

**APPOINTMENTS, PROMOTION AND TENURE CRITERIA AND PROCEDURES FOR THE
DEPARTMENT OF MOLECULAR GENETICS**

Approved by

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I. PREAMBLE

This document is a supplement to Chapter 6 of the Rules of the University Faculty (Additional Rules Concerning Tenure Track Faculty Appointments, Reappointments, Promotion and Tenure) <http://trustees.osu.edu/rules/university-rules.html> and the Office of Academic Affairs annually updated procedural guidelines for promotion and tenure reviews <http://oaa.osu.edu/handbook.html> and other policies and procedures of the Division of Natural and Mathematical Sciences (NMS) and the College of Arts and Sciences (CAS) and University to which the Department and its faculty are subject.

Should those rules and policies change, the Department of Molecular Genetics (hereafter referred to as the Department) will follow those new rules and policies until such time as the Department can update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every four years on appointment or reappointment of the Department's Chair.

This document must be approved by the Dean of NMS and the Office of Academic Affairs before it may be implemented. It sets forth the Department's mission and, in the context of that mission and the missions of the NMS, CAS and University, the Department's criteria and procedures for faculty appointments and for faculty promotion, tenure and rewards, including salary increases. In approving this document, the Dean of the NMS and the Office of Academic Affairs accept the mission and criteria of the Department and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to its mission and criteria.

The faculty and the administration are bound by the principles articulated in Faculty Rule 3335-6-01 <http://trustees.osu.edu/rules/university-rules.html> of the Administrative Code. In particular all faculty members accept the responsibility to participate fully and knowledgeably in review processes; to exercise the standards established in Faculty Rule 3335-6-02 <http://trustees.osu.edu/rules/university-rules.html> and other standards specific to the Department and to the NMS and CAS; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

II. DEPARTMENT MISSION

The missions of MG 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 MG graduate program and interdisciplinary graduate programs such as Molecular and Cellular and Developmental Biology (MCDB), Ohio State Biochemistry Program (OSBP), and the Integrated Biomedical Science Graduate Program (IBGP). 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 talks, 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.

III. DEFINITIONS

A. Committee of the Eligible Faculty

Eligible faculty for tenure decisions consist of all tenured regular faculty with a 50% or greater appointment in the department and whose tenure resides in the department and are of higher rank than the candidate excluding the chair.

Eligible faculty for promotional reviews of all regular faculty consists of all tenured faculty with a 50% FTE or greater whose tenure resides in the department and are of higher rank than the candidate excluding the department chair.

B. Quorum

A quorum for a meeting of the PTC will consist of two-thirds of all eligible members not on a paid or unpaid leave of absence. If a member of the PTC judges that he/she has a conflict of interest in a specific case, that member will explain the conflict to the Chair of the PTC and will be excused from discussion and voting. A member of the eligible faculty on Special Assignment may be excluded from the count for the purpose of determining quorum only if the department chair has approved an off-campus assignment.

Faculty members who excuse themselves because of a conflict of interest are not counted when determining quorum.

C. Recommendation from the Committee of the Eligible Faculty

In all votes taken on personnel matters with the department, only "yes" and "no" votes are counted. Abstentions are not votes. Faculty members are strongly encouraged to consider whether they are participating fully in the review process when abstaining from a vote on a personnel matter. Absentee ballots and proxy votes are not permitted.

1. Appointment

A vote of a minimum of two-thirds of the votes cast by eligible faculty members is required for a positive recommendation for appointment.

2. Reappointment, Promotion and Tenure, Promotion and Contract Renewal.

A simple majority of the votes cast by eligible faculty members is needed for a positive recommendation for reappointment, promotion and tenure, promotion, and contract renewal.

IV. APPOINTMENTS

A. Criteria

1. Regular Tenure Track Faculty

All faculty appointments will be made with the goal of enhancing the quality of the department. All appointed faculty will have an earned doctoral degree (Ph.D. or M.D. or equivalent). Appointments at the rank of assistant professor will be made to individuals who have strong prior research accomplishments, the potential for sustained research productivity at OSU, a high probability of securing outside funding to support their research, and strong teaching capabilities.

