

**PATTERN OF ADMINISTRATION DOCUMENT FOR THE DEPARTMENT OF  
MOLECULAR GENETICS**

**Approved by:**

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## I. INTRODUCTION AND DEPARTMENT MISSION

**Introduction:** This document provides a brief description of the Department of Molecular Genetics (MOLGEN) as well as a description of its policies and procedures. It supplements the Rules of the University Faculty and other policies and procedures of the University to which the department and its faculty are subject. The latter rules, policies and procedures take precedence over statements in this document.

This Pattern of Administration (POA) is subject to continuing revision. It must be reviewed and either revised or reaffirmed on appointment or reappointment of the department chair. However, revisions may be made at any time subject to approval by the college office and the Office of Academic Affairs.

**Mission:** The missions of MOLGEN are formally designated as teaching, research, and service. The department is committed to providing an integrated approach to research and classroom and individualized instruction in molecular genetics. We aspire to use our knowledge and research and teaching expertise within the life sciences to serve the university, the professional community and the broader society in which we live.

The department provides education at the undergraduate and graduate levels in areas of classical genetics, biology, molecular biology, cell biology and developmental biology as well as allied areas that pertain to special topics of current faculty interest through a variety of programs including undergraduate courses in molecular genetics, plant, cell and molecular biology and the Center for Life Science Education (CLSE) and the graduate students in the MOLGEN graduate program and interdisciplinary graduate programs such as Molecular and Cellular and Developmental Biology (MCDB), Ohio State Biochemistry Program (OSBP), and the Biomedical Sciences Graduate Program. Education of students is addressed through formal lectures, seminar courses, laboratory exercises, tutorials, one-on-one or group discussions and demonstrations.

The research mission of the department is focused on the analysis of fundamentally important problems in genetics, molecular biology, cell biology and developmental biology using a broad array of research approaches encompassing disciplines of genetics, genomics, biochemistry, cell biology, development biochemistry, physiology and structure. The emphasis within the department is to exploit model organisms ranging from microbes to higher plants and animals to best make new discoveries and advance our understanding of how life forms work.

The service mission of the department encompasses all faculty activities that provide service to the department, The Ohio State University, other universities and scientific societies, private organizations, government agencies, the nation and humanity as a whole. Faculty members are committed to increasing public awareness of the importance of their research results and research focus areas by a variety of means, including publications, seminars and other informative public talk s, and patent applications. In all such activities the faculty are committed to facilitating the impact of their research to best benefit society.

The faculty continuously strive to improve the quality of their activities in the teaching, service and research arenas.

## **II. ACADEMIC RIGHTS AND RESPONSIBILITIES**

In April 2006, the university issued a reaffirmation of academic rights, responsibilities, and processes for addressing concerns. This statement can be found on the Office of Academic Affairs website, <http://oaa.osu.edu/rightsandresponsibilities.html>.

## **III. PATTERN OF DEPARTMENTAL ADMINISTRATION**

### **A. Overview of Departmental Administration and Decision-Making**

Policy and program decisions are made in a number of ways: by the department faculty as a whole, by standing or special committees of the department, or by the chair. The nature and importance of any individual matter determines how it is addressed. Department governance proceeds on the general principle that the more important the matter to be decided, the more widespread the agreement on a decision needs to be. Open discussions, both formal and informal, constitute the primary means of reaching consensus on decisions of central importance.

Matters of the most fundamental importance are dealt with first in one of the standing or ad hoc committees and then in a full departmental meeting. This is the case, for example, for all important policy matters for which the chair will consult with the faculty as a whole. Such consideration will, whenever practicable, be undertaken at a meeting of the faculty as a whole. Matters of less importance or of a more specific nature may be decided by the committees themselves or by the chair. Any topic and related decision may be brought for review to a full departmental meeting by being placed on the meeting agenda by the department chair, the committees, or an individual member of the faculty.

### **B. Administrative Duties of the Chair**

The primary responsibilities of the chair are set forth in Faculty Rule 3335-3-35 (C) (<https://trustees.osu.edu>). This rule requires the chair to develop, in consultation with the faculty, a Pattern of Administration (POA) with specified minimum content. The rule, along with Faculty Rule 3335-6 also requires the chair to prepare, in consultation with the faculty, a document setting forth policies and procedures pertinent to promotion and tenure (the Appointments, Promotion and Tenure document; see <http://oaa.osu.edu/handbook.html>).

The duties of the chair of a department are as follows (from Faculty Rule 3335-3-35 C):

(1) To have general administrative responsibility for the department, subject to the approval of the dean of the college.

(2) To prepare, in consultation with the faculty, a pattern of administration (POA) document. This POA shall be made available to all present and prospective members of the faculty of the department, and a copy shall be deposited in the office of the dean of the college and in the office of the executive vice president and provost. This document shall be revised or reaffirmed at the

beginning of each four-year term of the departmental chair.

(3) To prepare, after consultation with the faculty and in accordance with the pattern of departmental administration, a statement setting forth the criteria and procedures for appointments and dismissals, salary adjustments, promotions in rank, and matters affecting the tenure of the faculty. This document shall be revised or reaffirmed at the beginning of each four-year term of the departmental chair.

(4) To operate the business of the department with efficiency and dispatch.

(5) To plan with the members of the faculty and the dean of the college a progressive program.

(6) To evaluate continuously the instructional and administrative processes and lead in the study of methods of improving them.

