

## 2021-22 PT CHECKLIST

### FOR DEPARTMENT HEADS & CHAIRS OF PERSONNEL COMMITTEES

#### I. Seeking External Peer Review Letters for Tenure and Promotion Actions

First and foremost, the candidate must sign the waiver forms, either waiving or not access to peer reviewer letters (see last page of the RPT P&P) or to internal reviews. Do not coerce the candidate to waive--Nor should you give advice as to the “correct” choice. The waiver is part of the rpt file, included with the external review letters. Do not solicit external peer review letters without a signed waiver form.

- Possible peer reviewer lists should be developed, one by the candidate, and one by the department head/personnel committee. The candidate may also specify the names of persons who should not be considered as possible reviewers, provided they provide a valid personal or professional reason for the exclusion.
- From the two lists select a group of *at least* three reviewers in a fair and impartial way – random is not necessarily either. More than three is strongly recommended!
- The candidate should not have any involvement with the choice of reviewers beyond supplying their list.
- Do not include reviewers from OSU.
- Do not include the candidate’s advisors, mentors, co-authors or co-investigators; reviewers should be at “arm’s length”
- See p. 11 of P&P re: descriptions of reviewers, review letters etc.
- Reviewers should come from peer or aspirational institutions.

- Reviewers must have a faculty rank of at least that sought by the candidate.
- Provide the candidate with a copy of the template letter to the reviewers as well as a list of materials being sent to the reviewers. *[In addition to the unit's RPT document, the materials will include the candidate's CV, their self-assessment statement, and any evidence of creative and scholarly achievements accomplished during their probationary period that they wish to include.]* Specific guidance should be given to the external reviewer, including the expectation that the reviewer "should provide an assessment of the candidate's creative and scholarly activities."

## **II. Assemble the Initial File—for all RPT Actions**

Candidate and Head assemble the RPT file together

Both review "**Development of the RPT Document File**" p. 2 **checklist items b – g**

- b. **Initial appointment documents** including position description (required only for those who have not yet been awarded tenure).
- c. **A statement describing the work assignment** within the University (teaching, research, extension, service, administration, and/or advisement) during the time period considered for this personnel action. A summary of percentages for each category of activity should be included.
- d. **Annual appraisal and development documents** prepared during the period considered for this personnel action, including an early A&D.
- e. **Written statements, if any, documenting either special achievements or deficiencies** related to the personnel action under consideration.
- f. **Records of sabbatical or other periods of leave** (not to include annual leave).
- g. **Copies of applicable departmental policies and procedures for reappointment, promotion, and/or tenure decisions.** Major revisions of the above which have occurred during the tenure of the faculty member and which may influence this personnel action must be indicated.

Head is expected to review the candidate's vita. Make sure it is well-organized and that it clearly indicates authorship, especially since the meaning of order of authorship varies dramatically by discipline. Head should also ensure that the candidate's vita clearly indicates their role in grants as well as the portion of grant dollars attributable to their role in the grant.

Head makes sure that the candidate has all of the required documents.

Head informs the candidate that their vita may be replaced with a more

current version at the time of final departmental consideration (January)

- Item d. For tenure/promotion to Associate Professor be sure to include all A&Ds from initial hire. For promotion to Professor, CAS requires the past five A&Ds (including the early A&D)
- Item g. Include one and only one departmental RPT document. Which document to use needs to be in accord with the Statement on Grandfathering Modified RPT Standards for Tenured/Tenure-Track Faculty. *Note:* If you have more than one candidate, then different departmental RPT documents may be used for different candidates.
- Candidate must sign the “**Development of the RPT Document File**” p. 3 top, checklist item d. before the file is reviewed by the Personnel Committee

### III. Early A&D

- An early A&D for the full past calendar year must be completed in December or by early January *at the very latest*.
- The early A&D may be disputed by the candidate as per P&P for A&Ds.
- This early A&D is not forwarded separately to the Dean for signature, but instead is added to the RPT document file without the Dean’s signature.

### IV. Initial Personnel Committee Review

- Personnel Committee may initiate review as soon as the candidate signs the “**Development of the RPT Document File**” form (indicating that the contents of the file is complete).
- Personnel Committee may not formulate their final letter prior to receipt of the latest A&D (see above).
- The Personnel Committee is responsible for soliciting input from all departmental faculty via the mechanism specified in your RPT document. Before this occurs, the candidate must sign a waiver,

either waiving or not access to any internal comments.

## **V. Personnel Committee Letter of Recommendation**

- Once the complete file is received by the Personnel Committee, it should begin to formulate its letter of recommendation. As applicable, the very latest vita should be obtained from the candidate and included in the RPT dossier.
- The letter must give the numerical vote of the Personnel Committee on their recommendation.
- If the vote is not unanimous, then all minority views must be included in the final letter.
- The letter needs to “make the case” for the audience, which will comprise faculty outside of the discipline.
- Do not refer to peer review letters by using the name of peer review or their institution, but only by number.
- A copy of the letter is given to the candidate at the time the original is given to the Department Head.
- Personnel Committee’s job is done after the cover page [summary form] has been signed by the chair of the committee.
- The Personnel Committee must complete their work before the last week of January in order to give the DH sufficient time to write their letter.

## **VI. Department Head**

- If Personnel Committee’s letter is negative, allow the candidate to rebut in a letter to the Head (contact the Associate Dean of Personnel in this event); this letter of rebuttal becomes part of the candidate’s RPT file.
- Head writes a letter, indicating that they are for or against the RPT action. The Head needs to “make the case” for the audience,

which are faculty not in the discipline.

- If the Head's letter is negative, the candidate may rebut it in a letter to the Dean.
- If the unit administrator's recommendation is for non-reappointment, the documentation file should be sent forward to the dean along with a DRAFT copy of the non-reappointment letter.
- Department Head must complete their letter and submit the file to the Dean's office by/before February 1.

Head's job is done after the cover page [summary form] has been signed, copies of the letter delivered to the candidate and Personnel Committee, and the original RPT file delivered to the Dean's Office (parts to be assembled in the order indicated below).

### III. ASSEMBLE THE FINAL FILE

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1. Summary form [signed and dated at each review level]
  2. Recommendation of the Head
  3. Recommendation of the Personnel Committee
  4. Development of the RPT Document File pages 1-3 (with signature from candidate on page 3)
  5. Items b-g of page 2 of the form above:
    - b. **Initial appointment documents** including position description (required only for those who have not yet been awarded tenure).
    - c. **A statement describing the work assignment** within the University (teaching, research, extension, service, administration, and/or advisement) during the time period considered for this personnel action. A summary of percentages for each category of activity should be included.
    - d. **Annual appraisal and development documents** prepared during the period considered for this personnel action. (For tenured

faculty, only the documents for the three most recent formal appraisals need be included.)

e. **Written statements, if any, documenting either special achievements or deficiencies** related to the personnel action under consideration.

f. **Records of sabbatical or other periods of leave** (not to include annual leave).

g. **Copies of applicable departmental policies and procedures for reappointment, promotion, and/or tenure decisions.** Major revisions of the above which have occurred during the tenure of the faculty member and which may influence this personnel action must be indicated.

6. Current vita
7. Self-assessment statements
8. All letters (numbered) received from peer reviewers (for tenure and promotion cases). *Minimum of 3.*
  - A copy of the form letter sent to them
  - A copy of their CV or a brief description of each reviewer, their credentials, and their relationship (if any) to the candidate.
  - A copy of the signed waiver.