See the Office of Academic Affairs Policies and Procedures Handbook (<http://oaa.osu.edu/handbook.html>) on the following topics:

Recruitment of Regular Tenure Track, Clinical Track and Research Track Faculty

Appointments at Senior Rank or with Prior Service Credit

Hiring Faculty From Other Institutions After April 30

Appointment of Foreign Nationals

Letters of Offer

Recruitment of regular tenure track faculty

A national search is required to ensure a diverse pool of highly qualified candidates for all tenure track positions. Exceptions to this policy must be requested from the Office of Academic Affairs. Search procedures must be consistent with the University policies set forth in the most recent update of *A Guide to Effective Searches* <http://hr.osu.edu/hrpubs/guidesearches.pdf>.

The search for and appointment of a tenure track faculty member will follow these guidelines:

- The Divisional Dean of the Division of Natural and Mathematical Sciences (NMS) and Executive Dean of the College of Arts and Sciences (CAS) provides approval for the Department to commence a search process. This approval may or may not be accompanied by constraints with regard to salary, rank, setup funds, and field of expertise.
- Discussions concerning the nature of vacant positions in the Department will include regular, auxiliary, and courtesy faculty, as well as members of the Graduate Faculty. However, only members of the Department's regular faculty will vote on decisions regarding vacant positions.
- The Chair of the Department will appoint an *ad hoc* Search Committee consisting of no fewer than three regular Department faculty to coordinate the logistical arrangements of the search. The Search Committee will also include one graduate student selected by the Department Graduate Student Organization. A Search Committee member may be appointed from outside the regular faculty upon recommendation of the Advisory Committee and the approval of the faculty of the Department. The Chair of the Search Committee will be chosen by the Chair.

- The Chair of the Search Committee will appoint one of the committee's members to act as the Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.
- The Chair of the Search Committee will forward to the Dean of the College the names of the committee's members, indicating the Diversity Representative, and will meet with the Dean and/or his/her appointed representative to review the search procedures and the College Diversity plan.
- The Search Committee will develop a search announcement for internal posting in the University Personnel Postings (formerly known as the "green sheet") through the Office of Human Resources Employment Services <http://hr.osu.edu/emp/home.htm> and external advertising, subject to the Department Chair's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, salary, etc. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.
- The Search Committee develops and implements a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the Search Committee must assure that at least one print (as opposed to on-line) advertisement appears in a location likely to be read by qualified potential applicants. The University does not grant tenure in the absence of permanent residency ("green card"), and strict U. S. Department of Labor (DOL) guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure track position included an advertisement in a field-specific nationally circulated print journal.
- All members of the Department's regular faculty will have the opportunity to review all of the candidates' completed files. The Search Committee will review all of the documents submitted by the applicants and select from the total applicants a short list of qualified candidates for presentation to the faculty of the Department.
- A faculty meeting will be held to review the qualifications of the candidates on the short list and of any other applicants recommended by the faculty during the meeting. After discussion of the relative merits of the candidates, the faculty will rank the applicants on the short list and any other candidates proposed during the meeting. Proxy votes for faculty not in attendance may be solicited as indicated in the Department's Pattern of Administration Section II.C. "Faculty Meetings." This ranking will be used to determine which of the candidates to include in the first round of interviews.
- Candidates will be invited by the Chair of the Search committee for an interview, and the interview process will involve the Department as a whole. No fewer than three candidates will be invited to interview. The Search Committee will be responsible for the logistical arrangements of the candidates' visits. The interview process will include, at the minimum: (1) a public seminar on the candidate's research, (2) individual meetings with regular faculty, the Chair, and the Dean, and (3) group meetings with graduate students. For positions that explicitly include a substantial proportion of undergraduate teaching, a teaching seminar based on a topic selected by the candidate from a course syllabus supplied to him/her by the Search Committee may also be required.
- As soon as possible after the last candidate's interview, the regular faculty of the Department again meet to determine which, if any, of those interviewed is judged

acceptable for appointment, and to rank those candidates so judged. The recommendations of the MG Graduate Student Organization will be presented by the graduate student representative of the Search Committee for consideration by the faculty. Abstentions are not counted as votes in this context. In order to extend an offer to a candidate, 2/3 of the votes cast must be positive. Absentee ballots are not permitted. The position will then be offered to the candidates in the order indicated by the ranking of acceptable candidates.

