

6.0 Dossier

Revised: 08/01/14; 5/15/20; 8/15/23

The full record of review will be maintained in Interfolio. Beginning with the 2023–2024 review cycle, no external forms will need to be generated outside of that system.

The Record of Review for Promotion in Academic Rank–Tenure–Reappointment (Cover Sheet: [Form 109](#)) gives administrators’ recommendations with their signatures along with basic information on the faculty member’s appointment and the review. It is the first page of the dossier and should be immediately visible when the file is opened. Nothing should be placed before the Cover Sheet.

The Dossier Checklist ([Form 105](#)) is placed second, immediately behind the Cover Sheet.–

A single checklist is used to ensure that every dossier meets all requirements before moving to the next level of review. In four stages, the candidate, the TIU level POD, the college level POD, and a designated staff member in the college office will use the same checklist to examine the dossier and to ascertain its accuracy and completeness. The college will serve as the final guarantor of the integrity of every dossier before it is forwarded to OAA for the completion of the review process.

In colleges without departments (colleges that serve as the TIU for their faculty), the POD will fulfill the role of the TIU-level designee.

The dossier should not contain duplicative material. When in doubt, err in favor of including material only once.

Responsibility of the candidate:

- Criteria Used for Review (if not submitted, default will be the criteria in the APT document on the [OAA website](#))
- Part I. Introduction—education and professional positions, **biographical narrative**
- Part II. Core Dossier

Responsibility of the TIU and college:

- ~~Record of Review (Cover Sheet, [Form 109](#))~~
- ~~Dossier Checklist ([Form 105](#))~~
- Part III. Evaluation
- Part IV. Student Evaluation of Instruction
- Part V. Review Letters

6.1 Outline

Revised: 06/26/18; 07/05/18; 5/15/20, 8/15/21; 8/15/22; 8/15/23

~~Record of Review (Cover Sheet: [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](#))

I. Introduction

- a. **Education and professional positions**
- b. Biographical statement of candidate

II. Core Dossier

III. Evaluation

A. Internal Letters of Evaluation

1. TIU annual review letters, as required by dossier outline, are arranged in chronological order (oldest to newest); with a written explanation if the set is incomplete;
 1. for assistant professors, all annual review letters since start date;
 2. for associate professors, or hires with tenure, all annual review letters since previous promotion or start date not to exceed last 5 years.
2. Comments and responses submitted as part of annual reviews (including comments on fourth year review, if generated).
3. For assistant professors, Fourth Year (Sixth Year for tenure track faculty with significant clinical duties in the College of Medicine) Review letters to the probationary faculty member (including letters from the committee of eligible faculty, the TIU head, the college P&T committee, and the dean).
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 of TIU.

B. External Letters of Evaluation

1. ~~Summary sheet of all evaluators from whom a letter was received (Form 114)~~
2. A representative sample of the request letters sent to evaluators with a list of materials shared if not included in the letter
3. Letters from at least five (5) external evaluators, consistent with list on summary sheet, with each letter preceded by a complete cover sheet (Form 106)

IV. Student Evaluation of Instruction

- A. Cumulative Report
- B. SEI Overview Report
- C. Summary of Open-Ended Student Evaluations

V. Review Letters

- A. Regional campus faculty deliberative body, if applicable
- B. Regional campus dean, if applicable
- C. TIU (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 (including Discovery Theme appointments)
- F. TIU-level comments process letters or notation that the candidate declined to provide comments
- G. College (with departments) Promotion and Tenure Committee
- H. College dean
- I. College-level comments process letters or notation that the candidate declined to provide comments

6.1.1 Introduction

Revised: 04/01/07; 07/20/17; 5/15/20, 8/15/21; 8/15/23

A biographical statement can include a narrative description of the candidate's educational background, brief summaries of their teaching, research, and service efforts, and effort assignments (e.g., 40% teaching, 40% research, 20% service). This statement is to be no longer than 750 words and may summarize information provided in greater detail in the core dossier.

List candidate's name and current appointment (including joint and Discovery Theme appointments as appropriate), degrees and professional positions held, with dates for each.

