P&T 101: Demystifying the Process
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Today’s Workshop
- Identify where we receive guidance regarding the P&T process
- Describe the process for promotion and tenure
- Provide clarity of work and responsibility in the dossier
- Describe the general outline of the dossier
- Articulate dossier narrative statements that communicate impact, clarity and trajectory

Documents Guiding Our P&T Process
- Faculty Rules 3335-6
  - Rules Of the University Faculty Concerning Faculty Appointments, Reappointments, Promotion and Tenure
  - https://trustees.osu.edu/university-faculty-rules/3335-6
- OAA Policies and Procedures Handbook, Volume 3
- CFAES and TIU Appointment, Promotion and Tenure (APT) Documents
  - https://oaa.osu.edu/appointments-reappointments-promotion-and-tenure

Other Useful Documents
- Form 105: Dossier Checklist
  - We’ll look at this form soon
- Form 103: Comments Form
  - In our college, CFAES Faculty and Staff Affairs manages this process via DocuSign
  - From the OAA Handbook:
    - 3.7.3 Use of the comments process Revised: 12/18/13
    - Candidates are advised to use this process to amend, contest or otherwise comment on factual information or procedural matters. Comments are not appeals but rather an opportunity to further clarify or correct the record. Candidates should understand that the exercise of professional judgment on the part of reviewers is central to the review process.
Starting in the 2022-2023 cycle, two separate comment forms will be sent to candidates for the TIU level. One will be marked for comments for the TIU eligible faculty and the other for the TIU head.

Comments will go back to the corresponding group or person. Exception: If your case is positive and you’re just sending an update (a new article, grant, award, etc.), we likely won’t need to send back unless for some reason you want that.

There is no checkmark for the college committee because that committee is advisory to the Dean. Therefore, comments or concerns from the college committee should still be directed to the Dean.

There will only be one iteration of comments, meaning the candidate can send comments and the committee/person can respond.

**How Should Comments Be Handled?**

**Reviews Leading Up To Mandatory Review**

- **Annual Reviews**
  - All by TIU Head
  - Faculty can provide comments, which permanently "travels" with your permanent employee file and dossier
  - If the TIU head is not completed, the annual letter
  - TIU Eligible Faculty or Mentoring Committee
  - Comments are formative in nature
  - TIU Head

- **Fourth-Year Review**
  - Required of probationary tenure-track faculty during the fourth academic year of employment
  - Process mimics mandatory review
  - TIU Head

- **Penultimate Review**
  - Required of clinical/research/professional practice track faculty the year before their final year on contract
  - Required for tenure-track faculty going up for tenure
  - Reviews occur during the sixth academic year of employment (unless there’s an extension)
  - TIU Head

- **Non-Mandatory Review**
  - (A review prompted by the candidate) for promotion; a review of promotion from Associate Professor to Professor is the most common type of non-mandatory review
  - Eligible faculty may veto a non-mandatory review if Associate to Full Professor one time and may stop a non-mandatory review of a probationary candidate anytime
  - TIU Head

**General Timeframe of the P&T Cycle**

- **April:** Candidate submits dossier
  - For non-mandatory reviews, faculty must vote to move forward unless they have said “no” once already
  - Summer: TIU solicits External Review Letters
  - August-October: TIU Faculty and Head Reviews
  - November-December: College Committee Reviews
  - December-January: Dean Reviews
  - Positive Penultimate and Four-Year Reviews Stop Here
  - February-April: University Reviews
  - Promotion begins the day the Board of Trustee approves

*Each TIU Has Its Own Timeframe*
**External Letters**
- Need 5 letters
- No more than half by the candidate; solicited by TIU head or P&T chair
- Arms’ length (e.g., not advisors; major collaborators; post-doctoral supervisors)
- Consult the Senior Associate Dean if you have questions
- Our college has a more stringent definition of 25% or more publications with the candidate
- Credible source/peer institution
- Should focus on research/scholarship unless documentation of other areas is included/needed based upon job assignments
- Open-records laws
- Review your TIU APT for more details