(7) To evaluate faculty members periodically in accordance with criteria approved by the board of trustees and subject to instructions from the executive vice president and provost, and also according to such supplemental criteria as may be set up by the department.

(8) To inform faculty members when they receive their annual review of their right to review their primary personnel file maintained by their tenure initiation unit and to place in that file a response to any evaluation comment or other material in the file.

(9) To recommend to the dean of the college the appointment, promotion, dismissal, and tenure of members of the department faculty.

(10) To encourage research and educational investigations.

(11) To see that all faculty are offered the departmental privileges and responsibilities appropriate to their rank; and in general to lead in maintaining a high level of morale.

(12) To see that adequate supervision and training are given to those members of the faculty and staff who may need or benefit by such assistance.

(13) To prepare (after consultation with the faculty) annual budget recommendations for the consideration of the dean of the college.

(14) To promote improvement of instruction by providing for the evaluation of each course when offered, including written evaluation by students of the course and instructors, and periodic course review by the faculty.

Day-to-day responsibility for specific matters may be delegated to others, but the chair retains final responsibility and authority for all matters covered by this POA, subject when relevant to the approval of the dean, Office of Academic Affairs, and Board of Trustees.

Operational efficiency requires that the chair exercise a degree of autonomy in establishing and managing administrative processes. The articulation and achievement of department academic goals, however, is most successful when all faculty members participate in discussing and deciding

matters of importance. The chair will therefore consult with the faculty on all educational and academic policy issues and will respect the principle of majority rule.

All consultations with departmental personnel, including discussions and votes on appointments, promotion and tenure reviews as well as issues brought up at faculty meetings are advisory to the chair. In all but exceptional cases, the majority opinion will determine the chair's recommendations. Should the chair elect to take an action not supported by a majority of the faculty, a rationale for doing so will be provided, and an opportunity for further discussion will be provided.

### **C. Department Vice Chair**

A vice chair will be chosen by the department chair from the senior ranks of the MOLGEN faculty. The vice chair will be compensated for this responsibility by an administrative supplement to his/her annual salary and by off duty pay support. The vice chair will assist the department chair in the responsibilities (1-4) above throughout the year as agreed upon by the department chair and vice chair. Throughout this document references to “Chair” include vice chair. At the discretion of the chair the responsibilities of the vice chair position may be shared by two faculty members.

### **D. Faculty**

Faculty Rule 3335-5-19 (<https://trustees.osu.edu>) defines the types of faculty appointments possible at The Ohio State University and the rights and restrictions associated with each type of appointment. The department consists of those persons with titles of Professor, Associate Professor, Assistant Professor or Instructor with regular appointments of at least 20% FTE in MOLGEN or for whom MOLGEN is the tenure-initiating unit. Faculty with the titles of Professor, Associate Professor, Assistant Professor in MOLGEN generally hold tenured or tenure-eligible appointments; however, the department may have persons with these titles who are not tenured or tenure-eligible. This includes both Columbus campus and regional campus faculty.

Associated faculty are those persons with adjunct titles, visiting titles, and lecturer titles, and professors, associate professors, assistant professors and instructors who serve on appointments of less than 50% regular service to the university. By university rule, persons holding associated titles are not eligible for tenure and may not participate in promotion and tenure matters, but are otherwise voting members of the faculty.

Faculty with courtesy appointments in MOLGEN must hold tenured or tenure-eligible appointments in other tenure-initiating units on OSU campus. Courtesy appointments are not voting members of the faculty.

Detailed information about appointment criteria and procedures for the various faculty appointments may be found in the Department’s Appointments, Promotion and Tenure (APT) document.

### **E. Faculty Meetings**

Faculty meetings are scheduled approximately once per month during the academic year. Faculty are informed in advance of the date, time, location and preliminary agenda. Additional meetings may be called as necessary if regular meetings are insufficient to deal with pending issues. All departmental faculty (tenure-track and associated) and emeriti are automatically invited to all faculty meetings. Other individuals may be invited when appropriate. Graduate student-elected representatives are also

invited to attend faculty meetings. Regular attendance at faculty meetings is expected of all faculty, both tenure-track and associated faculty.

Meeting agendas are prepared by the department chair in consultation with the chairs of committees, departmental representatives on college and university committees and individual faculty members who indicate items for discussion. Topics not included in the announced agenda may be added at the meeting by any participant, as time permits.

Voting at faculty meetings is limited to members of the tenure-track faculty with  $\geq 20\%$  appointments with the exception of P&T issues which are voted upon only by faculty with  $\geq 50\%$  regular appointments and whose TIU is the Department of Molecular Genetics. The faculty meeting representative of the MOLGEN Graduate Student Organization or his/her designate, associated faculty, faculty with courtesy appointments, and emeriti may attend faculty meetings and express their opinions and concerns on topics of discussion, but they are not voting members.

The faculty will recognize directed proxies for use in its faculty meetings (except for P&T decisions). A written, directed proxy addressing an announced motion or other agenda item may be assigned to another faculty member or to the chair when the faculty member assigning the proxy cannot attend the meeting, or when a faculty member must leave during the course of a meeting.

Directed proxies may be solicited. A directed proxy must specify the nature and extent of the assignment of proxy, including whether permission is granted to vote on amendments. That is, the proxy must specify a "yea" or "nay" vote on: 1) the un-amended motion only, or 2) the motion as amended, provided it retains the general attributes of the original motion, or 3) the motion, whether or not it is amended.