A CV should not be included in the introduction. If a TIU wishes to review a CV, one may be included in the scholarship folder in Interfolio.

6.1.2 Core dossier

Revised: 04/01/07

6.1.2.1 Instructions for the candidate

Revised: 04/01/12; 8/15/22; 8/15/23

Number pages consecutively within the Core Dossier (Section II). The first page will be the first item in the Core Dossier Outline.

In Section III, place the required materials in sequence following the outline, but do not paginate.

Include every item in the Core Dossier Outline in the dossier. If a particular item is not applicable, or there is nothing to report, write "none" for the item. Do not omit the item.

If a candidate is unsure about the content needed for a particular item, they should consult their TIU head or chair of the committee of the eligible faculty for assistance.

Present accomplishments as succinctly as possible and in outline form to the extent possible. Some explanation is valuable, but lengthy narrative and explanation may obscure important accomplishments rather than highlight them. In general, narrative sections should be no longer than 750 words except where noted. Accomplishments may only be listed once in the dossier. Candidates should consult their TIU head or chair of the committee of the eligible faculty with any questions about where specific accomplishments should be included.

Avoid self-evaluation except when it is requested. Others can most appropriately offer assessment of the quality and importance of the candidate's accomplishments.

~~Section IV.A.—The Cumulative Fixed-Response Survey Data section~~ should contain only summary tables of SEI (Student Evaluation of Instruction) data or the evaluation data approved by the candidate's college. The SEI Overview Report should be placed in ~~Section IV.B—the Fixed-Response Student Evaluation Data section~~.

6.1.2.1.1 Instructions for the candidate—OAA Approved Electronic Dossier

Revised: 06/27/2017; 06/26/18; 6/18/19; 5/15/20, 8/15/21; 8/15/23

Tenure-track, clinical/teaching/practice, and research faculty members undergoing promotion or promotion with tenure review or reappointment are expected to use the OAA approved electronic dossier to generate their core dossier. ~~Fourth year reviews, mandatory reviews, or reviews for promotion may use either VITA or a Word document that exactly matches the VITA format.~~

Candidates are strongly encouraged to use VITA.

6.1.2.2 Time frame

Revised: 07/14/17; 06/26/18; 06/18/19, 8/15/21; 8/15/22; 8/15/23

For the teaching and service sections of the core dossier, use the start date for probationary faculty; for tenured/non-probationary faculty use the date of last promotion, reappointment, or the last five years, whichever is most recent, for tenured/non-probationary faculty. The eligible faculty may allow a candidate to include information from before the start date or last promotion or reappointment if they believe such information is relevant to the review. Where included, the candidate should clearly indicate what material is work completed since the start date or mandatory review, and what material is from prior to the start date or mandatory review.

For research/scholarship/discovery, use a full history of publications and creative work as this information provides context to the more recent and relevant research and creative activity record and/or demonstrates scholarly independence.

For teaching, research and creative activity, and service, although information about activity in these areas conducted prior to the start date or last promotion may be included, it is the performance since the start date or date of last promotion or reappointment, whichever is most recent, that is to be the focus of the evaluating parties.

6.1.2.3 Organization

Revised: 02/15/12

Organize all material in the Core Dossier in reverse chronological order.

6.1.2.4 Core dossier outline

Revised: 05/06/16; 07/15/17; 06/26/18; 6/18/19; 5/15/20, 8/15/21; 8/15/22

Teaching (see section 4.1.2.2 for timeframe of information to be included)

1) Undergraduate, graduate, and professional courses taught

In the Core Dossier, list each course taught and all clinical instruction, including the information noted below.

- courses taught by quarter (AU, WI, SP, SU), semester (AU, SP), summer session or term, and year
- course number, title, and number of credit hours
- official final course enrollment
- percentage of course taught by candidate based on proportion of total student contact hours in course
 - brief explanation (less than 250 words) of candidate's role, if candidate was not solely responsible for course, including GTA supervision, course management, and team teaching
- indicate whether formal course evaluations were completed by students and/or faculty peers by placing a check mark in the appropriate column

If the candidate has not obtained student evaluations in every regular classroom course, explain why this was not done. Such evaluation is required by [Faculty Rule 3335-3-35\(C\)\(14\)](#).