- In the event that more than one candidate achieves the level of support required to extend an offer, the Department Chair decides which candidate to approach first. The details of the offer, including compensation, are determined by the Department Chair.
- The University does not grant tenure in the absence of permanent residency status. The Department will be vigilant in assuring that the appointee seeks residency status promptly and diligently.
- In the event that one or more of the candidates should decline the position, or if an agreement cannot be reached with any of the candidates that were interviewed, additional candidates will be approached if and only if it is the judgment of the Search Committee that such additional candidates are of equivalent or nearly equivalent quality to those originally interviewed.
- At the time of appointment, new faculty will receive copies of the Department of MG and College of Biological Science's Pattern of Administration and Appointments, Promotion and Tenure documents as well as all revised copies of these documents.

The Department is committed to making only faculty appointments that enhance or have the strong potential to enhance the Department's quality and mission and who have the strong potential to attain tenure and advance through the ranks of Associate Professor and Professor.

Although there will be variations in the specific criteria established for any given faculty search, the following criteria apply to all searches for regular tenure track faculty:

- Earned Ph.D. or equivalent in a field relevant to the mission of the Department and the specified research area(s) of the position;
- Postdoctoral research experience;
- Demonstrated ability to carry out modern research through to completion, as evidenced by publications in refereed journals of original research;
- Demonstrated potential to develop into an accomplished teacher, as evidenced by evaluations of prior teaching or other relevant experiences;
- Commitment to excellence in undergraduate and graduate education in a major research university setting;
- Potential for interacting with colleagues and students in a way that will enhance their academic work and attract other outstanding faculty and students to the Department.

The Ohio State University has as its stated mission "the attainment of international distinction in education, scholarship, and public service." The departmental criteria for appointment, reappointment, and promotion and tenure are consistent with this mission. Appointment decisions for regular faculty positions, as defined in rule 3335-5-19 (<http://trustees.osu.edu/rules/university-rules.html>) of the Administrative Code, are based on criteria that reflect strong potential to attain tenure and advance through the faculty ranks.

Faculty in the Department of Molecular Genetics will normally be hired at the rank of assistant professor or higher. However, circumstances may occasionally arise in which it may be appropriate to hire a faculty member at the rank of instructor. An appointment to the rank of instructor is always

probationary. An instructor must be approved for promotion to assistant professor by the beginning of the third year of appointment or the appointment will not be renewed beyond the end of the third year. When an instructor is promoted to the rank of assistant professor, the faculty member may request prior service credit in writing at the time of the promotion.. This written request must be approved by the eligible faculty, the chair, the dean, and Office of Academic Affairs through the dean of the college so that tenure records may be adjusted accordingly.

An appointment to the rank of assistant professor is always probationary and may not exceed six years, including prior service credit unless there is an extension of the tenure period as described below (Exclusion of time from probationary periods). An assistant professor is reviewed for promotion and tenure no later than the sixth year of appointment as an assistant professor and informed by the end of the sixth year as to whether promotion and tenure will be granted at the beginning of the seventh year.

Recruitment of Senior (Associate and Full Professor) Level Faculty

Faculty members recruited at the level of Associate or Full Professor will generally entail tenure. Rank and tenure eligibility must be approved by the departmental PTC using the criteria specified in the APT document. All appointments to the rank of Associate Professor or Professor require prior approval of the dean and the Executive Vice President and Provost.

An appointment as professor or associate professor will generally entail tenure, either upon hiring or after a probationary period according to faculty rule 3335-6-02 “No faculty member attains tenure automatically. Tenure may be acquired either in the original appointment to the regular tenure-track faculty rank of associate professor or professor or upon promotion from within the university to the rank of associate professor, or following a successful probationary period at the rank of associate professor or professor.” All appointments to the rank of associate professor or professor require prior approval of the provost.

An appointment at the rank of associate professor will be based on convincing evidence that the faculty member has achieved excellence as a teacher, as a scholar, and as one who provides effective service; and can be expected to continue a program of high quality teaching, scholarship, and service relevant to the mission of the Department of Molecular Genetics. An appointment at the rank of professor will be based on convincing evidence that the faculty member has a sustained record of excellence in teaching; has produced a significant body of scholarship that is recognized nationally or internationally; and has demonstrated leadership in service.