Minutes of faculty meetings will be taken and distributed to all members of the faculty and to representatives of MOLGEN Graduate Students before the next faculty meeting. A copy of the minutes will be maintained in the departmental office and may be viewed by any member of the department (i.e., tenure-track, associated, and courtesy faculty, staff and graduate students).

On matters submitted for formal voting, one half of the department's tenure-track faculty constitutes a quorum and a simple majority is required to pass or defeat a motion. Most issues of great importance are decided at a faculty meeting; many less important matters are settled by polling the faculty by e-mail.

## **F. Committees**

### **Committee Assignments**

Departmental committees (with the exception of the Promotion and Tenure Committee) are constituted by faculty members appointed by the chair of the department. Membership and chairing of committees is open to all faculty, both tenure track and courtesy.

Each academic year the department chair will prepare a listing of standing departmental committee assignments. Faculty will be given an opportunity to supply input on the assignments before the assignments are finalized. Nominees for membership on college committees will be determined by mechanisms identical to that described for departmental committees. The dean of the college will appoint the standing college committees from the elected nominees.



The chair is an ex officio member of all department committees and may vote as a member on all committees except Promotion and Tenure. The eight standing committees are:

1. **Promotion and Tenure Committee (PTC)** – This committee evaluates and makes recommendations to the chair of the department regarding appointments, promotion and tenure. The PTC committees consist of all eligible departmental faculty at the rank or tenure status exceeding the candidate. The functions of these committees are described in the Appointments, Promotion and Tenure document for the Department of Molecular Genetics. The chair of the PTC for a given academic year is appointed at the beginning of each academic year by the department chair. The chair of the PTC may be re-appointed to consecutive terms.

In the performance of their duties, the PTC shall be guided by the appropriate Faculty Rules, guidelines provided by the Office of Academic Affairs and the Department's Appointments, Promotion and Tenure (APT) document (<https://oaa.osu.edu/governance.html>). In addition, the PTC will be guided by those recommendations prepared in consultation with and approved by the faculty of the department.

**The PTC and its members are charged with the following duties:**

- Consideration of all matters related to tenure and promotion of regular faculty, and of issues related to reappointment of non-tenured faculty;
- Consideration of all matters related to the initial appointments and renewal of appointments of adjunct and courtesy faculty.

2. **Curriculum Committee** – The Curriculum Committee is composed of a chair, two other tenure track-faculty members and a graduate student representative. Additional faculty and undergraduate student members may also be appointed as necessary. If at all possible, the Curriculum Committee is chaired by the departmental representative to the College Curriculum Committee. The term of service for faculty is two years, with appointment terms staggered to provide overlap on the committee. The chair of the department will make the appointments. The graduate student representative is elected annually by the MOLGEN Graduate Student Organization.

**The duties of the Curriculum Committee are to:**

- Oversee all matters related to development of and changes in the undergraduate and graduate curricula;
- Provide advice to the chair on scheduling of courses and faculty assignments to courses;
- Monitor and appraise the quality of the undergraduate curriculum so as to determine what changes might be necessary, and to report recommendations concerning such changes to the chair of the department and the faculty at least biennially;
- Monitor the graduate curriculum jointly with the graduate studies committee.
- Assist the chair of the department in responding to requests from other departments concerning the introduction or modification of courses that relate to, or interface with, the teaching of MOLGEN courses;
- Keep abreast of university education requirements and courses taught in other disciplines and professional schools, so as best carry out the above duties.

3. **Graduate Studies Advising Committee (MG-AGSC)** -- Graduate Studies Advising Committee (MG-AGSC) - This committee oversees the current students in the Ph.D. program and monitors the graduate curriculum in conjunction with the Curriculum Committee. The MG-AGSC is composed of four faculty members, one of whom will also be the chair of the Graduate Studies Recruiting

Committee (see below). The chair of the MG-AGSC and faculty membership of the MG-AGSC are selected by the chair of the department. Faculty appointments with the exception of the committee chair are generally for two years, with one half of the faculty terms expiring each year. The term of the chair is generally 3+1 years, acting three years as chair and acting one additional year as committee member and advisor to the new chair. The new chair will be named from the committee membership.

**The duties of the MG-AGSC include:**

- Evaluation, recommendation and monitoring of degree requirements
- Management of the rules for graduate studies, which emanate from the department, the graduate school and other units in the university concerned with graduate education;
- Monitoring of the progress to degree of current graduate students including timely completion of the candidacy exam and yearly thesis committee meetings
- Evaluating and appointing students as GTAs;
- Consulting with the department chair and the involved parties in facilitating resolution of student-faculty conflicts that have reached the point of creating a dysfunctional professional relationship;
- Coordinating nomination of current students for university awards and notification to students of external grant and research award programs;
- Coordination of yearly rotation talks and Falkenthal Colloquium
- Development, periodic revision, and enforcement of the rules and regulations set forth in the Department's Graduate Student Handbook. Updating the graduate program website to maintain current information relevant to the program;
- Coordination of the nomination and appointment of faculty to the MG Graduate Faculty;
- Regular MG faculty will be reviewed every five years by the GSC for Graduate Faculty status. According to the Graduate School Handbook, eligible P status faculty should be “engaged in an active program of research, scholarship, or creative activity, or demonstrate significant promise of establishing such a program”. New Faculty coming to the department will be recommended for P Status based on the “promise of establishing” an active program of research, which is the criterion that has been used in the past. The following are the two criteria that should be met for continuation of P status:
  - a. Demonstrated scholarship activity by having published at least one original paper, review, book or book chapter in the past five years.
  - b. Participated in Graduate Student Instruction by having served at least once in the past five years as an advisor for a doctoral candidate or as a member of a doctoral or candidacy committee.

