ARTS & HUMANITIES
DOSSIER ASSEMBLY KIT
FOR _______________________,
CANDIDATE FOR PROMOTION/TENURE IN 2014-2015

Remember always to check your TIU’s Appointments, Promotion & Tenure (APT) document for variations particular to each department. That document is available online at http://oaa.osu.edu/governance.html.

Note on the review process: In accordance with the College APT document,\(^1\) the College of Arts and Sciences maintains three separate review panels for P&T review, one for each Division. The review panel for the Division of Arts & Humanities consists of up to 10 full professors from all areas of research and creative activity, including Performance, Visual Arts, Languages, Cultural Studies, and Literature.

Note for 4th year review: The only materials required for submission to the College in 4th year review are Part I, Part II, Part IIIa, and Part IV. Part IIIb is optional, and Supplemental Materials are only needed at 4th year when the recommendation from the department is not consistently positive. The preliminary materials are not needed, since OAA does not review 4th year cases.

DOSSIER MATERIALS FOR OAA-LEVEL REVIEW\(^2\)

- Record of Review (Cover Sheet)

This document is the responsibility of the TIU, and appears first in the dossier. The cover sheet, or “Record of Review,” gives administrators’ recommendations, with their signatures, along with basic information on the faculty member’s appointment and the process of review. Some things for the TIU to look out for: indicate the date of initial appointment, the date of previous P&T action (such as 4th year review), years excluded from the tenure clock (if any). When it says “Proposed Action Considered” enter “Promotion only” for Promotion cases, and “Promotion and tenure” for Tenure cases. “Years prior service credit” doesn’t apply.

Signatures are required from:

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\(^1\) The College APT Document, and all departmental APT documents, can be found here: http://oaa.osu.edu/governance.html.

Regional Dean (if applicable)
TIU Head
College Office

Dossier Checklist

This document is the responsibility of the TIU, and appears second in the dossier. The Dossier Checklist is provided by OAA to ascertain the dossier’s accuracy and completeness. The form is completed cumulatively at each level of review. Make sure the numerical vote is recorded accurately, with the appropriate percentages tallied. Make sure that the POD has verified the accuracy of all citations on page 3 by signing that section. The POD also prints and signs on page 4 to indicate the accuracy of the vote.

Signatures are required from:

- Candidate
- Department’s Procedures Oversight Designee (twice)
- College’s Procedures Oversight Designee
- College Office

PART I INTRODUCTION

This section is the responsibility of the candidate.

Biographical Statement

A short statement prepared by the candidate, in lieu of a cv. It is not necessary to provide an extended narrative in this space: simply listing degrees and professional positions will be sufficient.

- Degrees and dates
- Professional positions and dates

PART II CORE DOSSIER

This section is the responsibility of the candidate.

For junior faculty: Research in View takes care of the format for you, so there is no need to be concerned with the way that the dossier appears. For senior faculty: promotion cases to full professor do not require the use of Research in View. Make sure that the

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3 Not to be confused with the present document, which is a worksheet for guidance only. OAA’s Dossier Checklist is found at http://oaa.osu.edu/assets/files/documents/Form105.pdf.
4 Submission of the dossier through Research in View is now required of all 4th and 6th year reviews. Research in View is found here: http://ocio.osu.edu/elearning/services/riv/.
Core Dossier is numbered consecutively, beginning with page 1. List items consecutively without page breaks, rather than placing each new item on a new page. For all faculty: Include every item in the Core Dossier: if a particular item is not applicable, mark “None” for the item. Present accomplishments as succinctly as possible and in outline form only. Avoid self-evaluation except when requested. Note that when no time frame is specified, all work to date in the area should be provided. List all items in reverse chronological order, whenever this can be easily managed.

Teaching

1) Undergraduate, Graduate and Professional Courses taught since date of hire (if junior professor), or for the last five years (if senior professor). If promoted within the last five years, list courses since date of promotion only.