Do not include in this list extension, continuing education, or other non-credit courses.

- 2) Involvement in graduate/professional exams, theses, and dissertations and undergraduate research for entire career at Ohio State
 - a) Graduate students—list completed and current students and include:
 - i) doctoral students (dissertation advisor): for current advisees, list name of student, and year advising began. For students who have graduated list name of student, year of graduation, and title of dissertation; also provide the current position of the former student, if known;
 - ii) doctoral students (dissertation committee member): do not include service as a Graduate School representative (this should be listed in Service 6e);
 - iii) doctoral students (candidacy examination committee chair);
 - iv) doctoral students (candidacy examination committee member): do not include service as a Graduate School representative (this should be listed in Service 6e);
 - v) master's students plan A (thesis advisor): for advisees who have graduated, list name of student, year of graduation, and title of thesis; also provide the current position of the former student, if known;
 - vi) master's students plan B (advisor): for advisees who have graduated, list name of student, year of graduation, and provide the current position of the former student, if known;
 - vii) master's students (thesis committee member);
 - viii) master's students (examination committee member).
 - ix) residency candidates (who are not included above with other graduate students)
 - x) clinical interns (who are not included above with other graduate students)
 - b) Describe any noteworthy accomplishments of graduate students for whom the candidate has been the advisor of record, for example, publications during or emanating from graduate program, awards for graduate work, prestigious post-docs, or first post-graduate positions. In this section only, candidates may have duplication; if they have co-authored work with a graduate student, they can list the citation in this section and in the research section.
 - c) Undergraduate research mentoring: for each student mentored, give name of student, title of thesis or project, quarter or semester of graduation, and noteworthy outcomes of this mentorship such as publications, presentations, honors or student awards.
 - d) Describe any noteworthy accomplishments of undergraduate students, in particular related to research, for whom the candidate has been the advisor of record (publications, posters, honors or student awards).
- 3) Involvement with postdoctoral scholars and researchers throughout career at Ohio State

List completed and current postdoctoral scholars and/or researchers under the candidate's supervision.
- 4) Extension, continuing education instruction (including DITL and STEP Mentoring [unless STEP Mentoring is listed under service]), and guest lectures. Summarize briefly the major instructional activities (workshops, non-credit courses) that the candidate has conducted. Identify the candidate's role in the instruction and the number of participants.
- 5) Curriculum development since start date at Ohio State if this is the first review, regardless of rank. If this is a review for promotion to professor list the items for the previous five years or since promotion, whichever time period is shorter.

Give specific examples of the candidate's involvement in curriculum development (role in the design and implementation of new or revised courses); development of new teaching methods or materials (undergraduate, graduate, or professional); creation of new programs. This section may also include examples of teaching methods or materials adopted beyond Ohio State, presentations on pedagogy and teaching at national and international conferences. Do not include information on presentations on pedagogy and teaching if this information is provided in the Research and Creative Activity section.

If Extension is a specified area of expectation for the candidate, include a description of the overall Extension program (curricular) goals, a brief description of the scope and sequence of instructional activities as they relate to the program (curricular) goals, the target audience(s), the candidate's role in the curriculum/program development, the role of others engaged in that curricular program, and a brief description of the impact of the curriculum.

- 6) Briefly describe the candidate's approach to and goals in teaching and student mentoring, major accomplishments (including positive impact of teaching and mentoring on students), and plans for the future in teaching and student mentoring (**should be** no longer than 750 words; do not quote student comments, which should be summarized by someone other than the candidate in Section IV.C.).

- 7) Evaluation of teaching

Briefly describe how the candidate has used evaluation information (e.g., student evaluations of instruction, peer evaluations of teaching, other feedback) to improve the quality of teaching and student mentoring (**should be** no more than 250 words). Candidates are not to summarize SEI data in this section, as it is provided in Sections IV.A. and IV.B.