**4. Graduate Studies Recruiting Committee (MG-RGSC) --** Graduate Studies Recruiting Committee (MG-RGSC) - This committee oversees and coordinates recruitment of incoming students into the MG PhD program. The MG-RGSC is composed of four faculty members, one of whom will also be the chair of the Graduate Studies Steering Committee (see above). The chair and faculty membership of the MG-RGSC are selected by the chair of the department. The chair of the department and the chair of the MG-RGSC will work together to select two graduate student members of the MG-RGSC. Faculty appointments with the exception of the chair are generally for two years, with one half of the faculty terms expiring each year. The term of the chair is generally

3+1 years, acting three years as chair and acting one additional year as committee member and advisor to the new chair. The new chair will be named from the committee membership. The student appointments will generally be for two years, with one student appointment expiring each year. Student members will assist in recruitment efforts, but will not be active participants in admissions decisions.

**The duties of the MG-RGSC include:**

- Evaluation, recommendation, and monitoring of admission standards
- Preparation and dissemination of materials to prospective students regarding the MG graduate program and admission to the program;
- Coordination of external recruiting activities;
- Coordination of recruitment, including initial screening of applicants' files and coordination and oversight of interviews;
- Evaluation and admission of applicants;
- Evaluation and nomination of applicants for university and other first year fellowships;

**5. Seminar Committee-** The Seminar Committee will be composed of three regular faculty, chosen by the department chair and one graduate student elected by the Graduate Student Organization. The department chair will appoint one faculty member as chair of this committee. Appointments will be for two years with committee appointments staggered to provide overlap from year to year. The duties of the Seminar Committee include:

- Oversight and development of the department seminar program.
- Solicit recommendations for speakers from the faculty, post-docs, graduate students, and from those recommendations develop a semester seminar schedule.
- The Seminar Committee chair or host will contact possible speakers, determine their availability, and coordinate their local arrangements.

**6. Recognition and Awards Committee** – The charge of this committee is to promote the recognition of research, teaching, and service activities by the faculty, graduate and undergraduate students. This committee is composed of three regular faculty and one graduate student. The chair and faculty membership is selected by the chair of the department. The graduate student representative is elected annually by the Graduate Student Organization. Appointments will be for two years with committee appointments staggered to provide overlap from year to year.

The duties of the Recognition and Awards Committee include:

- Recognition of research activities by the faculty, graduate and undergraduate students;
- Recognition of teaching and service activities by the faculty, graduate and undergraduate students;
- Dissemination of information on the research accomplishments of the faculty and staff and students to the university, local and the national community;
- The committee will identify potential award programs with the assistance of the chair and review and nominate qualified faculty, staff and students for university, regional, national and international awards. In this endeavor, the committee will request recommendations from the faculty, staff and students.
- Nomination of candidates for awards and preparation of nomination packages.

**7. Diversity Committee** - The Diversity Committee is composed of a chair, two additional tenure-

track members of the faculty, one staff member, one graduate student, and one undergraduate student. The staff member and students serve one-year terms and are elected by their respective constituencies. Faculty terms are two years, with one half of the faculty being appointed annually by the chair of the department who also identifies the chair of this committee.

The duties of the Diversity Committee are to:

- Review on a regular basis, but at least annually, all department, college and university regulations concerning the fostering and maintenance of diversity in gender, ethnicity, culture, and outlook;
- Make recommendations to the faculty for modifying departmental policies and regulations when necessary;
- Work with the chair in surveying diversity climate in the department and identify ways to increase diversity.

**8. *Ad Hoc Committees*** – Ad hoc committees will be formed by the chair as necessary to address special issues that may arise. Assignments to these committees will be based on the interests of individual faculty members and the needs of the department. The members and chair of such committees will be appointed by the chair of the department.

### **Special Appointees and Representatives**

**1. *Undergraduate Coordinator*** - An undergraduate student coordinator will be responsible for coordinating undergraduate student activities, including the MOLGEN Student Organization, student advising, student transfer credit evaluation, and honors student activities. The undergraduate student coordinator will be selected by the chair on an annual basis. The chair, in consultation with undergraduate coordinator, will identify an undergraduate to serve on the Curriculum Committee.

**2. *Student Representation*** - Graduate students have a vested interest in the operation and future of the department. In that spirit, there will be a graduate student member on all standing committees with the exception of the Promotion and Tenure Committee. Only in circumstances involving personnel decisions or disciplinary hearings should the graduate student representative be excused.

**3. *Faculty Representatives*** – Unless otherwise specified in the college's Pattern of Administration, faculty representatives to various college and university Committees will be appointed by the chair or elected by the faculty when election is specified. The length of tenure on the committee will be determined by consultation between the chair and the faculty member.

**4. *Other Representation*** - Faculty with courtesy appointments in MOLGEN and staff are expected to be actively involved in department committee work and specific members may be appointed by the chair. These appointments may be in addition to the membership listings described above for each committee.

## IV. FACULTY DUTIES AND RESPONSIBILITIES

The department follows the Office of Academic Affairs required policy and guidelines as put forth in <http://oaa.osu.edu/handbook.html>.

(The following policy does not constitute a contractual obligation. Fluctuations in demands and resources in the Department and College, and the individual circumstances of faculty members, may warrant temporary deviations from the policy.)