**Dossier Outline**
- Let’s look at the OAA Handbook and Form 105
  - OAA Handbook, Volume 3, Section 4.0
  - Core Dossier Outline: 4.1.2.4
    - Note word counts – key is to synthesize!
  - OAA Forms: https://oaa.osu.edu/policies-guidelines-forms
- Your outline should match that of the handbook and what is displayed by VITA

**What About VITA?**
- We encourage the use of VITA but it is not required
- Regardless, you will still be permitted to download the Word document from VITA (unless we receive contradictory guidance, but that is not anticipated).
  - Keep in mind that if you make changes in the Word document, it will not be captured in VITA for further reviews
  - Some of the pre-populated materials from VITA can be useful (e.g. the teaching tables)

**Narrative Considerations**
- Read the prompt and determine the parts needing to be addressed
- Example: Teaching Question 6 – Core Dossier
  - “Brief Description of your approach to and goals in teaching, major accomplishments, plans for the future in teaching”
    - There are three to four parts here:
      - Approach to teaching
      - Goals in teaching (could be woven into the first part on approach to teaching)
      - Major accomplishments
      - Plans for the future
    - Narratives should highlight key examples, not all examples
      - Synthesize, synthesize, synthesize
Narrative Considerations: Distribution of Effort

- Issue unique to CFAES because we have federal and state capacity funding for research and Extension

- Definitions
  - Distribution of Effort (DOE): Describes the expectation of how time is to be spent relative to other aspects (mission areas) of the appointment
    - For example, a candidate with a 65% teaching/35% research DOE would be expected to do more teaching than research and the case should be reviewed appropriately
  - Salary Distribution: Indicates the sources of money from where the candidate’s salary is paid
    - It may OR may not align with the Distribution of Effort
    - A faculty member may not know their salary distribution (and that’s OK)
  - For Discovery Themes hires: DTs are part of your salary not part of your DOE

- Take note that different TIUs will report DOE differently (and some not at all)
- Regardless of how your TIU handles this, clarity of expectations across areas is important
- Repeat your DOE % throughout your narratives
  - “Given my X% teaching appointment, I am expected to teach 3 classes per year…”

Committee Operations (CFAES APT, Page 26)

“In evaluating the candidate’s qualifications in teaching, scholarship, and service, reasonable flexibility shall be exercised, balancing, where the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. Considerations of the university’s new fields of endeavor, including interdisciplinary endeavors and places new emphases on its continuing activities, instances will arise in which the proper work of faculty members may depart from established academic patterns. In such cases, care must be taken to apply the criteria with sufficient flexibility. In all instances, superior intellectual attainment, in accordance with the criteria set forth in these rules, is an essential qualification for promotion to tenured positions. Clearly, insistence upon this standard for continuing members of the faculty is necessary for maintenance and enhancement of the quality of the university as an institution dedicated to the discovery and transmission of knowledge.”

Timeframe of Reviews (OAA Handbook, Volume 3)

4.1.2.2 Time frame
Revised: 07/14/17, 06/26/18, 06/18/19, 8/15/21
For the core dossier for teaching and service sections, use the date of hire for probationary faculty, or date of last promotion 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 date of last promotion if it believes such information would be relevant to the review. Where included, the candidate should clearly indicate what material is work completed since the date of the mandatory review and what material is from prior to the 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 record and demonstrates scholarly independence. As with teaching and service, information about scholarship produced prior to the date of hire or date of last promotion may be provided, it is the scholarship performance since the date of hire or date of last promotion that is to be the focus of the evaluating parties.