Place information in table format as indicated by OAA. List the following:

- Courses in order by quarter/semester and year
- Course number, title, and number of credit hours
- Official final course enrollment
- Percentage of course taught (based on student contact hours)
- Brief explanation of candidate’s role (if not solely responsible for the course)
- Indication of whether formal course evaluations were conducted, by students, peers, or others

List whether narrative evaluations and/or SEIs were distributed in each course. If some form of student evaluation was not distributed in every regular course, provide an explanation why.

2) Involvement in Graduate/Professional Exams, Theses, and Dissertations and Undergraduate Research

a) Graduate Students

i. Doctoral Students (dissertation advisor)

- Number completed
- Number current

For advisees who have graduated, list name of student, year of graduation, title of dissertation, and current position, if known.

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5 See example of table format for course listing at [http://oaa.osu.edu/assets/files/documents/Form104.pdf](http://oaa.osu.edu/assets/files/documents/Form104.pdf). Research in View users don’t use this form, since the program does the course chart for you.
ii. Doctoral Students (dissertation committee member)
  • Number completed
  • Number current

iii. Doctoral Students (candidacy/general examination committee chair)
  • Number completed
  • Number current

iv. Doctoral Students (candidacy/general examination committee member)
  • Number completed
  • Number current

*Do not include service as a Graduate School representative.*

v. Master’s Students Plan A (thesis advisor)
  • Number completed
  • Number current

*For advisees who have graduated, list name of student, year of graduation, title of thesis, and current position, if known.*

vi. Master’s Students Plan B (examination advisor)
  • Number completed
  • Number current

vii. Master’s Students Plan A (thesis committee member)
  • Number completed
  • Number current

viii. Master’s Students Plan B (examination committee member)
  • Number completed
  • Number current

b) **Noteworthy Accomplishments of Graduate Students for whom you have been the advisor of record**

c) **Undergraduate Honors Theses (director)**
• Number completed
• Number current

For advisees who have graduated, list name of student, year of graduation, title of thesis, and noteworthy outcomes such as publication, honors, or awards.

d) Noteworthy Accomplishments of Undergraduate Students for whom you have been the advisor of record

3) Involvement with Postdoctoral Scholars and Researchers

List completed and current postdoctoral scholars and/or researchers under your supervision.

4) Extension and Continuing Education Instruction

Summarize major instructional activities (workshops, non-credit courses, etc.), identifying candidate’s role and number of participants.

5) Curriculum Development since date of hire or last promotion (whichever is more recent)

Provide specific examples of involvement, including development of new or significantly revised courses, new teaching methods or materials, or the creation of new programs. Regular updating of existing courses should not be included.

6) Brief Description of Teaching Approach, goals in teaching, major accomplishments as a teacher, and plans for future teaching

A length of 750 words or less is appropriate here.

7) Evaluation of Teaching since date of hire or date of last promotion (whichever is more recent)

Describe the ways in which the quality of your teaching has been evaluated (student evaluation, peer review, other departmental review). Describe how you have used the evaluation information to improve the quality of instruction. Keep this brief: 250 words or less is appropriate here.

8) Awards and Formal Recognition for Teaching
List awards and formal citations for excellence in teaching. Do not include nominations. Describe, to the extent possible, how awardees are selected and the degree of competitiveness for each award.

9) Other Academic Advising

Identify the number and level of advisees since date of hire or last promotion (whichever is more recent). Describe specific advising responsibilities. There is no need to repeat information given elsewhere in the dossier.

