



Applies to: Faculty

Responsible Office

Office of Academic Affairs

POLICY

Issued: 07/26/2004
Revised: 12/14/2018
Edited: 12/17/2018

An annual written performance review that examines performance over the prior year and sets goals for future performance is mandated for all compensated faculty. These annual reviews must be conducted by the tenure-initiating unit (TIU) head or designee and include a written assessment, a face-to-face meeting for all probationary faculty, and an opportunity for a face-to-face meeting for all other compensated faculty members at the request of either the TIU head or the faculty member.

Purpose of the Policy

Annual reviews of faculty serve to monitor progress toward tenure, promotion, reappointment, and ongoing outcomes. Written performance reviews serve to assist faculty in improving professional productivity, establish goals against which faculty performance will be assessed, determine salary increases and other resource allocations, define progress toward reappointment and/or promotion, and, in the event of poor performance, establish and explain the need for remedial steps.

PROCEDURE

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I. Review Process and Documentation Overview

A. Required Procedures

1. The Office of Academic Affairs (OAA) requires compensated faculty at all levels to be reviewed annually by the TIU head or designee. A 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.
2. In addition to a written assessment, annual reviews must include a face-to-face meeting between TIU heads and all probationary faculty. TIU heads are to offer all other compensated faculty the opportunity for a face-to-face meeting.
3. Faculty members may provide written comments to annual reviews.
4. The review for regional campus faculty must be conducted first at the regional campus, with an emphasis on teaching and service, and then with the TIU at the Columbus campus, with an emphasis on research, scholarly/creative activity, and service.
5. Annual reviews are to be conducted in accordance with the Appointments, Promotion, and Tenure (APT) documents of the TIU and, if applicable, the regional campus.
6. Annual reviews for all 12/12 appointed faculty must be completed by July 1. Annual reviews for all other faculty must be completed by May 15.

B. Recommended Procedures

1. OAA recommends that the annual review process for probationary faculty involve the tenured TIU faculty or a subset thereof.

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2. OAA recommends that the annual review for regional campus tenured-track 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/creative activity, and service.
 3. 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 and progress toward promotion, when applicable.
 4. OAA recommends that the annual review process for faculty members with appointments that include an MOU between another unit (center, TIU, discovery theme or other) and the TIU include feedback from that other unit head.
 5. OAA recommends that the annual review process for compensated associated faculty being considered for reappointment involve the tenured faculty of the TIU or a subset thereof.
- C. Required Documentation
1. Appointments, Promotion, and Tenure (APT) Document
 - a. The APT documents for each TIU must establish procedures, required documentation, and document submission deadlines 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.
 - b. If the head of a TIU with sections or divisions wishes to delegate to section or division heads the handling of reviews, the arrangement must be described in that TIU's APT document.
 2. Final Evaluation Letter or Other Written Report
 - a. TIU heads (and regional campus deans/directors when applicable) must include a narrative evaluation addressing the purposes of the annual review described in the Purpose of the Policy section above in the final evaluation letter or other written report, which provides the results of the review in writing. A perfunctory checklist lacking narrative, evaluative content does not meet this requirement.
 - b. The final evaluation letter or other written report must also inform faculty members of their right to review their personnel file and to submit for inclusion in the file a written comment on any material contained therein.
 - c. The final evaluation letter or other written report to a probationary faculty member must also include a statement informing the faculty member of the review outcome.
 - d. At a minimum, the final evaluation letter or other written report must address the following (if applicable):
 - i. Teaching and advising;
 - ii. New course development;
 - iii. Research, scholarship, or creative work plans;
 - iv. Publications/creative works;
 - v. Funding;
 - vi. Service, including efforts to foster diversity and inclusion in the unit;
 - vii. Honors and awards; and
 - viii. Continual development.
 - e. 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 to meet future goals and expectations, including for promotion. In general, OAA recommends that the letter be no longer than 2 – 3 pages.
 3. TIUs must maintain a current curriculum vitae (CV) of all tenure-track, clinical, research, and associated faculty members within that TIU. These CVs should be kept in an accessible location where any faculty member may review them.
 4. Probationary and associate professors must submit annually updated documentation of performance and accomplishments in dossier format to the TIU head (and regional campus dean, if applicable). All other faculty must submit annually updated documentation of performance and accomplishments in curriculum vitae format to the TIU head (and regional campus dean, if applicable).