Faculty duties and responsibilities reflect the structure of the faculty appointment and the mission and goals of the department. These duties and responsibilities include support of high quality, comprehensive programs in undergraduate and graduate instruction, generation and dissemination of new knowledge, and service to the university and professional and public sectors. Each faculty member is expected to maintain an active program of activities in each of these areas, although the relative contributions to specific areas may vary among faculty members and through time.

A full-time faculty member's primary professional commitment is to The Ohio State University and the guidelines below are based on that commitment. Faculty who have professional commitments outside of Ohio State during on-duty periods (including teaching at another institution; conducting research for an entity outside of Ohio State; external consulting) must disclose and discuss these with the chair in order to ensure that no conflict of commitment exists. Information on faculty conflicts of commitment is presented in the OAA Faculty Conflict of Commitment policy (<http://oaa.osu.edu/assets/files/documents/conflictofcommitment.pdf>).

### A. Undergraduate and Graduate Instruction

The department actively maintains instructional activities for undergraduate and graduate students from throughout the university. Formal lecture-based courses (with or without laboratory exercises) and research-oriented seminars are offered to serve the needs of undergraduate and graduate students. Formal research courses and research advising and mentoring are offered on an individual basis to undergraduate and graduate students. Faculty members are expected to use their knowledge and teaching expertise in not only molecular genetics, but when appropriate, also in allied areas such as biology and molecular and cellular and developmental biology. In addition, faculty members are responsible for informal teaching and advising of undergraduates in the MOLGEN major and Arts and Sciences Honors programs, and preparing undergraduates for applying to graduate and professional schools. Faculty serve on examination and thesis/dissertation committees of graduate students, assist with manuscript review and grant applications, and mentor graduate teaching and research associates (GTAs and GRAs).

All faculty in the department are expected to participate in teaching activities, which include formal classroom teaching as well as individualized instruction. Salaried faculty are expected to devote approximately 35% of their effort to instructional activities. This may be increased for faculty members who are not active in carrying out a funded research program.

Classroom teaching responsibilities: A typical full time (9 month) tenure-track faculty member with a 100% appointment in the department will be responsible for classroom instruction as assigned by the chair in accordance with the member's expertise and needs in undergraduate courses in molecular genetics, plant, cell and developmental biology and the Center for Life Science

Education (CLSE) and the graduate students in the department graduate program and interdisciplinary graduate programs such as Molecular and Cellular and Developmental Biology (MCDB), Ohio State Biochemistry Program (OSBP), and the Biomedical Sciences Graduate Program. Since most courses in the department are team taught, the formal instruction will usually be distributed among several different courses and represent the equivalent of fifty lecture hours of instruction. This teaching load is expected of research active faculty with significant external funding.

Other instructional activities in which faculty will participate include:

- Preparation, development, and revision of materials for use in each semester's course offering(s), including not only new research results, but also the teacher's own research results;
- Supervision and mentoring of Graduate Teaching Associates;
- Recruitment and mentoring of graduate students in the MOLGEN program or other relevant graduate program(s) in which a faculty member is a direct supervisor;
- Assistance in the mentoring of graduate students not under the faculty member's direct advising through service on graduate student research advisory/exam committees, supervising students doing laboratory rotations, and/or training students from other laboratories in techniques.
- Supervision and mentoring of undergraduate students, advising Honors students in preparation of curricula for Honors in the Liberal Arts and research proposals for Graduation with Distinction (research) programs, support and advising of the process of application to graduate and professional school through counseling, and preparation of letters of recommendation, as the supervisor of student assistants in laboratory and field situations, and/or as a mentor in supervised undergraduate research courses (e.g., 4998, 4998H, 4999, 4999H).

## **B. Research**

Scholarly research activities are essential to the continued development of all areas of the biological and life sciences, and they form an essential part of the department's mission. Faculty members are expected to develop and pursue an active, high quality program of research scholarship that will result in the following:

- Publication of papers, reporting on the results of original research, in refereed journals;
- Publication of review papers and invited chapters in books;
- Publication of books;
- Presentation of original research at local, national and international meetings of professional societies, and invited seminars at colleges, universities and research institutions.

Additional details about evaluation of research productivity are discussed in department's APT document (Appointment, Promotion and Tenure Criteria and Procedures). For example, the chair will assess research productivity for annual evaluations on the basis of the last three academic years, with the greatest weight given to the most recent year.

Faculty will also engage in:

- Preparation and submission of proposals to extramural granting agencies;
- Maintenance of extramural funding sufficient to support the research activities of the

laboratory and research group (including graduate students and post-doctoral fellows).

### **C. Service**

The service component of each faculty member's duties and responsibilities reflects the need for university scholars to contribute to university governance, professional organizations, and society as a whole, and to share fully and intimately in the intellectual and scholarly life of the university. All faculty are expected to participate in the following types of service:

- Active, contributory membership on standing committees at the department level and appointed or elected governance bodies of committees at the college or university level;
- Significant involvement in professional societies and/or agencies, with the level of service increasing from assistant professor (e.g. ad hoc reviewer for professional journals and/or granting agencies, symposium organizer, society committee member) to professor (e.g. editorial board member, agency panel member, elected officer of professional societies).

New members of the faculty normally have fewer responsibilities for service than do senior members, but a variety of opportunities exist for untenured assistant professors in this area and are summarized below.

