



Faculty Annual Review

Academic Affairs

Applies to: Faculty

POLICY

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An annual written performance review that looks both backward and forward is mandated for every continuing faculty member.

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Policy Details

1.1 Description of review process in Appointments, Promotion, and Tenure Document

Tenure-initiating units' (TIU) Appointments, Promotion, and Tenure (APT) Documents must establish procedures, required documentation, and timing of submission of documentation for annual and Fourth-Year Reviews of tenure-track faculty, annual and Penultimate Year Reviews of faculty on clinical and research appointments, and annual and reappointment reviews of compensated associated faculty.

If the head of a large TIU with sections or divisions wishes to delegate to section or division heads the handling of reviews, the arrangement must be described in the TIU's APT Document. The TIU head who delegates responsibility for reviews to division or section heads is accountable for the process and should maintain regular oversight of the reviews.

1.2 Purpose

The purposes of such a written performance review are as follows:

- Assist faculty in improving professional productivity through candid and constructive feedback and through the development of professional development plans that meet the joint needs of the unit and the faculty member.
- Establish the goals against which faculty performance will be assessed in the foreseeable future.
- Document faculty performance in the achievement of stated goals in order to determine salary increases and other resource allocations, progress toward promotion, and, in the event of poor performance, the need for remedial steps.

In addition, annual reviews of probationary tenure-track faculty serve to monitor progress toward tenure and determine whether the probationary appointment will be continued for another year or terminated, subject to the relevant standards of notice per Faculty Rule 3335-6-08.

1.3 Recommended procedures

The Office of Academic Affairs (OAA) recommends that the annual review process for probationary faculty at all campuses involve the tenured TIU faculty or a subset thereof.

OAA recommends that the review for regional campus tenured faculty be conducted first at the regional campus, with emphasis on teaching and service, and then in the TIU at the Columbus campus, with emphasis on research, scholarly, and creative activity.

OAA recommends that the annual review processes for probationary clinical and research faculty be similar or identical to tenure-track faculty, emphasizing review of the duties as assigned.

OAA recommends that the annual review process for compensated associated faculty being considered for reappointment involve the tenured faculty or a subset thereof.



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1.4 Required procedures

TIUs must maintain a current CV of all tenure-track, clinical, and research faculty members. These CVs should be in an accessible location where any faculty member may review them.

All faculty members must submit an annually updated documentation of performance and accomplishments to the TIU head (and regional campus dean, if applicable).

Documentation for probationary faculty must follow the format of the P&T core dossier outline established by OAA. OAA encourages all probationary faculty members to use Research in View (RIV) to upload and format this dossier; candidates undergoing Fourth-Year Review and mandatory tenure review are required to do so.

The review for regional campus probationary faculty must be conducted first at the regional campus, with emphasis on teaching and service, and then in the TIU at the Columbus campus, with emphasis on research, scholarly, and creative activity.

OAA requires all faculty at all levels to be reviewed annually by the TIU head or designee. Annual reviews of all faculty members must include a scheduled opportunity for a face-to-face meeting as well as a written assessment.

1.5 Culminating letter or other written report

TIU heads must include a narrative evaluation addressing the purposes of the annual review described in section 1.2 in the culminating letter or report. A perfunctory checklist lacking narrative, evaluative content does not meet this requirement.

The report must also inform the faculty member of the right to review his/her primary personnel file and to submit for inclusion in the file a written comment on any material contained therein.

Reports to a probationary faculty member must also include a statement informing the faculty member of the review outcome.

1.5.1 Minimum content

At a minimum the culminating letter or other written report must address the following (if applicable):

- Teaching and advising
- New course development
- Publications
- Funding
- Service
- Honors and awards

In addressing these activities, the letter or written report should distill the major accomplishments in these areas, summarize goals and strategies, and provide focused action steps. In general, OAA recommends that the letter be no longer than 2 – 3 pages.

2.0 Annual review of probationary faculty (except Fourth-Year Review)

Positive decisions by the TIU head are final for colleges with or without units and regional campuses.

Unit heads must forward a copy of the reappointment letter to their college dean. In the case of regional campus faculty, the regional campus dean/director must also receive a copy of the reappointment letter.



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Deans of colleges without units must forward a copy of the reappointment letter to OAA.

2.1 Fourth-Year Review of probationary faculty

All candidates for Fourth-Year Review must use RIV to upload and format their core dossiers.