Research

1) Chronological List of Books, Articles, and Other Published Papers

Only works that have been formally accepted without qualification for publication or presentation, or have actually been published or presented, should be listed in items a)-i) below. Candidate should list self for each publication using the documentation style appropriate to the field. In cases of multiple authorship, a short narrative description of the candidate’s intellectual contribution to the project is required.

a) Books (other than edited volumes) and monographs

b) Edited books

Include translations of books here. Also include guest editorships of special issues for journals.

c) Chapters in edited books

d) Bulletins and technical reports

e) Peer-reviewed journal articles

f) Editor-reviewed journal articles

g) Reviews (indicate whether peer reviewed)

h) Abstracts and short entries (indicate whether peer reviewed)

Short pieces such as encyclopedia articles can be included here.

i) Papers in proceedings (indicate whether peer reviewed)
j) Unpublished scholarly presentations (indicate whether peer reviewed)

k) Potential publications in review process (indicate authorship, date of submission, and journal/publisher to which the work has been submitted)

2) Creative Works related to candidate’s focus (e.g., inventions, dramatic performances, dance recitals, concerts, exhibitions of art)

There’s no need to list all these subheadings in the dossier – if there is nothing in this area, simply write “None” for item 2.

a) Artwork

Include artwork that has been completed but not exhibited here. Exhibited artwork goes in “f” below.

b) Choreography

c) Collections

d) Compositions

e) Curated exhibits

f) Exhibited artwork

g) Inventions and patents

h) Moving image

i) Multimedia/databases/websites

j) Radio and television

k) Recitals and performances

l) Recordings

m) Other creative works

3) Brief Description of the Focus of Research, scholarly, or creative work, major accomplishments, and plans for the future

A length of 750 words or less is appropriate here.
4) **Quality Indicators of research, scholarly, or creative work**

These include citations, reviews, course adoptions, and acceptance rates from publication outlets. Each TIU’s APT document determines the kinds of information that can be described here.

5) **Research Funding**

In cases of multiple authorship for a)-b), a narrative description of the candidate’s intellectual contribution to the project is required.

   a) Funded research as principal investigator

   *Include the period of funding, the source and amount of funding, and whether the funding is in the form of a contract or a grant.*

   b) Funded research as co-investigator

   *Include the period of funding, the source and amount of funding, and whether the funding is in the form of a contract or a grant.*

   c) Proposals for research funding pending/submitted but not funded

   *Indicate the date of submission, the agency, the title of the project, the authors in the order listed in the proposal, and the priority score received (if applicable).*

   d) Funded training grants as principal investigator or equivalent

   *Include the source and amount of funding, and whether the funding is in the form of a contract or a grant.*

   e) Proposals for training grants pending/submitted but not funded

   *Indicate the date of submission, the agency, the title of the project, the authors in the order listed in the proposal, and the priority score received (if applicable).*

   f) Any other funding received for academic work

   *Include the period of funding, the source and amount of funding, and whether the funding is in the form of a contract or a grant.*

6) **Prizes and Awards for research, scholarly or creative work**
Nominations for awards should not be listed.

Service

1) Editorships or Service as Reviewer for journals, university presses, or other learned publications

2) Offices Held and other service to professional societies

List organization in which office was held or service performed, and describe nature of organization (open or elected membership, honorary).

3) Consultation Activity (industry, education, government)

List time period and nature of activity.

4) Clinical Services

5) Other Professional/Public Service such as reviewer of grants/proposals or external examiner (if not listed elsewhere)

Administrative service to/for the university such as the judging of competitions, book programs, external tenure reviews, and the like can be added here.

6) Administrative Service

Give dates and description of responsibility.

a) Department or School committees

b) College or University committees

c) Initiatives undertaken to enhance diversity in your unit, college, or university

d) Administrative positions held

Departmental chair positions held, such as Graduate Studies chair, can be included here.

e) Service as a graduate faculty representative on a dissertation for another unit or university

7) Advising of Student Groups & Organizations
Identify name of group or organization and specific advising responsibilities.

8) Office of Student Life Committees (Student Affairs Committees, Task Forces, and Other Student Services)
   a) Office of Student Life committees
      List service on student affairs committees/task forces.
   b) Other contributions to Student Life
      Summarize participation in Student Life programs such as fireside chats, lectures to student groups, STEP, etc. Identify contributions to any other student services.

9) Service Awards and Formal Recognition
   List awards and recognition you have received for contributions to service (profession, university, department). Nominations for awards should not be listed.