2. Auxiliary Faculty

Auxiliary faculty include persons with adjunct titles, visiting titles and lecturer titles; also professors, associate professors, assistant professors, and instructors who serve on appointments totaling less than 50% service to the university. Visiting faculty, whose appointments may not exceed three continuous years, include individuals on leave from other academic institutions and temporary faculty. The criteria are similar to those used for the appointment of regular faculty in the department. Auxiliary appointments are made with the intent of strengthening the departmental graduate and undergraduate degree programs, the teaching program and the service activities of the Department of Molecular Genetics. According to university rules, auxiliary faculty are not eligible for tenure and may not vote in promotion and tenure matters.

3. Courtesy Appointments for Regular Faculty

The Department of Molecular Genetics may occasionally appoint as courtesy faculty, members of other academic units at the university. The criteria are similar to those used for the appointment of regular faculty in the department, but include an emphasis on identifying faculty who can fulfill a unique role in the department. Courtesy appointments are made with the intent of strengthening the departmental graduate and undergraduate degree programs, the teaching program and the

service activities of the Department of Molecular Genetics. Except in extreme circumstances, the number of courtesy faculty should not exceed 50% of the number of regular faculty.

B. Procedures

1. Regular Tenure Track Faculty

The department chair will appoint a faculty search committee that will consist primarily of faculty members from the Department of Molecular Genetics, but may include faculty from other departments. One person from the committee will be designated the diversity representative and will be charged with documenting the committee's attention to a diverse pool of applicants. The position will be advertised in international scientific journals. The search committee will evaluate the applicants with respect to quality of proposed research, previous research accomplishments, evaluation letters, compatibility with departmental goals, funding potential and teaching qualifications. Applicants with the strongest qualifications will be invited for interviews. Each applicant will present a public seminar and meet with the department faculty, graduate student representatives and the dean of the college. The decision to hire a faculty member will require a 2/3-majority vote of the regular faculty, after consultation with other faculty and students who have participated in the interview process. The dean of the college must also approve the hiring of each faculty member. In some cases a faculty member may be hired in collaboration with another unit on campus such as another department, the Cancer Center or the Biotechnology Center. Molecular Genetics will serve as the tenure initiating unit for those faculty recruits who have a 50% or greater appointment in the Department of Molecular Genetics. The same criteria will apply in these situations although the search committee will consist of faculty from both units. A Memorandum of Understanding between both units will be developed prior to initiating the search.

2. Auxiliary Faculty

The decision to admit an auxiliary faculty member must be approved by a 2/3 majority of the faculty of the department. Evidence must be provided that the application is made with the full knowledge and support of the applicant's department chair or supervisor, if applicable. The decision to continue the appointment of an auxiliary faculty member will be made by the salaried faculty of the department and will require a 2/3 majority vote.

3. Courtesy Appointments for Regular Faculty

Initial appointment as a courtesy faculty member requires a positive vote from at least 2/3 of the regular faculty. Courtesy faculty appointments will be renewed every five years. Renewal of a courtesy appointment requires a positive vote from at least 1/2 of the regular faculty.

V. ANNUAL REVIEWS

The Department follows the requirements for annual reviews as set forth in the Office of Academic Affairs Policies and Procedures Handbook: <http://oaa.osu.edu/handbook.html> The annual reviews of every faculty member are based on:

- (1) expected performance in teaching, research, and service as set forth in the Department's Pattern of Administration policy, Section III. Faculty Duties and Responsibilities
- (2) any additional assignments and goals specific to the individual
- (3) progress toward promotion where relevant

The documentation required for the annual performance review of every faculty member is described under MERIT SALARY INCREASES below. This material must be submitted to the Department Chair at a deadline to be announced each year.

The Department Chair is required (per Faculty Rule 3335-3-35) to include a reminder in the annual review letter that all faculty have the right (per Faculty Rule 3335-5-04) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

A. Probationary Tenure Track Faculty

Annual review of probationary faculty members.

At the time of appointment, probationary faculty members shall be provided with all pertinent documents detailing departmental, college, and university promotion and tenure policies and criteria. If these documents are revised during the probationary period, probationary faculty members shall be provided with copies of the revised documents.

During a probationary period a faculty member shall be reviewed annually in accordance with the policies of the department, college, and university. The annual review will encompass the faculty member's performance in teaching, research, and service as well as evidence of continuing development. The department will use the review process as a means to be supportive and helpful to untenured faculty as well as to candidly and clearly communicate aspects of performance that need improvement if the candidate is to make acceptable progress. However, if it is apparent that the candidate's likelihood of meeting expectations for promotion and tenure is poor, the appointment of the candidate may not be renewed. A nonrenewal decision must be based on the results of a formal performance review conducted in accord with fourth year review procedures.