2.1.1 Timing

The Fourth-Year Review takes place for most probationary faculty in the actual fourth year of service as an assistant professor at Ohio State. There is no such thing as an “early” Fourth-Year Review.

A TIU may not designate a review conducted in any year other than the actual fourth year as a “Fourth-Year Review,” except in the circumstances stated below:

- Formally approved prior service credit: The years of prior service credit are added to the years of Ohio State service to determine when the Fourth-Year Review will occur.
- Exclusion of time from the probationary period under Faculty Rule 3335-6-03 prior to the actual fourth year of service: The Fourth-Year Review is postponed by each year excluded from the tenure clock. If the Fourth-Year Review has already taken place when an exclusion of time is granted, it is not repeated.
- Extended probationary period due to a part-time appointment: The Fourth-Year Review may be postponed beyond the actual fourth year of service, but must occur at least two calendar years prior to the mandatory P&T review year.

Failure of a unit to conduct a mandatory Fourth-Year Review will result in a required exclusion of time from the probationary period and must be reported as part of the college’s annual update to the provost.

2.1.2 Approval levels

Reappointment after the Fourth-Year Review in colleges without units requires approval by both the dean and OAA, which makes the final decision on reappointment.

Submit one copy of the dossier to OAA for university-level review.

Reappointment of Columbus campus faculty after the Fourth-Year Review in colleges with units requires approval by the TIU head and the college dean, who makes the final decision on reappointment.

2.1.3 Procedures

Procedures are identical to Sixth-Year (mandatory) tenure review with two exceptions.

- External evaluations are optional. Department APT documents must indicate the criteria under which they will be solicited if they are not solicited in every case and who will make the decision about whether to solicit them.
- Review by the college P&T committee is optional when the TIU head and the dean agree on a positive decision to reappoint. Colleges must treat all such cases consistently. College APT documents must indicate how the college will proceed in such cases.

Reappointment of regional campus faculty after the Fourth-Year Review in colleges with units requires approval by the TIU head, regional campus dean/director, and the college dean, who makes the final decision on reappointment.



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2.1.4 Comments process

The comments process for the Fourth-Year Review 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.

2.1.5 Nonrenewal

In the case of a TIU head recommending nonrenewal of a probationary appointment, subject to the relevant standards of notice per Faculty Rule 3335-6-08, the review must follow Fourth-Year Review procedures.

In colleges without units, a recommendation to terminate a probationary member's appointment requires the approval of both the college dean and OAA, which makes the final decision.

In colleges with units, a recommendation to terminate a probationary faculty member's appointment requires the approval of both the TIU head and the college dean, who makes the final decision.

In the case of a regional campus faculty member, a recommendation to terminate a probationary faculty member's appointment requires the approval of the regional campus dean, the TIU head, and the college dean, who makes the final decision.

The Nonrenewal of Probationary Appointment or Denial of Tenure Form (Form 101) must be submitted to OAA, along with a copy of the nonrenewal letter sent to the faculty member, by June 1 of the year in which the nonrenewal decision occurs.

Nonrenewal usually precludes rehiring the individual (see Faculty Appointments Policy).

2.1.6 Withdrawing from or declining a review

Faculty members who withdraw from or decline to participate in a mandatory review in any probationary year are subject to the relevant standards of notice per Faculty Rule 3335-6-08. The decision to terminate a review must be accompanied by a letter of resignation from the faculty member to the TIU head (or regional campus dean) stating the following:

- last day of employment (no later than May 31 of the year following the review year)
- acknowledgement that the decision to terminate (withdraw from or decline participation in) the review is irrevocable

This action requires that the Nonrenewal of Probationary Appointment or Denial of Tenure Form (Form 101) be submitted to OAA, along with a copy of the faculty member's letter, by June 1 of the year in which the decision to terminate the review occurs.

OAA must keep accurate records of such actions since this decision, like nonrenewal, usually precludes rehiring the individual (see Faculty Appointments Policy).



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2.1.7 Submission deadlines

All Fourth-Year Reviews and any annual reviews with a nonrenewal recommendation by the deans of colleges without units or the director of libraries are due to OAA in spring semester on the same date when P&T cases are due.

The deans of colleges with units may establish due dates for receipt of these reviews in the college office.

3.0 Clinical and research faculty appointments

The initial appointment of all clinical and all research faculty is probationary regardless of academic rank at hire. The duration of the initial appointment defines the length of the probationary period.

Clinical faculty may have three- to five-year appointments.

Research faculty may have one- to five-year appointments.