**1. *University service*** - New faculty are unlikely to be elected to governing bodies such as the University Senate or Graduate Council, but many responsibilities in university service are assigned by the chair of the department; faculty members with interests in serving on specific committees should make these interests known to the chair. Furthermore, each year the University Senate asks members of the faculty if they are interested in serving on Senate committees, and faculty members are encouraged to indicate such an interest.

**2. *Professional service*** - All faculty are expected to participate in one or more professional societies or organizations. Elected office or committee assignments come to relatively few young scientists. Nevertheless, offers to help established committees or in routine matters at a conference are often welcomed and can lead to additional responsibilities for a new member in an organization. Most individuals who are involved in research and publishing will be asked to review manuscripts for publication and grant applications. Records of such activities should be kept.

**3. *Public service*** - Public speaking invitations and requests for assistance normally come to more established members of the faculty. However, anyone can become involved in public service by offering to answer phone calls and letters sent to the department requesting specialized information. Judging at science fairs and participation in paraprofessional groups, or involvement in science programs in the public schools, offer additional opportunities for public service.

### **D. Mechanisms for Departure from Expected Average Levels of Activity**

The standard mechanism for departure from minimal loads will be by negotiation between a faculty member and the chair of the department. Reasons for a departure from minimal expectations include, but are not restricted to:

- A faculty member's contributions to research, as evidenced by exceptional extramural funding or outstanding research accomplishments resulting in publications in the most prestigious journals;

- A faculty member's contributions to teaching, as evidenced by the presentation of exceptionally numerous, unusually time/effort consumptive and/or large-enrollment courses;
- A faculty member's contributions to service, as evidenced by participation on exceptionally responsible or time-consuming departmental or university committees or other forms of departmental or university administrative duties;
- Conversely, absence of external funding for extended time periods can lead to increased teaching loads. Research inactive faculty will have significantly increased teaching responsibilities.

Newly appointed, untenured faculty may receive lighter teaching and service assignments during a temporary period of acclimation and start-up.

### **Special Assignments**

Information on special assignments (SAs) is presented in the Office of Academic Affairs Special Assignment Policy (<http://oaa.osu.edu/assets/files/documents/specialassignment.pdf>). The information provided below supplements these policies.

Reasonable efforts will be made to award SA opportunities to all other faculty members subject to the quality of faculty proposals, including their potential benefit to the department or university and the need to assure that sufficient faculty are always present to carry out department work. The chair's recommendation to the dean regarding an SA proposal will be based on the quality of the proposal and its potential benefit to the department or university and to the faculty member as well as the ability of the department to accommodate the SA at the time requested.

### **Associated Faculty**

Compensated associated faculty members are expected to contribute to the university's mission via teaching or research depending on the terms of their individual appointments.

Faculty members with tenure-track titles and appointments <50% FTE will have reduced expectations based on their appointment level.

Expectations for compensated visiting faculty members will be based on the terms of their appointment and are comparable to that of tenure-track faculty members except that service is not required.

The standard teaching assignment for full-time lecturers is eight courses per academic year.

## **V. ADMINISTRATIVE PHILOSOPHY AND PROCEDURES**

### **A. Parental Modification of Duties**

The Department of Molecular Genetics strives to be a family-friendly unit in its efforts to recruit and retain high quality faculty members. To this end, the department is committed to adhering to the College of Arts and Science's guidelines on parental modification of duties to provide its faculty members flexibility in meeting work responsibilities within the first year of childbirth/adoption. See



the college pattern of administration at (<http://oaa.osu.edu/governance.html>) for details.

The faculty member requesting the modification of duties for childbirth/adoption and the department chair should be creative and flexible in developing a solution that is fair to both the individual and the unit while addressing the needs of the university. Expectations must be spelled out in an MOU that is approved by the dean.

## **B. Course Offerings and Teaching Schedules**

The department chair will work with the Curriculum Committee to determine the pattern of course offerings and potential instructor assignments at least one year in advance. The department chair will then consult at least annually with each faculty member to discuss that person's teaching preferences. The ideal would be for each faculty member to teach the courses he/she wants to on a schedule he/she devises. The faculty and department chair will work towards that ideal contingent on the demands of the curriculum. Faculty teaching assignments as to courses taught and when must adhere to the realization that certain courses need to be taught for the curricula, both graduate and undergraduate, to function effectively. While every effort will be made to accommodate the individual preferences of faculty, the department's first obligation is to offer the courses needed by students at times most likely to meet student needs. A scheduled course that does not attract the minimum number of students required by Faculty Rule 3335-8-17 (<https://trustees.osu.edu>) will normally be cancelled and the faculty member scheduled to teach that course will be assigned to another course for that or a subsequent semester. In making final teaching assignments, the chair will be guided by a combination of the curricular needs, the wishes of the faculty member, the departmental faculty workload, the projected course enrollment, and the plans/expectations of the faculty member for that year.

## **C. Allocation of Department Resources**

The department operating budgets are allocated by the colleges to the departments to support the following activities: (1) supplies and services needed to implement the teaching program, (2) supplies and services necessary to the smooth operation of the department office, the faculty and staff offices, teaching laboratories, and ancillary department facilities, (3) equipment purchase, maintenance, and repair, especially for equipment used for teaching, and (4) to the degree possible after (1-3) are met, supplemental funding for research-related activities of the faculty and graduate students.

The chair will discuss the department budget at least annually with the faculty and attempt to achieve consensus regarding the use of funds across general categories. However, final decisions on budgetary matters rest with the chair.