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5. All probationary faculty, including candidates undergoing Fourth-Year Review and mandatory tenure review, must use the university-approved P&T core dossier format to upload and format their dossiers.

II. Probationary Tenure-Track Faculty

A. Types of Reviews

1. Mandatory reviews of probationary faculty include annual reviews, Fourth-Year Reviews, and Sixth-Year Reviews.

B. Annual Appointments

1. Positive decisions by the TIU head are final for colleges with or without units and for regional campuses.
2. 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.
3. Deans of colleges without units must forward a copy of the reappointment letter to OAA.

C. Fourth-Year Review of Probationary Faculty

1. All candidates for Fourth-Year Review must use the university-approved dossier format to upload and format their core dossiers.
 2. Timing
 - a. The Fourth-Year Review takes place for most probationary faculty in the actual fourth year of service as an assistant professor at Ohio State. An “early” Fourth-Year Review does not exist.
 - b. 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.
 - i. 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.
 - ii. Exclusion of time from the probationary period 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.
 - iii. 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.
 3. Procedures
 - a. The procedures for the Fourth-Year Review are to follow the same process as those for the Sixth-Year (mandatory) tenure review as set forth in [Faculty Rule 3335-6-04](#), with the following two exceptions:
 - i. 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.
 - ii. 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.
 - b. Should the regional campus dean/directors recommendation differ from that of the TIU head or the college promotion and tenure committee, the college or divisional dean will convene a meeting with the regional campus dean/director to discuss the case. The decision of the college dean will be final.
 4. Failure to Conduct Fourth-Year Review
 - a. Failure of a college 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.
- ### D. Approval Levels for Reappointment after Fourth-Year Review
1. Reappointment of Columbus campus faculty after the Fourth-Year Review requires approval by the TIU head and the college dean. The college dean makes the final decision on reappointment.
 2. Reappointment of regional campus faculty after the Fourth-Year Review requires approval by the TIU head and the college dean. The college dean makes the final decision on reappointment.

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3. College units are responsible for sending the candidate's dossier to University Archives for appropriate retention. Colleges must send a report of all of its decisions on reappointment to OAA.

E. Comments Process

1. The comments process for the Fourth-Year Review generally follows the same process as that for the Sixth-Year (mandatory) tenure review as set forth in [Faculty Rule 3335-6-04](#).
2. Promptly after a decision is reached on the first and the second levels of review respectively, the candidate is informed in writing that the faculty report and unit head's assessment letter are available and the comment process begins. Upon notice of completion of the review at each level, the candidate has ten days to provide written comments for inclusion in the dossier.

F. Nonrenewal

1. In the case of a TIU head recommending nonrenewal of a probationary appointment, the review must follow Fourth-Year Review procedures, subject to the relevant standards of notice set forth in [Faculty Rule 3335-6-08](#).
2. A recommendation to terminate a probationary faculty member's appointment requires the approval of the college dean, who makes the final decision.
3. 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. The college dean makes the final decision.
4. In colleges without units, a decision of the dean to terminate a probationary faculty member's appointment requires approval by the provost. The college is to submit one copy of the dossier to OAA for university-level review.
5. The [Nonrenewal of Probationary Appointment or Denial of Tenure Form](#) must be submitted to OAA, along with a copy of the nonrenewal letter sent to the faculty member, by May 31 of the year in which the nonrenewal decision occurs.
6. Nonrenewal usually precludes rehiring the individual (see [Faculty Appointments](#) policy).

G. Withdrawing From or Declining a Review

1. 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:
 - a. the faculty member's last day of employment (no later than May 31 of the year following the review year); and
 - b. an acknowledgement from the faculty member that the decision to terminate (withdraw from or decline participation in) the review is irrevocable.
2. This action requires that the [Nonrenewal of Probationary Appointment or Denial of Tenure Form](#) be submitted to OAA, along with a copy of the faculty member's letter, by May 31 of the year in which the decision to terminate the review occurs.