The Department Chair shall inform probationary faculty members when the annual review will take place and provide a copy of the dossier outline to be completed by the faculty member in reporting accomplishments to date. External evaluations of the faculty member's work are not required for any annual review but may be obtained if judged appropriate by the promotion and tenure committee (PTC) or department chair. For example, experts in the scholarly field of the faculty member may be sought if P&T Committee or department Chair needs further information on the impact of the research. The Department Chair conducts an independent assessment; meets face to face with the faculty member to discuss his or her performance and future plans and goals; and prepares a written evaluation on these topics.

The departmental promotion and tenure committee (for composition of the committee, see page 13) will perform the annual review of all probationary faculty. The promotion and tenure committee will vote (in writing) on continuation of the appointment of each probationary faculty member. A formal report summarizing the results of the evaluation and the outcome of the vote will be prepared by the promotion and tenure committee and provided to the department chair. The chair's decision on reappointment of a probationary faculty member may be contrary to that of the promotion and tenure committee, although the reasons for the contrary decision must be communicated to the committee. If the department chair and the promotion and tenure committee disagree in their assessment, the differences will be resolved by further discussion so that conflicting advice is not offered to a probationary faculty member.

At the completion of the review, the department chair shall provide the faculty member and the dean of the college with a written assessment of the faculty member's performance and professional development. The assessment will include both strengths and weaknesses, as appropriate. Annual review letters will be constructive and candid. When probationary faculty receive their annual review, the department chair shall inform them of their right to review their primary personnel file maintained by their department and to place in that file a response to any evaluation, comment or other material contained in the file. The faculty member shall also be given an opportunity to discuss the results of the annual review with the department chair and with other members of the promotion and tenure committee, as appropriate. All annual review letters shall become a part of a faculty member's dossier for subsequent annual reviews during the probationary period, including the review for promotion and tenure.

If the Chair's recommendation is to reappoint the faculty member to another probationary year of service, that recommendation shall be final. A recommendation from the chair not to reappoint the faculty member to another probationary year requires a review that follows fourth year review procedures. The dean shall make the final decision in the matter.

The fourth year review of probationary faculty shall follow the same process as the review for tenure and promotion at the department and college levels. Renewal of the appointment of a probationary assistant professor for the fifth year requires the approval of the dean of the college.

Exclusion of time from probationary periods - Faculty Rule 3335-6-03 (D).

- (1) An untenured regular tenure-track faculty member will have time excluded from the probationary period in increments of one year to reflect the caregiving responsibilities associated with the birth of a child or adoption of a child under age six. Department chairs or school directors will inform the Office of Academic Affairs within one year of the birth of a child or the adoption of a child under age six of a probationary faculty member unless the exclusion of time is prohibited by paragraph (D)(3) of this rule. The probationary faculty member may choose to decline the one-year exclusion of time from the probationary period granted for the birth or adoption of a child under six years of age by so informing her/his TIU head, dean, and the Office of Academic Affairs in writing before April 1 of the new mandatory review year following granting of the declination. The exclusion of time granted under this provision in no way limits the award of promotion and tenure prior to the mandatory review year (see paragraph (D)(2) of this rule). The maximum amount of time that can be excluded from the probationary period per birth event or adoption of children under age six is one year.

A probationary tenure-track faculty member may apply to exclude time from the probationary period in increments of one year because of personal illness, care of a seriously ill or injured person, an unpaid leave of absence, or factors beyond the faculty member's control that hinder the performance of the usual range of duties associated with being a successful university faculty member, i.e., teaching, scholarship, and service. Requests to exclude time from the probationary period made under the terms of this paragraph must be submitted to the chair of the tenure initiating unit. Requests shall be reviewed by the tenure initiating unit promotion and tenure committee which shall advise the tenure initiating unit chair regarding their appropriateness. Such requests require approval by the tenure initiating unit chair, dean, and executive vice president and provost. A request to exclude time from the probationary period for any of these reasons must be made prior to April 1 of the year in which the mandatory review for tenure must occur. The extent to which the event leading to the request was beyond the faculty member's control, the extent to which it interfered with the faculty member's ability to be productive and the faculty member's accomplishments up to the time of the request will be considered in the review of the request.