The smooth operation of the department requires that the operating budget pay for telephones, fax services, voicemail, mailing expenses, routine office supplies, and routine repairs to infrastructure. These costs will not be part of faculty discretionary funding. They will be budgeted separately and monitored. Should it appear that a given person or laboratory group is expending an unreasonable amount on any of these services, the chair and department office manager will meet with the faculty member to rectify the situation.

Discretionary research funds can be requested for such items as travel to meetings, reprints, research equipment matching funds or repair costs, and research expenses (for a limited period) of

graduate students. Departmental research funds will be very limited, and are not expected to be a substitute for extramural funding. Faculty may also receive discretionary funding to help carry them for a short time between grants or to aid in the development of pilot projects needed for subsequent grant proposals.

Grant funds will not be micro-managed by the department office. The department chair and department office manager will monitor the monthly Project Financial Summaries for Office of Sponsored Programs (OSP) accounts and the monthly fiscal statements for other grant types. It is the responsibility of the Principal Investigators to work with OSP to manage their funds. The department will only become directly involved with a faculty member's grant if it appears to be in danger of running a deficit. The only OSP paperwork that needs to be brought to the department office for the chair's signature and approval are the travel reimbursement forms for trips that exceed the originally approved funds by >20% and the PA-005 forms to allow a proposal to be submitted.

The department's specials budget is allocated for the support of graduate teaching associates and other instructional staff (other than regular faculty).

#### **D. Department - Graduate School - Graduate Student Relationships**

Ohio State has a unique administrative structure for graduate programs. The department is part of the Division of Natural and Mathematical Sciences (NMS) and the College of Arts and Sciences (CAS) and receives its budget (including faculty, staff and GTA lines) from that source. The primary administrative responsibility for fiscal management falls to the department chair, including budgeting, staff/faculty evaluation, and fiscal probity.

The department faculty are also members of the MOLGEN Graduate Faculty (and often the graduate faculty of other departments and programs). The graduate faculty and its graduate programs receive their charge and responsibilities from the Dean of the Graduate School, and the local administration is delegated to the Chair of the Graduate Studies Committee by the Graduate School.

As a consequence of this dual responsibility, graduate students must operate within two management systems simultaneously. Their admission to graduate work and all subsequent aspects of their academic graduate program are governed by the rules of the Graduate School and administered by the Graduate Studies Committee. However, their employment as a GTA or GRA is governed by the department through the specials budget allocated by the dean of the college. The final responsibility for decisions on appointment/non-reappointment and stipend levels for GTAs will reside with the department chair, in accordance with the university rules. GTA Workload guidelines, rules for graduate study in MOLGEN, and other academic matters will be the responsibility of the Graduate Studies Committee. Students employed as GRAs on grants are governed by OSP, OAA, and granting agency rules.

Decisions on assignments of GRAs on extramural funds to incoming students and to continuing students will be done by the Graduate Studies Committee in concert with the Principal Investigator of the project. It will be assumed that any student admitted as a full-time, non-conditional student with institutional support will continue to receive support as long as he/she is making adequate progress towards a degree and performs adequately in his/her GTA/GRA duties, pursuant to the rules of the graduate program.

## **E. Annual Staff and GTA Evaluations**

All Administrative and Professional and Civil Service staff will be formally evaluated each spring according to the procedures established in the current guidelines of the Office of Human Resources.

## **F. Leaves and Absences**

The University's policies with respect to leaves and absences are set forth in the Office of Academic Affairs' *Policies and Procedures Handbook* <http://oaa.osu.edu/handbook.html> and Office of Human Resources Policies and Forms website <https://hr.osu.edu/policies-forms> and college policies at <https://intranet.asc.ohio-state.edu/>. The information provided below supplements these policies.

### ***1. Discretionary Absence***

Faculty are expected to complete an e-leave request (<https://eleave.osu.edu>) well in advance of a planned absence (e.g. as for attendance at a professional meeting or to engage in consulting) to provide time for its consideration and approval and time to assure that instructional and other commitments are covered. Discretionary absence from duty is not a right and the chair retains the authority to disapprove a proposed absence when it will interfere with instructional or other comparable commitments. Such an occurrence is most likely when the number of absences in a particular semester is substantial. Faculty Rules require that the Office of Academic Affairs approve any discretionary absence of more than 10 consecutive business days (see Faculty Rule 3335-5-08).

### ***2. Absence for Medical Reasons***

When absences for medical reasons are anticipated, faculty members are expected to complete an e-leave request as early as possible. When such absences are unexpected, the faculty member, or someone speaking for the faculty member, should let the chair know promptly so that instructional and other commitments can be managed. Faculty members are always expected to use sick leave for any absence covered by sick leave (personal illness, illness of family members, medical appointments). Sick leave is a benefit to be used—not banked. See OHRPolicy 6.27 for details: <https://hr.osu.edu/policies-forms>.

### ***3. Unpaid Leaves of Absence***

The university's policies with respect to unpaid leaves of absence and entrepreneurial leaves of absence are set forth in OHR Policy 6.45, [www.hr.osu.edu/policy/index.aspx](http://www.hr.osu.edu/policy/index.aspx). The information provided below supplements these policies. Professional reasons would include an opportunity to accept a visiting appointment at another institution. A faculty member desiring an unpaid leave of absence should submit a written request for the absence as far in advance as possible of the time for which the leave is desired. Approval will be based on, but not limited to, the nature of the request, the extent to which the faculty member's responsibilities can be covered or deferred during the proposed absence, and the positive or negative impact on the department of the proposed absence. Unpaid leaves of absence require the approval of the dean, Office of Academic Affairs.

