Directions for Preparing and Submitting Fourth Year Review Materials 2018-2019
Revised January 28, 2019

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 executive dean. The deadline for submission is April 2, 2019. A summary of all links embedded in the document is available at the end of the document.

Timetable:

- February 1, 2019: Suggested date for candidates to submit dossiers for departmental/school review (may be adjusted in line with unit schedules)
- February/March 2019: TIU dossier check/meetings of eligible faculty
- March 19, 2019: Suggested final date for units to schedule meeting of eligible faculty to conduct reviews
- March 22, 2019: Suggested final date for TIUs to send review letters to candidates for comment
- April 1, 2019: Suggested final date for candidates’ comment period on the TIU review
- **April 2, 2019: Dossiers due to the college**
- May 17, 2019: 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 2015-16 will be scheduled for a fourth year review in 2018-19 and a mandatory promotion and tenure review in 2020-2021.

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 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. That is, in addition to the chair’s letter, the faculty member’s materials must be reviewed by the TIU eligible faculty, who vote on whether to reappoint, and then by the relevant college review panel and by the executive dean. Such cases should adhere as closely as possible to the April 2 deadline; specific questions about the process for such cases should be directed to Tina Henkin (henkin.3@osu.edu).

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 deans have decided that they do not wish to solicit external letters (exceptions must be spelled out in departmental governance documents) and do wish to exercise the option of having the advice of the college review panels in all fourth year reviews. This review by the college panels also provides valuable feedback to the faculty members under review. For this reason, all assistant professors having a fourth year review in 2018-19 will have their materials reviewed by the college review panels, which are convened by the divisional deans, and by the executive dean.

Process:

The candidate prepares a core dossier that lists activities since appointment to the tenure track. In 2018-2019, candidates may use either Word version of the OAA dossier outline or the new Vita tool (https://vita.osu.edu/#). Dossiers generated in Vita may be downloaded in Word format for final editing as needed.

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.
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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 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 chair of the eligible faculty, TIU head, divisional dean, and executive 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 “identical to that for the Sixth-Year (mandatory) tenure review. Promptly after a decision is reached on the first and the second level of review respectively, the candidate is informed in writing that the following material is available and the comments process begins. The 10-day deadline, one round at each level, must be observed. The Fourth-Year Review differs at the second level from the comments process of the Sixth-Year (mandatory) tenure review in that the material on which the candidate is asked to comment is the college committee’s letter, if the committee reviewed the case, and the dean’s letter to the TIU head reporting the college level outcome, since the dean does not write to the provost.”

TIUs must therefore provide assistant professors with the opportunity to comment on the TIU review letters (letter summarizing discussion of the eligible faculty and the TIU head’s letter), with a ten-day deadline, before sending to the college.

The college will make every effort to complete its reviews and notify the candidates no later than May 17, 2019. Probationary faculty who are not being renewed must be notified by May 31, 2019, in order to follow the standards of notice established in the faculty rules.
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College Submission Guidelines

The following two-step process applies to all fourth year reviews of assistant professors and must be completed no later than Tuesday April 2, 2019:

Step 1: Submit ONE (1) single-sided paper copy of the dossier in a file folder to the assistant of the divisional dean for your TIU. On the tab of the file folder, provide a label with the year of review; the candidate’s name (last name, first name); and the Department/School. This paper copy will assist the deans in reading a large number of files and will serve as a reference if any pages are inadvertently missing from the PDF (see below).

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 in the rare instance when a department has been approved to solicit them. This checklist and all other P and 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.
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Dossier Outline:

Record of Review (Form 109)
Dossier Checklist (Form 105)

I. Introduction (provided by candidate)

II. Core Dossier (prepared by candidate using Vita)

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
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 (letters generated or documentation that candidate declined to provide comments)
C. College
   1. College P&T Committee (to be added by college)
   2. College dean (to be added by college)
   3. College-level comments process (to be added by college)

Departments and schools must insert a piece of colored paper (section divider) between each of these sections. The college provides templates for these dividers that should be downloaded and then printed on colored paper. Do not staple or paperclip anything.
External letters are not required. If they have been solicited, they should be included after the peer reviews of teaching.

Step 2: Submit one (1) scanned PDF copy of the paper copy to the college via Buckeye Box (labeled fourth year reviews) at box.osu.edu. Chairs and directors should send ASCfacultyaffairs@osu.edu the name of the person who will be uploading this material.

Scan the dossier as a single-sided document, using colored sheets of paper between the main sections of the dossier as described above. Name the file using the following format: DEPARTMENT/SCHOOL NAME- Last Name, First Name.pdf. For example: ECONOMICS-Smith, Jacqueline.pdf.

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 Tina Henkin at henkin.3@osu.edu. Please direct questions about assembling or submitting PDFs and hard-copy dossiers to the assistant of your divisional dean.

All materials are due to the College Office by Tuesday April 2, 2019.

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

University Faculty Rules

Peer Review Procedures