

## Directions for Preparing and Submitting Fourth Year Review Materials 2022-2023

Revised January 27, 2023

The following directions provide important information about fourth year reviews for assistant professors in the college and how to submit materials for review by the divisional review panels and the college dean. The deadline for submission is **March 31, 2023**. A summary of all links embedded in the document is available at the end of the document.

### Timetable:

- February 1, 2023: Suggested date for candidates to submit dossiers for departmental/school review (may be adjusted in line with unit schedules)
- March 10, 2023: Suggested final date for units to schedule meeting of eligible faculty to conduct reviews
- March 17, 2023: Suggested final date for TIUs to send review letters to candidates for comments
- March 27, 2023: Suggested final date for candidates' comment period on the TIU review
- **March 31, 2023: Dossiers due to the college**
- May 16, 2023: Target date for college to notify candidates of final results of the review

### Context and General Information:

As defined in the rules of the university faculty and in the [OAA Annual Review Policy](#), fourth year reviews are annual reviews for probationary faculty who are in their fourth year of service.

In general, the fourth-year review should occur two years before the mandatory tenure review, which occurs in the sixth year of service. For example, a faculty member who was appointed as Assistant Professor in 2019-2020 will be scheduled for a fourth-year review in 2022-2023 and a mandatory promotion and tenure review in 2024-2025.

There is not an option of an "early" fourth year review. A fourth-year review can occur at a time other than the chronological fourth year only in the following circumstances:

- 1) formal prior service credit approved by the college and OAA at the time of hire (years at another institution that count toward the four years);
- 2) an exclusion of time (extension of the tenure clock): the candidate may request that the fourth-year review be held at the normally scheduled time or two years before the extended mandatory promotion and tenure (P&T) date;
- 3) extended probationary period due to a part-time appointment (but must occur at least two calendar years prior to the mandatory promotion and tenure review year).

If the TIU wishes to review a candidate prior to the scheduled fourth year review, there is the option to do a non-mandatory promotion and tenure review in any year prior to the sixth year, even if this is before the fourth year. If this review is negative, the candidate may still be



reappointed for another year and the mandatory review date does not change. It is also an option to do a non-mandatory P&T review the fall immediately following the fourth-year review (i.e., in the fifth year).

Any annual review (in years 1, 2, 3, or 5) in which a chair recommends not to reappoint a faculty member for another year will follow fourth year review procedures. This includes submission of a full dossier that must be reviewed by the TIU eligible faculty, who vote on whether to reappoint, by the TIU head, and then by the relevant college review panel and by the college dean. The decision not to reappoint a probationary faculty member terminates the tenure-track appointment. Such cases should adhere as closely as possible to the March 31 deadline; specific questions about the process for such cases should be directed to [Shari Speer](#).

Faculty Rule [3335-6-04](#) states that “the fourth year review of probationary tenure-track faculty shall follow the same process as the review for tenure and promotion at the tenure initiating unit and college levels with two exceptions: Solicitation of external letters of evaluation may or may not be required by the tenure initiating unit and review by the college promotion and tenure committee shall be optional in all cases where both the tenure initiating unit and the dean approve the renewal of the appointment. Renewal of the appointment of a probationary assistant professor for the fifth year requires the approval of the dean of the college. Before reaching a negative decision or a decision contrary to the tenure initiating unit's recommendation, the dean must consult with the college promotion and tenure committee.”

The college and divisional deans have decided to exercise the option of having the advice of college review panels for all fourth-year reviews, as this provides valuable feedback to the faculty members under review and their TIUs. The deans have delegated to the TIUs the decision of whether to solicit external evaluator letters. There should not be substantial overlap between the sets of external evaluators for fourth- and sixth-year reviews.

### Process:

The candidate prepares a core dossier that lists activities since appointment to the tenure track. **In 2022-2023, it is recommended that candidates use the current VITA tool (<https://vita.osu.edu/#>). Dossiers generated in VITA may be downloaded in Microsoft Word format for final editing as needed. OAA guidance specifies, “reviews for promotion may either use VITA or a Word document that exactly matches the VITA format.”**

The chair of the eligible faculty in a department or school (TIU), working with the Procedures Oversight Designee (POD), is responsible for making sure that the core dossier submitted by the candidate for fourth year review is complete, that citations are listed only once, and that the citations are verified. This should be documented by using OAA form 105. The candidate is responsible for the content of the core dossier and should sign page 1 of form 105 BEFORE the eligible faculty committee review.

The TIU is also responsible for collecting and maintaining any copies of scholarship (e.g., articles, books, digital works, including recordings of creative activity) submitted for the purposes



of verification or for the review of the TIU faculty and chair. These supplementary materials are NOT submitted to the college.

If the candidate has a joint appointment in another unit or is a core faculty member of a Discovery Theme focus area, the chair or director of the TIU is responsible for soliciting a letter from the head of the secondary unit or Discovery Theme focus area leader for inclusion in the dossier prior to review by the TIU committee of eligible faculty.

The TIU must retain in the faculty member's personnel file all annual review and peer evaluation of teaching letters that are generated during the probationary period and include these in the dossier for the fourth-year review. Any comments on these documents by the faculty member must also be retained and included. The TIU is also responsible for retaining the letters generated during the fourth-year review (letters from the regional campus faculty committee and regional dean, if appropriate, the chair of the eligible faculty, the TIU head, the college review panel, and the college dean). The TIU must also include these letters in the dossier submitted for the promotion and tenure review.