### ***4. Faculty Professional Leave***

A Faculty Professional Leave (FPL) constitutes a more formal departure from regular academic duties than a Special Assignment and may be one, or two semesters in length. FPLs may involve salary reductions and other considerations established by the Ohio legislature and University Board of Trustees and faculty considering an FPL should fully acquaint themselves with these policies (<http://oaa.osu.edu/assets/files/documents/facultyprofessionalleave.pdf>) before applying for leave.

Faculty members who desire an FPL should discuss the matter with the department chair during their annual evaluation or as soon thereafter as possible. If the Chair agrees, then the submission of a full proposal articulating the purpose and nature of the FPL is appropriate. Because FPL proposals must be approved by the dean, Office of Academic Affairs, and Board of Trustees before they may be implemented, faculty should submit FPL proposals for a particular year no later than the end of Autumn term of the preceding year, except when the development of an unexpected opportunity precludes such timing.

The chair's recommendation to the dean regarding an FPL proposal will be based on the quality of the proposal and its potential benefit to the department and to the faculty member as well as the ability of the department to accommodate the leave at the time requested.

### **G. Supplemental Compensation and Paid External Consulting Activity**

Information on faculty supplemental compensation is presented in the OAA Policy on Faculty Compensation (<http://oaa.osu.edu/assets/files/documents/facultycompensation.pdf>). Information on paid external consulting is presented in the university's Policy on Faculty Paid External Consulting (<http://oaa.osu.edu/assets/files/documents/paidexternalconsulting.pdf>). The information provided below supplements these policies. The department adheres to these policies in every respect. In particular, this department expects faculty members to carry out the duties associated with their primary appointment with the university at a high level of competence before seeking other income-enhancing opportunities. All activities providing supplemental compensation must be approved by the department chair regardless of the source of compensation. External consulting (beyond what is allowed by the university) must also be approved. Approval will be contingent on the extent to which a faculty member is carrying out regular duties at an acceptable level, the extent to which the extra income activity appears likely to interfere with regular duties, and the academic value of the proposed consulting activity to the department. In addition, it is university policy that faculty may not spend more than one business day per week on compensated activities and external consulting combined.

Faculty who fail to adhere to the university's policies on these matters, including seeking approval for external consulting, will be subject to disciplinary action

### **H. Financial Conflicts of Interest**

Information on faculty financial conflicts of interest is presented in the university's Policy on Faculty Financial Conflict of Interest (<http://orc.osu.edu/files/2013/02/Policy-on-Faculty-Financial-Conflict-of-Interest.pdf>). A conflict of interest exists if financial interests or other opportunities for tangible personal benefit may exert a substantial and improper influence upon a faculty member or administrator's professional judgment in exercising any university duty or responsibility, including designing, conducting or reporting research.

Faculty members with external funding or otherwise required by university policy are required to file conflict of interest screening forms annually and more often if prospective new activities pose the possibility of financial conflicts of interest. Faculty who fail to file such forms or to cooperate with university officials in the avoidance or management of potential conflicts will be subject to disciplinary action.

## **I. Grievance Procedures**

Members of the department with grievances should discuss them with the chair, who will review the matter as appropriate and either seek resolution or explain why resolution is not possible. Content below describes procedures for the review of specific types of complaints and grievances.

### **1. Salary Grievances -**

A faculty or staff member who believes that his or her salary is inappropriately low should discuss the matter with the chair. The faculty or staff member should provide documentation to support the complaint.

Faculty members who are not satisfied with the outcome of the discussion with the chair and wish to pursue the matter may be eligible to file a more formal salary appeal as specified:

<http://oaa.osu.edu/handbook.html>.

Staff members who are not satisfied with the outcome of the discussion with the chair and wish to pursue the matter should contact Consulting Services: <https://hr.osu.edu/current-employees/>.

**2. Faculty Misconduct -** Faculty misconduct/incompetence: Complaints alleging faculty misconduct or incompetence should follow the procedures set forth in Faculty Rule 3335-5-04 <https://trustees.osu.edu/university/facultyrules>.

**3. Faculty Promotion and Tenure Appeals -** Promotion and tenure appeals procedures are set forth in Faculty Rule 3335-5-05 <https://trustees.osu.edu>.

**4. Sexual Misconduct-** The University's policy and procedures related to sexual misconduct are set forth in OHR Policy 1.15 <https://hr.osu.edu/policies-forms>

**5. Student Complaints -** Normally student complaints about courses, grades, and related matters are brought to the attention of individual faculty members. In receiving such complaints, faculty should treat students with respect regardless of the apparent merit of the complaint and provide a considered response. When students bring complaints about courses and instructors to the department chair, the chair will first ascertain whether the students require confidentiality or not. If confidentiality is not required, the chair will investigate the matter as fully and fairly as possible and provide a response to both the students and any affected faculty. If confidentiality is required, the chair will explain that it is not possible to fully investigate a complaint in such circumstances and will advise the student(s) on options to pursue without prejudice as to whether the complaint is valid or not.

Faculty complaints regarding students must always be handled strictly in accordance with University rules and policies. Faculty should seek the advice and assistance of the chair and others with appropriate knowledge of policies and procedures when problematic situations arise. In particular, evidence of academic misconduct must be brought to the attention of the Committee on Academic Misconduct ([oaa.osu.edu/coam.html](http://oaa.osu.edu/coam.html)). The Code of Student Conduct is Faculty Rule 3335-23 (<https://trustees.osu.edu>).