10) Brief Elaboration of Service Activities
    Provide additional information on the activities listed above. This is a “service statement,” along the lines of the statements on teaching and research earlier. A short discursive paragraph on the impact of your service on the various communities that you have served (the unit, the college, the university, the profession) is appropriate here. A length of no more than 250 words is suggested.

PART III  EVALUATION

Part III, which is primarily the responsibility of the TIU and the College, should not be numbered. Only letters solicited by the Chair, the P&T Chair, or other authorized persons may be considered in the review process.

A. Internal Letters

Every item included in Part III.A. should be preceded by a plain-colored page noting the item that follows. Expectations of the unit in which the candidate is being assessed must be explained in either 2.1) or 2.2) below. When applicable, expectations for regional campus faculty must also be explained in either 1.1) or 1.2) below.
1.1) Regional campus faculty (if applicable)

1.2) Regional campus dean (if applicable)

2.1) TIU report

*Includes numerical vote of the deliberative body. The faculty assessment should detail both the strengths and weaknesses of the candidate, and the report must accurately and fully reflect the general assessment of the case by the faculty at the review meeting. If the candidate holds a joint (split FTE) appointment, the College requires that both TIUs generate a report. Include section head letter as part of the TIU report, if applicable.*

2.2) TIU head

*If the TIU head’s assessment and/or recommendation is contrary to that of the faculty, bases for differing judgments must be addressed.*

2.3) Head of TIU in which candidate holds a joint appointment

*Optional when the joint appointment is both 0% FTE and entails very little interaction between the candidate and the unit; otherwise required.*

2.4) TIU-level comments process

*The candidate’s response, or an indication that the candidate has declined to provide comments.*

3.1) College P&T committee

*Includes numerical vote and recommendation to the dean. If the College committee’s assessment and/or recommendation is contrary to those at the TIU-level, bases for differing judgments must be addressed.*

3.2) College dean

*If the dean’s assessment and/or recommendation differs from any of the prior assessments, bases for differing judgments must be addressed.*

3.3) College-level comments process
The candidate’s response, or an indication that the candidate has declined to provide comments.

4.1) Annual reviews

If untenured, since date of hire. If tenured, since last OSU promotion or from year of hire with tenure, not to exceed the most recent five years.

4.2) Any written comments on annual review letters by the candidate

Only to be included if the candidate requests.

5) Peer reviews of teaching

As required by each TIU’s individual APT document. Place any additional internal letters requested by the TIU here.

B. External Letters

External evaluation letters must be submitted by regular (or expedited) mail on institutional letterhead and carry the evaluator’s signature. Evaluations submitted by e-mail are acceptable only as pdf files that are signed and on letterhead. Individuals who are former mentors or who have a close personal/familial relationship with the candidate should not be contacted for an evaluation. Collaborators must not be asked to write an external evaluation, though in the case of a candidate who collaborates extensively, a TIU may ask the collaborators to describe the candidate’s contributions to jointly conducted work in a separate letter. The number of external letters required is determined by the TIU’s APT document: by OAA rule, at least five (5) external letters must be solicited, with no more than one-half of these from persons suggested by the candidate.

Note on external evaluators: Emeritus professors are fine, as are equivalent non-academics in the discipline. Associate Professors are out of bounds for promotion reviews, but may be used sparingly for tenure reviews. It’s often the case in emerging or narrow fields that there aren’t enough Full Professors to go around. The general rule is to have no more than two Associate Professors in a list of five or six: if the final slate includes more than two Associate Professors, the Chair or the Chair of P&T will want to account for that in a separate memo for the dossier, or in the TIU report/chair’s letter. In any event, each Associate Professor on the final slate of evaluators will need to be separately justified in the cover page for each external letter (as being a Full Professor in everything but name, or as a specialist in the particular field, etc.). Otherwise the department runs the risk of a concern being raised at one or more levels of review about the overall quality of the evaluators, which are required by OAA to be “distinguished faculty.”
1) Summary Sheet

Includes the names and institutions of all persons from whom letters were successfully solicited, the name of the person(s) who suggested each evaluator, and the relationship of each evaluator to the candidate, if any. Use the form provided by OAA as part of the Dossier Checklist and place here as well.