As indicated in the OAA Faculty Annual Review policy, the comments process for fourth year reviews is similar to that for the sixth year (mandatory) tenure review. TIUs must provide assistant professors with the opportunity to comment on the TIU review letters (the letter summarizing discussion of the eligible faculty and the TIU head's letter), with a 10-day deadline, before sending to the college. After the dean's decision is complete, the college panel and dean letters are provided to the candidate, who is notified of the opportunity to comment on the college letters, with a 10-day deadline.

The college will make every effort to complete its reviews and notify the candidates no later than May 16, 2023. Probationary faculty who are not being renewed must be notified by May 28, 2023, in order to follow the standards of notice established in the faculty rules.

### College Submission Guidelines:

The following process applies to all fourth-year reviews of assistant professors and must be completed no later than **Friday, March 31, 2023**:

**Submit one (1) PDF copy of the complete dossier to the college via your unit's private Teams channel (in the folder labeled Fourth Year Reviews 2022-2023).** Chairs and directors should send the name and email address of the person who will be uploading this material to [Toni Calbert](#).

The PDF must include [colored divider sheets](#) marking boundaries between the main sections of the dossier in accordance with OAA guidance. Name the file using the following format: *DEPARTMENT/SCHOOL NAME Last Name, First Name.pdf*. For example: ECONOMICS Smith, Jacqueline.pdf.

***Please note: physical copies of the dossier are no longer needed.***



The dossier should include the following documents:

Record of Review ([Form 109](#)) including information about joint appointments and years excluded, as appropriate)

Dossier checklist ([Form 105](#)) signed by the candidate on p. 1; the Procedures Oversight Designee, P&T chair, or other person charged with verifying citations on p. 3; and the Procedures Oversight Designee on p. 4. Disregard the checklist items regarding external letters except when a department has elected to solicit them. This checklist and all other P&T forms are available at <https://oaa.osu.edu/policies-guidelines-forms>.

In reporting “the total faculty participating in the meeting” on page 4, the POD should **not** include the chair or director if she or he attended the meeting. The purpose of this number is to determine if the quorum of faculty required for the vote has been met, and chairs and directors are not included in setting quorum. The numbers listed on p. 4 regarding the percentage for a positive vote and quorum should be the same as listed in the Appointment, Promotion and Tenure (APT) document.

A copy of the APT document should be included after the Dossier Checklist ONLY if the version used was not the same as the one posted at <http://oaa.osu.edu/governance.html>. Assistant professors have the option to be evaluated under the APT in effect at the time of their appointment if it is different from the current one. They should inform the TIU head of this request at the time of submission of the core dossier to the TIU. Retaining copies of older versions of the APT is the responsibility of the TIU.

## **Dossier Outline:**

**Record of Review** (Form 109)

**Dossier Checklist** (Form 105)

**I. Introduction** (provided by candidate)

**II. Core Dossier** (prepared by candidate using Vita) – step-by-step guidance is provided in the [OAA P&T handbook](#) (section 4)

## **III. Evaluation**

### **A. Internal Letters of Evaluation**

1. Annual review letters (all since date of hire)
2. Written comments submitted as part of annual reviews
3. Documentation of peer evaluation of teaching (include all that are available, in line with processes in TIU APT document, since date of hire)
4. Additional letters (optional)



**IV. Student Evaluation of Instruction** (see [SEI Report Access document](#))**A. Cumulative Fixed-Response Survey Data****B. Individual Fixed-Response Student Evaluation Data****C. Summary of Open-Ended Student Evaluations****V. Review Letters****A. Regional campus (if applicable)**

1. Regional campus faculty deliberative body (if applicable)
2. Regional campus dean (if applicable)

**B. TIU**

1. TIU faculty deliberative body
2. TIU head
3. Head of TIU or center for joint appointment or Discovery Theme Focus Area Leader (if applicable)
4. TIU-level comments process (comments generated or documentation that candidate declined to provide comments)

**C. College (to be added by college)**

1. College P&T Committee
2. College Dean
3. College-level comments process (comments generated or documentation that candidate declined to provide comments)

Departments and schools must insert a colored divider sheet between each of these sections. The college provides templates for [dividers for Fourth Year Reviews](#) on the ASC intranet. Note that the divider sheets for Fourth Year Reviews are different from sixth-year P&T divider sheets. They should **not** be used interchangeably.

External letters are not required unless specified by the unit APT and their inclusion is at the discretion of the TIU. If they have been solicited, the unit should use the [normal P&T divider](#) templates instead of the fourth year review divider templates, omitting content, but not dividers, for unneeded sections (e.g., III.A.3. Fourth Year Review Letter).

**Supplemental Materials:**

As indicated above, units are responsible for retaining any supplemental materials throughout the review process; they should not be sent to the college. These materials include copies of discursive student evaluations (only summaries should be provided in the dossier) as well as copies of books, articles, and digital and creative works. If the college needs to consult these materials, they will request them from the unit as the need arises.

Please direct any questions about dossier content to Shari Speer at [speer.21@osu.edu](mailto:speer.21@osu.edu). Please direct questions about assembling or submitting PDFs to Toni Calbert at [calbert.5@osu.edu](mailto:calbert.5@osu.edu).

**All materials are due to the College Office by Friday, March 31, 2023.**



**Helpful Links:**

[College Appointments, Promotion and Tenure materials](#)

[Departmental governance documents](#)

[OAA Annual Review Policy](#)

[OAA Handbook on Promotion and Tenure Review](#)

[OAA Promotion and Tenure forms](#)

