non-Probationary (any track) – can only be denied once
		- **Faculty vote – Who’s eligible & what’s the process?** Verify how Quorum is defined in your department’s Appointment, Promotion & Tenure document (e.g. 2/3, majority - each department is different). For other voting questions, reference “[Who Votes? FAQ re: APT in the COM](https://medicine.osu.edu/-/media/files/medicine/faculty/promotion-and-tenure/apt-toolbox/who-votes-eligibility-and-processdocx.pdf?la=en&hash=47146F79484927C0AA60965C9D01E8C70565F1E7)”
		- **What is a POD and where can I find more information their responsibilities?** A POD stands for Procedures Oversight Designee.Find more POD Guidelines and Responsibilities including a video from Dr. Oberyszyn on the [APT Toolbox](https://medicine.osu.edu/faculty/promotion-and-tenure/apt-toolbox) section 4.
		- **Can a Procedures Oversight Designee (POD) be an Associate Professor rank for a Professor rank case (any track)?** Yes, they can serve as the POD, but they cannot vote on the case. As part of their POD responsibilities, they must be present at the voting meeting.
		- **When can a faculty see their dossier during process?**
			* During 10 day comment period after department review
			* During 10 day comment period after college review
			* After final university approval
		- **What is sent to the faculty in the Notifications/Comments process?** The department will send the faculty a notifications letter/email and the comments Form 103. There is a template notification letter in the [APT Toolbox](https://medicine.osu.edu/faculty/promotion-and-tenure/apt-toolbox) section 3b. Departments may also include the P&T Chair letter and the TIU Chair letter.
		- **What happens to the dossier if there is a negative vote/decision at the department or college level?**
			* For non-mandatory reviews,once the department has sent out external evaluation requests, the process officially begins and only the faculty candidate can stop the process moving forward. If there is a negative vote/decision at the department or college level, the dossier will continue to move forward unless the faculty candidate withdraws it.
			* For mandatory review for tenure, the process will continue up to the University. If the faculty candidate withdraws from the process, they must include a letter of resignation with their withdrawal.
		- **Consequences for a faculty candidate to withdraw their dossier (non-mandatory review only)**?
			* Non-Mandatory for tenure, the faculty candidate can withdraw and there are no consequences. The faculty does not have to start again the following year (only if they choose or if it’s a mandatory review).
			* Mandatory review for tenure, if the faculty candidate withdraws from the process, they must include a letter of resignation with their withdrawal.

**What happens if a faculty candidate resigns from the University during the P&T process?** The college Office of Faculty Affairs needs to be informed. Their dossier will be withdrawn, and the department needs to notify the faculty their dossier will not move forward upon resignation.