

Dossier & Promotion & Tenure (P&T) Process Frequently Asked Questions

*Also reference the [OAA of Academic Affairs \(OAA\) Policies & Procedures Handbook Chapter 3](#)

APT = Appointment, Promotion, & Tenure

TIU = Tenure Initiating Unit (aka Department)

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Forms & Compiling the Dossier

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

- [APT Toolbox](#) Section 3b: “P&T Packet Checklist for Promotion”
- [APT Toolbox](#) Section 3b: “Example of complete dossier”
- [OAA Policies & Procedures Handbook Volume 3](#) (pages 16 – 31)

Can signatures on forms/letters 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.

*Note: 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](#) section 3 (a). Specifically Building 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](#) section 3 (a).
- [FAME's Everything P&T Workshop: Writing your Narrative](#)

Core Dossier:

Please refer to: Insider's Guide to the Core Dossier located on the [APT Toolbox](#) section 3a for a complete & thorough guide on each section of the core dossier. [FAME's Everything P&T: Your 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
- *The University defines "promotion date" as the date when the previous dossier was submitted to the department for review and vote.

Annual Reviews

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.
- *The University defines "promotion date" as the date when the previous dossier was submitted to the department for review and vote.

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 will go in this section. Do not include what the department requested the faculty candidate to submit in advance of their annual review
- **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

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 College of Medicine can take many forms, whether at the bedside, in the OR, at a microscope, or at a lectern; there is no single required format for peer evaluations. Departments may use a standardized form, or the evaluation may be in a narrative format that includes the date, a description of the teaching activity being evaluated, and comments on the teaching style and methods. For example, it could be as simple as an email from a colleague following a Grand Rounds presentation 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). *The University defines "promotion date" as the date when the previous dossier was submitted to the department for review and vote.

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. Most 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
- *The University defines "promotion date" as the date when the previous dossier was submitted to the department for review and vote.

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?

- Cumulative fixed-response survey data = Vitals (medical Student), Medhub (resident), & Survey of Student Learning Experience (SSLE) (undergrad & graduate).
- Fixed Response Student evaluation 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.
- 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) – program managers and/or residency coordinator can pull these for faculty in their department.
- SSLE (undergraduate & graduate) – faculty pulls. [SSLE Report](#)
- Others e.g. from other institutions, REDcap

Internal Review Evaluation Letters:

This is for tenure-track only 4th & 8th year reviews. 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, include** 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 the faculty is already tenured and going up for promotion to Professor only, 4th & 8th year reviews are not required.
- Note: if a faculty is considering going up for promotion the year **after** their 4th or 8th year review, they still **MUST** go through the 4th or 8th year review process in the year they are scheduled.
- For more information on tenure-track 4th & 8th year reviews, refer to the [P&T Coordinators' team site slides](#)

External Evaluations

Refer to [APT Toolbox section #2](#) for guidelines, checklist, and templates.

Refer to the [APT Toolbox Section 3b](#) 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 documentation of non-responding evaluators. Only include the letters you have received. Do not reference or include any information about external evaluators who agreed to write but did not submit a letter.

Where do we put a letter we received that we cannot use due to rank or a conflict? Include in section: 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: 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 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.

Committee of Eligible Faculty (CEF) Recommendation & TIU Head Recommendation

Refer to the APT Toolbox Section 3b for the P&T Packet Checklist for Promotion on more specific information.

- P&T chair letters:
 - Letters must be on letterhead, signed, and dated. It must include the vote and date of the vote.
 - The letter is addressed to the Department chair.
 - If the faculty member is a probationary faculty member pursuing promotion and reappointment, please include both the promotion and reappointment requests in the letter.
 - These letters should provide a comprehensive summary of the committee's discussion during the meeting and rational for the vote.
 - Clinical Chairs can be ghostwriters for tenure/research candidates, but they can't sign the letter.
 - If the P&T Chair is below rank they can't sign the letter, only a professor can sign for a professor.
- Department Chair letter
 - Letters must be on letterhead, signed, and dated.
 - If the faculty member is a probationary faculty member pursuing promotion and reappointment, please include both the promotion and reappointment requests in the letter.

- This letter is an independent evaluation of the candidate’s dossier and should not reiterate of the Committee of Eligible Faculty letter.
- This letter is addressed to the College Dean.

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? Eligibility for faculty voting and quorum requirements are defined in your department’s Appointment, Promotion, and Tenure (APT) document. For example, quorum may be defined as two-thirds or a simple majority—this varies by department.

For more details on voting, refer to [the APT Toolbox #4](#): “Who Votes? FAQ re: APT in the COM”

What is a POD and where can I find more information their responsibilities? A POD (Procedures Oversight Designee) must be assigned before dossier reviews can begin. You can find the [POD Guidelines and Responsibilities](#), along with a [video](#) from Dr. Oberyszyn, in Section 4 of the [APT Toolbox](#)

Can the P&T Chair be the Procedures Oversight Designee (POD): NO

Can a Procedures Oversight Designee (POD) be an Associate Professor rank for a Professor rank case (any track)? Yes, an Associate Professor can serve as POD for a Professor-level case (any track). However, they cannot vote on the case. They must attend the voting meeting as part of their POD responsibilities.

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 should send the faculty member the following:

- A notification letter or email
- The Form 103 (Comments Form)

- The P&T Chair letter
- The Department Chair letter

A template notification letter is available in the APT Toolbox, Section 3b.

This is also an appropriate time to provide the faculty member with a copy of their full, complete dossier for review.

What is the process if the comments form (Form 103) is returned with comments?

If the CEF vote was positive and the comments only update existing information already included in the dossier (for example, a paper that was “in review” is now “in press”), you do not need to send it back to the CEF. Updates like these do not constitute new information, and they do not affect the committee’s positive decision.

If the CEF vote was **NEGATIVE**, the **comments form must be shared with the CEF**. You must ask the CEF members whether the candidate’s clarification would change their vote. This can be done by email or through an anonymous poll.

- If any CEF member says the information could change their vote, the CEF must reconvene, discuss the new information, and vote again.
- The P&T Chair must update the CEF letter to document that the committee met again, summarize the discussion, and record the new vote.
- The department must be able to show that this process was followed.

If all CEF members confirm their votes remain the same, the committee does not need to meet again, but the P&T Chair must still update the CEF letter to confirm that members reviewed the comments and that the information did not affect their vote.

Keep in mind that “new information” means an update to material already in the dossier, not brand-new information that was never reviewed or discussed by the CEF. Comments should clarify or update existing content, not introduce new data, publications, or accomplishments after the review has concluded.

Similarly, if the department chair’s vote was negative and the candidate addressed the chair’s letter in their comments, the chair must update their letter to acknowledge receipt of the comments and indicate whether the new information did or did not change their decision.

What happens to the dossier if there is a negative vote/decision at the department or college level?

- Non-mandatory reviews: Once external evaluations are requested, the process officially begins and only the faculty candidate can stop it. If there's a negative vote/decision, the dossier moves forward **unless the** faculty withdraws it.
- 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 with no consequences. They are not required to reapply the following year unless they choose to or are due for 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 must be informed. The dossier will be withdrawn, and the department must notify the faculty member that the dossier will not proceed following their resignation.