Narrative Considerations

- Impact
  - What has changed or improved as a result of my work in teaching, research and/or Extension/outreach?
  - Impact can be scientific/research-related or applied/pragmatic
- Trajectory
  - Is there clarity in regard to my future productivity?
  - How does my current work inform me of my future work?
- Clarity
  - Does someone else understand my discipline’s norms so that impact and trajectory are clear?
    - Examples: authorship, what is considered top tier journal(s) in my discipline, time commitment on a lab- or experiential-heavy course, prestige of an award
  - Clarity also includes economy of language (you want colleagues to read your narratives, not skim them)
Does this communicate impact?

• For ASE 5230, my average SEI score is 4.3 out of 5.0.
• Based on changes I made in my class, I was able to increase my SEI score for ASE 5230 from a 3.7 to 4.3.
• The first time I taught ASE 5230, I had a SEI average of 3.7. After reviewing my comments and peer review, it was clear that I needed to streamline my assignments. After those improvements, my SEI score increased to a 4.3 and students were using the new final assignment as a portfolio piece for job interviews.

• Since my hire, I’ve been able to publish 14 peer-reviewed journal articles.
• Since my hire, I’ve published 14 peer-reviewed journal articles, three of which are published in journals with impact factors greater than 4.0.
• Since my hire, I’ve published 14 peer-reviewed journal articles, three of which are published in journals with impact factors greater than 4.0. Ten of the 14 articles focus on my work in ______, which led to three invited presentations regarding ______.*

*Review your TIU APT for evidence of excellence (e.g. impact factors of the journal, citations)

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Does this communicate trajectory?

• I developed the ___ Extension program to meet the needs of producers in northwest Ohio. Over the last 4 years, I presented to 351 producers across 8 counties.
• I developed the ___ Extension program to meet the needs of producers in northwest Ohio. Based off of ___ (a needs assessment, community focus groups, etc.) Over the last 4 years, I presented to 351 producers across 8 counties.
• I developed the ___ Extension program to meet the needs of producers in northwest Ohio. Based off of ___ (a needs assessment, community focus groups, etc.). When I first presented the program, I presented to 53 producers across 7 counties. From participant and peer feedback, I improved the program to include ___. Given positive feedback, I presented to 193 producers across 8 counties for a total of 351 producers over 4 years and have been requested to share my materials with two other states.

• I received the Mad Scientist Award for Excellence in Research from ___ in 2020.
• I received the Mad Scientist Award for Excellence in Research from ___ in 2020. This award is given to faculty who have a novel discovery based on their research.
• I received the Mad Scientist Award for Excellence in Research from ___ in 2020. This award is given to faculty who have a novel discovery based on their research. It is atypical for an Assistant Professor to receive this award. The last time this occurred was in 2012.*

*clarity tends to also help with impact and/or trajectory

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How Do I Capture COVID-19 Related Issues?

1. Be as forthright with your COVID impacts as you are comfortable
   1. What weren’t you able to accomplish?
   2. What changed?
   3. What did you have to do that you typically didn’t have to do?
2. SEI’s language from OAA
3. Consider bracketing SEI scores from pandemic semesters if the difference is “significant”
   1. For example: “My SEI score average is 4.2. When reviewing averages from Spring 2020 during the COVID-19 pandemic, my 2 courses averaged 3.8. When removing the Spring 2020 SEI scores as an outlier, my average is 4.4.”
4. Consider requesting peer reviews that help contextualize teaching struggles (not telling peers what to say – ask for their focused attention)
5. For presentations affected by COVID-19
   1. Denote in annotated section of the entry
   2. Be clear about the nature of the situation: “due to a cancellation of the conference” or “due to a significant delay in the conference” or “due to university travel restrictions”

Final Thoughts

- **The candidate** owns the presentation of the core dossier, not your TIU head, senior faculty or staff supporting P&T
  - However, if faculty are truly invested in the future of the TIU, as much (or more) emphasis should be places on mentoring as these evaluative processes
- Reach out if you need help or support – we want you and the candidate to feel successful
- Candidates should seek clarity around P&T from your TIU Head and/or your P&T committee chair/members
- If candidates have questions about their rights in the process, they should not hesitate to reach out to their TIU Head or the Senior Associate Dean