- 8) Awards and formal recognition for teaching and mentoring

List awards the candidate has received for excellence in teaching and/or mentoring. Nominations for such awards should not be listed. This list may include citations from academic or professional units (department/school, college, university, professional associations) that have formal procedures and stated criteria for awards for outstanding teaching and/or mentoring performance.

- 9) Other academic advising or mentoring

Briefly describe academic advising of students not included in section 2 under teaching or section 7 under service. Examples might include advising or mentoring of undergraduate majors or of graduate students who are in course work, **as well as consistent informal mentoring.**

- 10) Completion of teaching development programs

List continuing education programs related to teaching (see timeframe in section 4.1.2.2 above). Include teaching endorsements, course design institutes, FIT mentoring, or workshops offered by the Michael V. Drake Institute for Teaching and Learning as well as other teaching development programs. Include the following:

- Name of the program or workshop
- Date completed
- Description of training
- Impact of training

Research and Creative Activity

Although all scholarly/creative works can be listed, clearly denote outcomes since appointment or last promotion at Ohio State.

1) List of books, articles, and other published papers.

Only papers and other scholarly works that have been formally accepted without qualification for publication or presentation, or have actually been published or presented, should be listed in Items 1a–1g below. Publication refers to both print and digital formats.

Works under review must be listed separately in Item 1k below.

Works being drafted and not yet submitted may be discussed in the narrative section in Section 3 below.

Use the standard citation style for the candidate’s discipline with authors listed exactly as they are listed on the publication. Candidates must list themselves even if they are the only author.

In cases of multiple authorship for Items 1a–1e, a narrative description (approximately 50 words) of the candidate’s intellectual contribution and percentage of contribution are required. Examples of appropriate formats for this information include:

- I designed the experiment (which was carried out by the graduate student co-authors) and wrote the article (75% contribution).
- I identified the patients for the study, administered the drug regimen, reported results to the consortium, and reviewed the draft manuscript (25% contribution).
- I completed and wrote the literature review for the paper, shared equally with the co-author in the analysis and interpretation of the data, and reviewed the complete draft manuscript (50% contribution).

Statements such as the following are not acceptable: “All authors contributed equally” or “50% effort.” Do not refer to past dossiers for models of how to write the required description, because requirements have changed.

For Items 1f–1j below: the above information is not needed unless the unit requires it.

Include as separate categories:

- 1a) Books (other than edited volumes) and monographs
- 1b) Edited books
- 1c) Chapters in edited books
- 1d) Bulletins and technical reports
- 1e) Peer-reviewed journal articles
- 1f) Editor-reviewed journal articles
- 1g) Reviews (indicate whether peer reviewed)

- 1h) Abstracts and short entries (indicate whether peer reviewed)
 - 1i) Papers in proceedings (indicate whether peer reviewed)
 - 1j) Unpublished scholarly presentations (indicate whether peer reviewed)
 - 1k) Potential publications under review (indicate authorship, date of submission, and to what journal or publisher the work has been submitted)
- 2) List of creative works pertinent to the candidate's professional focus. (If the candidate has no creative works to list, write "None" for Section 2. Do not list each individual item below.)
- 2a) Artwork
 - 2b) Choreography
 - 2c) Collections
 - 2d) Compositions
 - 2e) Curated exhibits
 - 2f) Exhibited artwork
 - 2g) Inventions and patents, including disclosures, options, and commercial licenses
 - 2h) Moving images
 - 2i) Multimedia/databases/websites
 - 2j) Radio and television
 - 2k) Recitals and performances
 - 2l) Recordings
 - 2m) Other creative works
- 3) Brief description of the focus of the candidate's research or creative work, major accomplishments, and plans for the future, including works in progress.

This section can also include a description of work that has not yet been submitted for publication, and should be no longer than 750 words. Although future plans may be included, works should be items that are in final edits/process. This section can also include a brief description of any trainings completed by the candidate to prepare for the submission of research funding.