H. Submission Deadlines

1. Deans may establish due dates for receipt of Fourth-Year Reviews and any annual reviews with a nonrenewal recommendation in the college office.

I. Sixth Year Review Process

1. Mandatory reviews shall follow process as set forth under [Faculty Rule 3335-6-04](#).

III. Clinical and Research Faculty

A. Appointments

1. 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.
2. Clinical faculty may have three- to five-year appointments.
3. Research faculty may have one- to five-year appointments.
4. The full text of terms and conditions of clinical and research faculty appointments is stated in [Chapter 3335-7](#) of the Faculty Rules.

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5. There is no presumption of reappointment at the end of any given appointment period.

B. Annual Renewal

1. Positive decisions by the TIU head are final.
2. TIU heads in colleges with units must forward a copy of the reappointment letter to their college dean.
3. Deans of colleges without units must forward a copy of the reappointment letter to OAA.

C. Nonrenewal

1. A recommendation to not renew a probationary clinical or research faculty member's appointment requires the approval of both the TIU head and the college dean. The college dean makes the final decision.
2. The [Nonrenewal of Probationary Appointment or Denial of Tenure Form](#) must be submitted to OAA, along with a copy of the nonrenewal letter sent to the faculty member, by May 31 of the year in which the nonrenewal decision occurs.

D. Appointment Renewal for Probationary Faculty

1. No later than the beginning of a faculty member's penultimate year of an initial appointment term, the individual must undergo a review so that the unit may determine whether it is appropriate to renew that individual's appointment for a new appointment term. The review will follow the same procedures as a review for tenure-track faculty as set forth in [Faculty Rules 3335-6-03](#) and [3335-6-04](#).
2. Positive decisions to reappoint clinical and research faculty will be approved by OAA without review, and forwarded to the Board of Trustees (BOT) for final approval. Upon approval by the BOT, the clinical or research faculty member is no longer probationary.
3. For each positive decision to reappoint to a new term, the unit must submit to OAA an original signed "cover sheet" (see [Record of Review for Promotion in Academic Rank/Tenure/Reappointment Form](#)). Only the form should be submitted. The CV, dossier, and copy of the reappointment letter should not be submitted.
4. If the individual will not be renewed, the faculty member should be so informed, subject to the relevant standards of notice set forth in [Faculty Rule 3335-6-08](#).
5. All reappointment decisions are at the discretion of the college dean.

E. Appointment Renewal for Nonprobationary Faculty

1. For faculty in their second and subsequent appointment term, the individual must be informed as to whether a new appointment will be extended by the end of the penultimate year of each appointment period. A faculty member not being renewed must be informed according to the relevant standards of notice set forth in [Faculty Rule 3335-6-08](#).
2. An initial decision from the TIU head or the dean (in colleges without departments) to not reappoint the faculty member to another term requires a review by the eligible faculty, or a standing committee of the faculty, as determined and as set forth in the relevant college, school, or department APT document.
3. If the initial decision from the TIU head or the dean (in colleges without departments) is to reappoint the faculty member to another term, that decision will be final unless a more formal review is otherwise set forth in the relevant college, school, or department APT document.
4. All reappointment decisions are at the discretion of the college dean.

F. Submission Deadlines

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

G. Position Elimination

1. If a faculty member's position is eliminated, the faculty member must be so informed. In this situation, a review is not appropriate.

IV. Associated Faculty

A. Appointments

1. 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.