- (2) A request to exclude time from the probationary period for any reason will not be granted after a nonrenewal notice has been issued nor will previously approved requests to exclude time from the probationary period in any way limit the university's right not to renew a probationary appointment.

- (3) Except in extraordinary circumstances a maximum of three years can be excluded from the probationary period for any reason or combination of reasons for an instructor, assistant professor or associate professor. Exceptions require the approval of the tenure initiating unit chair, dean, and executive vice president and provost.

- (4) Tenure-track faculty members will be reviewed annually during their probationary periods regardless of whether time is excluded from that period for any of the above reasons unless their absence from campus during an excluded period makes conduct of such a review impractical.

B. Tenured Faculty

Associate and Full Professors are reviewed annually by the Department Chair. The review process includes a meeting between the Department Chair and the faculty member. On completion of the review, the Department Chair prepares a written assessment of the faculty member's performance and future plans and goals. The faculty member may provide written comments on the review.

VI. MERIT SALARY INCREASES AND OTHER REWARDS

Except when the University dictates any type of across the board salary increase, all funds for annual salary increases are directed toward rewarding meritorious performance and assuring, to the extent possible given financial constraints, that salaries reflect the market and are internally equitable.

On occasion, one-time cash payments or other rewards, such as extra travel funds, are made to recognize non-continuing contributions that justify reward but do not justify permanent salary increases. Such payments/rewards are considered at the time of annual salary recommendations.

Meritorious performance in teaching, research, and service are assessed in accordance with the same criteria that form the basis for promotion decisions. The time frame for assessing performance will be the past 36 months with the greatest weight given to the most recent year and attention to patterns of increasing or declining productivity. Faculty with high quality performance in all three areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases.

The Faculty Activity Report (FAR) is the primary source of information used by the Department's Chair for determining merit salary increases. All members of the MG faculty, including probationary, tenured, auxiliary, and courtesy, are required to file a FAR. A copy of this report is maintained in the Department office and a copy is sent to the College office. The FAR prepared by each auxiliary and courtesy faculty member will be used as an important source of information when renewals of these appointments are considered by the Department's PTC. The time period covered by the documentation is the previous calendar year.

Merit salary increases will be jeopardized for those faculty who submit documentation insufficient to permit the Department's Chair to make an informed evaluation of their performance. Thus, careful and accurate documentation of a faculty member's activities in the areas of teaching, research, and service is essential. Faculty who fail to submit the required documentation for an annual review at the required time will receive no salary increase in the year for which documentation was not provided, except in extenuating circumstances, and may not expect to recoup the foregone raise at a later time. Recommendations for merit salary increases are made by the Chair of the Department based on a faculty member's contributions in the areas of teaching, research, and service. The available funds will be distributed among faculty in a manner that recognizes accomplishments during the last year but which also seeks to assure that differences in salary levels among faculty are equitable and clearly based on longer term differences in accomplishments. To achieve this goal necessarily means that last year's performance cannot be the sole determinant of salary increase recommendations. As such, the time frame for assessment will be the past 36 months, with attention to patterns of increasing or declining productivity. In addition, the broad range of base salary levels within a given Department may also mean that the focus of attention in making recommendations for salary increases may be based on absolute dollar increases (and resulting salary levels) rather than solely on percentage increases.

The Department's workload policy (Pattern of Administration Section III. Faculty Duties and Responsibilities) summarizes the acceptable minimal levels of effort in these areas. A faculty

member who fails to meet the minimal expectations in all three areas will receive no merit salary increase; faculty who continually exceed these expectations will receive above average salary increases. It is recognized that each faculty member may contribute to each of the Department's missions in different ways, and that his/her contribution in each of the areas may vary over time. Thus, the Chair will weigh these factors and determine the recommendation for each faculty member's raise accordingly.

A. Criteria

Annual merit salary increases will be awarded based on performance in research, teaching and service as well as the appropriateness of salary level to the individual's overall record. The time frame considered will be the past 36 months with the greatest emphasis on the past 12 months. The faculty member's performance review may be tied to specific goals agreed upon at the beginning of the previous review. Individual contribution to research, teaching and service might be weighted differently according to such agreed upon goals.