The full text of terms and conditions of clinical and research faculty appointments is stated in Faculty Rule 3335-7.

3.1 Annual review of probationary faculty

3.1.1 Approvals

Positive decisions by the TIU head are final for both colleges with or without units.

Unit heads must forward a copy of the reappointment letter to their college dean; however, positive reappointment letters to another probationary year are not copied to OAA, unless they originate in a college without units.

3.1.2 Nonrenewals

In colleges both with and without departments, a decision by the dean not to renew a clinical or a research faculty member's appointment is final.

The Nonrenewal of Probationary Appointment or Denial of Tenure Form (Form 101) must be submitted to OAA, along with a copy of the nonrenewal letter sent to the faculty member, by June 1 of the year in which the nonrenewal decision occurs.

3.1.3 Appointment renewal of clinical and research faculty

There is no presumption of reappointment at the end of a given appointment period. No later than the beginning of a faculty member's penultimate year, a determination should be made as to whether the position (regardless of who fills it) will continue.

If the position will continue, the faculty member must undergo formal Penultimate Year Review so that the unit may determine whether it is appropriate to renew that individual's appointment to fill that position.

The review will follow the same procedures as a review for promotion in rank. The information below pertains solely to reporting review outcomes.

If the position will not continue, the faculty member should be so informed, subject to the relevant standards of notice set forth in Faculty Rule 3335-6-08. In this situation, a review is not appropriate.



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3.1.4 Approvals

In colleges both with and without departments, a decision by the dean to reappoint clinical and research faculty members is final. Positive decisions to reappoint clinical and research faculty will be approved by OAA without review, and forwarded to the Board of Trustees for final approval. Upon approval by the BOT, the clinical or research faculty member is no longer probationary.

For each positive decision to reappoint to a new term, submit to OAA an original signed "cover sheet" (Record of Review for Promotion in Academic Rank/Tenure/Reappointment Form, (Form 109). Submit the form only. Do not submit CV, dossier, or a copy of the reappointment letter.

3.1.5 Submission deadlines

The dean may establish due dates for receipt of these reviews in the college office.

4.0 Associated faculty appointments

Associated faculty may be appointed for up to three years. Associated faculty members on a second or subsequent three-year appointment may not be terminated mid-appointment except for cause.

4.1 Annual review of continuing faculty

4.1.1 Approvals

Positive decisions by the TIU head are final for both colleges with or without units.

4.1.2 Nonrenewals

In colleges both with and without departments, a decision by the TIU head not to renew an associated faculty member's appointment is final.

4.1.3 Appointment renewal

There is no presumption of reappointment at the end of a given appointment period. No later than October 15th of the last year of a multi-year appointment, a determination should be made as to whether the position (regardless of who fills it) will continue.

If the position will continue, the faculty member must undergo formal reappointment review so that the unit may determine whether it is appropriate to renew that individual's appointment to fill that position.

4.1.3 Standards of notice

If the position will not continue, the faculty member should be so informed, subject to the following standards of notice:

- Not later than March 1st of the 1st academic year of service, if the appointment expires at the end of that year; or if a one-year appointment expires during the academic year, at least three months in advance of its expiration;
- Not later than December 15th of the 2nd academic year of service, if the appointment expires at the end of that year; or if an appointment expires during the second academic year, at least six months in advance of its expiration; and



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- No later than October 15th of the final year of a three-year appointment.

Resources

- Faculty Appointments Policy, <http://oaa.osu.edu/assets/files/documents/facultyappointments.pdf>
- Nonrenewal of Probationary Appointment or Denial of Tenure Form, Form 101, <http://oaa.osu.edu/forms.html>
- OAA Policies and Procedures Handbook, <http://oaa.osu.edu/handbook.html>
- Record of Review for Promotion in Academic Rank/Tenure/Reappointment Form, Form 109, <http://oaa.osu.edu/forms.html>
- Research in View, <https://osu.researchinview.thomsonreuters.com/>
- Rules of the University Faculty, <http://trustees.osu.edu/ChapIndex/index.php>

Contacts

Subject	Office	Telephone	E-mail/URL
Annual review	Office of Academic Affairs	614-292-5881	http://oaa.osu.edu
Fourth-Year Review	Office of Academic Affairs	614-292-5881	http://oaa.osu.edu
Penultimate Year Review	Office of Academic Affairs	614-292-5881	http://oaa.osu.edu
Research in View	Office of the CIO		https://pro.osu.edu/index.cfm?action=contactus

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