B. Renewal

1. There is no presumption of reappointment at the end of a given appointment period.

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2. 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.
 3. Positive decisions by the TIU head are final.
- C. Nonrenewal
1. A decision by the TIU head not to renew an associated faculty member's appointment is final.
- D. Standards of Notice
1. If the position will not continue, the university will, insofar as possible, observe the following standards of notice:
 - a. For an associated faculty member with a one-year or an initial multi-year appointment, not later than March 1 of the academic year, or three months in advance of the expiration of the yearly appointment term if the appointment expires during an academic year;
 - b. For an associated faculty member in the second year of an initial multi-year appointment, not later than December 15 of the second academic year of the appointment, or six months in advance of the expiration of the yearly appointment term if the appointment expires during an academic year;
 - c. No later than October 15 of the final year of a faculty member's (a) initial three-year appointment or (b) second or subsequent multi-year term appointment; and
 - d. For associated faculty with an initial three year appointment or in subsequent multi-year term appointments, eight months in advance of the expiration of the appointment term if the appointment expires during an academic year.
 2. Failure to give notice does not renew a faculty member's appointment.

Responsibilities

Position or Office	Responsibilities
Board of Trustees (BOT)	Provide final approval for reappointment of clinical and research faculty.
Candidates for Fourth-Year Review and Mandatory Review	<ol style="list-style-type: none"> 1. May withdraw from or decline to participate in a mandatory review in any probationary year; decision to terminate a review must be accompanied by a letter of resignation. 2. Submit dossier in a university-approved P&T format to TIU head.
Colleges	<ol style="list-style-type: none"> 1. Send dossiers to University Archives for appropriate retention. 2. Send report of all decisions on reappointment to OAA.
Deans	<ol style="list-style-type: none"> 1. Convene a meeting with the regional campus dean/director to discuss the case if the regional campus dean/directors recommendation differs from that of the TIU head or the college promotion and tenure committee. 2. Provide approval for reappointment after the Fourth-Year Review in colleges without units. 3. Make final decision on reappointment of Columbus campus faculty after the Fourth-Year Review in colleges with units. 4. Make final decision on reappointment of regional campus faculty after the Fourth-Year Review in colleges with units. 5. Make the final decision to not renew a clinical or a research faculty member's appointment. 6. Make final decision on a recommendation to terminate a probationary faculty member's appointment in colleges with units. 7. Make a recommendation to the provost to not reappoint a probationary tenure-track faculty in colleges without units. 8. May establish due dates for receipt of reviews in the college office.
Faculty members	Submit annually updated documentation of performance and accomplishments in curriculum vitae format to the TIU head.
Provost	Make final decision to not renew a probationary tenure-track faculty in colleges without units.

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Position or Office	Responsibilities
TIUs	<ol style="list-style-type: none"> 1. Include in Appointments, Promotion, and Tenure document established procedures, required documentation, and document submission deadlines 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. 2. Maintain a current curriculum vitae (CV) of all tenure-track, clinical, and research faculty members.
TIU heads	<ol style="list-style-type: none"> 1. Provide written assessment and annual reviews to all compensated faculty. 2. Include a narrative evaluation addressing the purposes of the annual review described in the Purpose of the Policy section above in the final evaluation letter or other written report. 3. Make final decision on positive annual appointments of probationary faculty. 4. Appoint associate faculty. 5. Ensure proper notice is given to faculty who are not reappointed. 6. Conduct face-to-face meetings with all probationary faculty. 7. Offer compensated faculty the opportunity for a face-to-face meeting.
Unit heads (in colleges with units)	<ol style="list-style-type: none"> 1. Make recommendation of nonrenewal of probationary faculty. 2. Forward a copy of the reappointment letter to the college dean.

Resources

Forms and Tools

Nonrenewal of Probationary Appointment or Denial of Tenure Form, Form 101, oaa.osu.edu/policies-guidelines-forms
 Record of Review for Promotion in Academic Rank/Tenure/Reappointment Form, Form 109, oaa.osu.edu/policies-guidelines-forms

Governance Documents

Faculty Appointments policy, [Faculty Appointments](#)
 General Records Retention Schedule, library.osu.edu/documents/records-management/general-schedule.pdf
 OAA Policies and Procedures Handbook, oaa.osu.edu/policies-and-procedures-handbook
 Rules of the University Faculty, <https://trustees.osu.edu/bylaws-and-rules/faculty-rules>

Contacts

Subject	Office	Telephone	E-mail/URL
Annual review; Fourth-Year Review; Sixth-Year Review; Reappointments	Office of Academic Affairs	614-292-5881	http://oaa.osu.edu

History

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