2) Summary Sheet of persons who were asked to write but declined to do so

This includes people who were solicited and failed to respond, as well as those who were solicited but said no. Again, use the form provided by OAA as part of the Dossier Checklist and place here as well.

3) Copy of form letter requesting evaluation and list of materials sent (if identical)

If requests or material sent are different, submit a copy of each type of request and an explanation for the difference.

4) External letters with cover page\(^6\) in front of each letter

The OAA form is to be used. Each cover page should include the following information, much of it duplicated in the Summary Sheet above: evaluator’s name, title, institution, relation to candidate, and a concise statement of qualifications; name of person(s) recommending the evaluator. Do not include or attach CVs of external evaluators, which are not needed. All letters solicited and received must be included in the dossier, unless OAA approves otherwise.

PART IV STUDENT EVALUATION OF INSTRUCTION

This section is the primary responsibility of the candidate (for A and B) and the TIU (for C).

A. Cumulative Fixed-Response Survey Data

This is a horizontal table that shows results for every quarter a particular course has been taught. In the case of SEIs, the Student Information System will generate this for the candidate – go to the SIS online link given in the note below and follow the instructions.\(^7\)

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7 To reach the SIS’s online link, go to [http://registrar.osu.edu/faculty/sei/instructorreports.asp](http://registrar.osu.edu/faculty/sei/instructorreports.asp).
B. Individual Fixed-Response Student Evaluation Data (for P&T cases: since date of hire; for Promotion cases: since date of last promotion or past five years, whichever is more recent)

*Include all individual SEI course reports here.*

C. Summary of Open-Ended Student Evaluations (for P&T cases: since date of hire; for Promotion cases: since date of last promotion or past five years, whichever is more recent)

*It is possible that your TIU does not require Open-Ended (discursive or narrative) Student Evaluations. In that case, leave this section blank.*

- Summary by third party (faculty or staff) of open-ended evaluations
- Name and role of the individual (faculty or staff) providing summary

*Summaries should include the number of students enrolled and the number of students who completed evaluations in each course. It is recommended that the candidate review these summaries prior to their inclusion in the dossier.*

**SUPPLEMENTAL MATERIALS FOR COLLEGE-LEVEL REVIEW**

*This section is the collective responsibility of the candidate and the TIU. Please submit in electronic format if possible. All physical materials will be returned at the conclusion of the review process. Please note that this material is normally needed for 6th year and Promotion cases only.*

- Departmental APT document
  
  *Provide only if APT is unavailable online.*

- A single copy of all published work (as listed in Research 1a-1i)
  
  *All items listed are required, with the following exception: for candidates for promotion to full professor, only items that have appeared since date of hire/last promotion are needed.*

- Documentation of all items listed under Creative Work (as listed in Research 2)
  
  *Evidence of all itemized creative work is required, with the following exceptions: for candidates for promotion to full professor, only evidence of creative work since date of hire/last promotion is needed. Do not include programs and flyers for recitals or similar performances.*
A single copy of all unpublished manuscripts (as listed in Research 1k)

*Note that copies of items listed in Research 1j (unpublished scholarly presentations) are not required.*

Narrative student evaluations of teaching upon which summaries in Part IV.C were based

Course syllabi for all courses summarized in Part IV.C (only one syllabus necessary for each course number)

Press (readers’) reports and book contracts on manuscripts submitted for publication, as available

*Readers’ reports are not required when the final book contract has been secured.*

Published reviews of a candidate’s research, scholarly, or creative work. If the review is in a language other than English, the Department has the option to provide a translation of the review into English, with the name of the translator given.

*All reviews are required here, whether or not they are of books published since date of hire/last promotion.*

7/28/14