The Department Chair recommends annual salary increases and other performance rewards to the Dean, who may modify these recommendations. Salary increases are formulated in accordance with the current funding model of the college, with the goal of distributing available funds in a manner that achieves the optimal distribution of salaries. As a general approach to formulating salary recommendations, the Department Chair divides faculty into at least four groups based on continuing productivity (high, average, low, and unsatisfactory) and considers market and internal equity issues as appropriate.

Faculty members who wish to discuss dissatisfaction with their salary increase with the Department Chair should be prepared to explain how their salary (rather than the increase) is inappropriately low, since increases are solely a means to the end of an optimal distribution of salaries.

B. Procedures and Documentation

Each faculty member in the Department of Molecular Genetics, as a member of the Division of Natural and Mathematical Sciences (NMS) and the College of Arts and Sciences (CAS), is required to complete and submit an annual Faculty Activity Report. This report is included in an annual evaluation of the faculty member's activities and progress submitted to the Divisional Dean of the Division of Natural and Mathematical Sciences (NMS) and the Executive Dean of the College of Arts and Sciences (CAS) by the chair of the Department of Molecular Genetics. Faculty members may also supply additional documentation of their activities for evaluation in merit increase determinations. Merit increases are based on documented contributions in the areas of teaching, research and service. Merit increases may be denied to faculty who fail to submit the Faculty Activity Report or who submit documentation insufficient to permit an informed evaluation of their performance. Faculty members are encouraged to discuss their performance and activities with the chair of the department to ensure that all appropriate activities and accomplishments are considered.

VII. PROMOTION AND TENURE AND PROMOTION REVIEWS

A. Transition Plan

For two years following the departmental merger, Assistant and Associate Professors have the option to be reviewed for promotion and tenure by the promotion and tenure committee of the merged department or by the committee of their former department constituted according to the former department's APT document. Each Assistant or Associate Professor must notify the department chair of his/her choice of a promotion and tenure committee within six months of the

approval of the department merger by the Board of Trustees but no later than the beginning of Spring Quarter before a formal evaluation for tenure and/or promotion would take place.

B. Criteria

1. Promotion to Rank of Associate Professor with Tenure

Faculty Rule 3335-6-02 <http://trustees.osu.edu/rules/university-rules.html> provides the following context for promotion and tenure and promotion reviews:

In evaluating the candidate's qualifications in teaching, scholarship, and service, reasonable flexibility shall be exercised, balancing, where the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. In addition, as the university enters new fields of endeavor, including interdisciplinary endeavors, and places new emphases on its continuing activities, instances will arise in which the proper work of faculty members may depart from established academic patterns. In such cases care must be taken to apply the criteria with sufficient flexibility. In all instances superior intellectual attainment, in accordance with the criteria set forth in these rules, is an essential qualification for promotion to tenured positions. Clearly, insistence upon this standard for continuing members of the faculty is necessary for maintenance and enhancement of the quality of the university as an institution dedicated to the discovery and transmission of knowledge.

The contributions of probationary faculty members in the areas of teaching, research, and service will be considered during the tenure review process. In particular, the PTC will scrutinize the candidate's dossier for evidence of a pattern of consistent and sustained performance during the probationary period that suggests that the candidate has developed and will continue to develop professionally. During their deliberations the members of the PTC will recognize that each faculty member can contribute to each of the Department's missions in different ways, and that a candidate should be held to the highest standards of excellence in the area or areas that are central to his/her responsibilities.

Teaching: All probationary faculty are expected to contribute to the full range of Departmental teaching activities, including formal undergraduate courses, graduate courses and seminars, and individualized teaching. The faculty member's teaching will be assessed by a combination of student and peer review, such as the quantitative measure of Student Evaluation of Instruction, qualitative written feedback from students, and written reviews of teaching by other faculty members. The teaching must be demonstrably strong (or, at the least, consistently improving) quality. High quality training of graduate students is also an important component of teaching activities. An outstanding research program will not substitute for substandard teaching performances in the final review for promotion and tenure.

Research: All faculty members are expected to develop a productive, high quality program of research scholarship. The contributions of a probationary faculty member in this area will be based on his/her record in: (1) applying for and success in obtaining extramural funding; (2) publications and presentations of original research data; and (3) other activities indicative of a research program of recognized excellence. In addition, a high degree of ethics must be demonstrated in the conduct of research, including but not limited to full and timely adherence to all regulations relevant to the research program, and ethical treatment of graduate students, postdoctoral fellows, and collaborators.