- 4) Description of quality indicators of the candidate's research, scholarly, or creative work such as citations; publication outlet quality indicators such as acceptance rates, ranking, or impact factors of journal or publisher; or other indicators of the impact of the candidate's work. Individual units should determine what kinds of information could be described here. ~~Although VITA provides citation and impact factor tables, if these are not relevant metrics for the unit, they may be deleted.~~

5) Research funding

In cases of multiple authorship for funded and proposed grants noted below, a narrative description (of the type described above for Item 1, approximately 50 words) of the candidate's intellectual contribution **to the grant proposal** is required. List the author or authors in the order in which they appear on the grant proposal.

The candidate may provide the approximate percentage of their contribution in relation to the total intellectual effort involved in the grant proposal if the unit or college requires this information.

5a) Funded research, including contracts and clinical trials, on which the candidate is or has been the principal investigator (i.e., lead investigator)

- period of funding
- source and amount of funding
- amount of funding allocated to the candidate
- whether funding is or was in the form of a contract or grant

5b) Funded research, including contracts and clinical trials, on which the candidate is or has been a co-investigator (i.e., not the lead investigator—includes co-principal investigator, co-investigator, collaborator, evaluator, etc.)

- period of funding
- source and amount of funding
- amount of funding allocated to the candidate
- whether funding is or was in the form of a contract or grant
- candidate's role

5c) Funded research, including contracts and clinical trials, on which the candidate is or has been senior personnel

- period of funding
- source and amount of funding
- amount of funding allocated to the candidate
- whether funding is or was in the form of a contract or grant
- candidate's role

5d) Proposals for research funding that are pending or were submitted but not funded

- date of submission
- title of project
- authors in the order listed on the proposal
- agency to which proposal was submitted
- priority score received by proposal, if applicable
- candidate's role

5e) Funded training grants on which the candidate is or has been the equivalent of the principal investigator

- date of submission
- title of project
- authors in the order listed on the proposal

- agency to which proposal was submitted
- priority score received by proposal, if applicable

5f) Proposals for training grants that are pending or were submitted but not funded

- date of submission
- title of project
- authors in the order listed on the proposal
- agency to which proposal was submitted
- priority score received by proposal, if applicable

5g) Any other funding received for the candidate's academic work. Provide the type of information requested below as appropriate.

- date of submission
- title of project
- authors in the order listed on the proposal
- agency to which proposal was submitted
- priority score received by proposal, if applicable
- candidate's role

6) List of prizes and awards for research or creative activity. Nominations for such awards should not be listed.

Service and Engagement

- 1) List of editorships or service as an editorial reviewer or board member for journals, university presses, or other learned publications.
- 2) List of offices held and other service to professional societies and impact of service. List the organization in which office was held or service performed. Describe the nature of the organization (open or elected membership, honorary) and candidate's responsibilities.
- 3) List of consultation activity (industry, education, government). Give the time period in which consultation was provided, candidate's responsibilities, and other information as appropriate.
- 4) Clinical services. State specific clinical assignments.
- 5) Other professional/public community service or engagement directly related to the candidate's professional expertise, if not listed elsewhere. Community service not germane to a faculty member's professional expertise is not relevant to P&T reviews.
- 6) Administrative service. Give dates and description of responsibility.
 - 6a) Unit committees
 - 6b) College or university committees
 - 6c) Initiatives undertaken to enhance diversity in the candidate's unit, college, or the university
 - 6d) Administrative positions held (e.g., graduate studies chair)

6e) Faculty peer mentoring

6f) Service as a graduate faculty representative on a **candidacy examination or** dissertation in another unit or university

7) Advisor to student groups and organizations

List the group or organization and specific responsibilities as advisor.

8) Office of Student Life committees

8a) List Office of Student Life committees on which the candidate has served.

8b) Summarize participation in Student Life programs such as fireside discussions, lectures to student groups outside the candidate's unit, addresses or participation at student orientation, and the Second-Year Transformational Experience Program (STEP) (unless listed under teaching).

9) List of prizes and awards for service to the profession, the university, or the unit. Nominations for such awards should not be listed.

10) Brief elaboration that provides additional information about service activities listed above.

This section can include a description of the candidate's service goals as well as the impact of the candidate's service and engagement to their profession, the community, and the university (**should be** no longer than 750 words).