The evaluation of extramural funding is based primarily on the evidence of effort by the faculty member in garnering such funding, and maintaining such funding once it is received. Applications for extramural funding by faculty members to governmental agencies or private foundations are expected. Faculty members with projects that are especially difficult to fund must consider applying to several funding sources, if appropriate. Successful applications for extramural funding, which have been critiqued by external reviewers, indicate original and potentially productive research

ideas. Successful applications are, therefore, weighted more heavily in favor of candidates for promotion or tenure. Continued failure to obtain extramural funding will jeopardize a faculty member's chances for promotion or tenure. In a time of decreasing availability of extramural funds, all sources of potential funds must be explored.

The evaluation of a faculty member's publications is based primarily on the frequency of publication and their place of publication or other indicators of quality of work. Major publications (as opposed to "notes") in refereed, high quality journals, reporting the results of original research are expected. Articles published in journals of the faculty member's primary field of interest with critical peer review and high editorial standards are weighted more heavily than articles published in less demanding journals. Articles in which the faculty member is senior or sole author are weighed more heavily. Technical reports, final project reports for grants, and published or unpublished abstracts are of relatively low value in supporting a promotion and tenure recommendation. It is realized that a probationary faculty member may publish papers resulting from research done before his/her arrival at the University. However, it is expected that by the time of their fourth year review probationary faculty will have published papers resulting from research done entirely since his/her appointment to the regular faculty; these latter publications are considered essential in demonstrating the development of a productive and independent research program.

Additional venues for presentation of research data are scientific meetings at the state, regional, national and international levels. Attendance and presentations at meetings is essential for the development and maintenance of a productive, up-to-date research program and, therefore, are necessary for promotion and tenure. However, presentations, whether or not by invitation, do not substitute for refereed publications in scientific journals.

Other activities of faculty members are indicative of a well-established, productive and sustained research program, and the faculty member's status in his/her field of research. Such activities include, but are not limited to, (1) authorship of review articles, monographs, or book chapters, especially by invitation, (2) the ability to attract and support postdoctoral fellows, (3) authoring or editing books, and (4) presentations of research at invited symposia or seminars. These and related activities provide additional support for tenure and promotion recommendations.

Service: Service includes a mixture of professional activities that can be placed in three categories; University service, professional service, and public service. University service encompasses administration of academic units, programs, or facilities, membership on Department, College or University committees, and undergraduate student advising. This work is essential for the maintenance and development of the University, and all faculty members in the Department of Molecular Genetics are expected to contribute. Professional service includes membership on executive or editorial boards and special committees of professional societies, reviewing manuscripts submitted for publication or proposals submitted to funding agencies, service on grant panels, and organizing seminars and symposia. These activities provide an avenue for career development complementary to research endeavors, and increase the stature of the Department, the College, and The Ohio State University in academic and scientific communities. Public service involves assistance or advice given to individuals or groups outside of academic or professional circles that requires application of special skills or expertise in biological sciences. Membership in civic or religious organizations does not qualify in this regard.

Service is an important mission of The Ohio State University and all faculty are expected to make a contribution. However, for purposes of promotion and tenure, service is less important than teaching and research. Service activities enhance an individual's record, but they cannot substitute for weak performances in teaching or research.

2. Promotion to Rank of Professor

Promotion to the rank of Professor shall be based on convincing evidence that the faculty member has a sustained record of excellence in teaching; has produced a high impact of work that is recognized nationally or internationally; and has demonstrated leadership in administrative/professional service. However, in accordance with the College of Arts and Sciences policies, the department also recognizes that a career may consist of various phases in which a concentration on scholarly activity, teaching, or administrative/professional service creates a composite professional life. Where a candidate has made truly extraordinary contributions in the areas of teaching or service, that record may warrant promotion in combination with a less extensive, though excellent record of continued productivity in scholarship. Teaching excellence will be assessed by a combination of student and peer review, such as the quantitative measure of Student Evaluation of Instruction, qualitative written feedback from students, and written reviews of teaching by other faculty members. The teaching must be consistently strong). Evidence of a significant body of scholarship will be based upon the track record of extramural grant funding, publications in high quality journals, invitations to present research results at meetings and/or other academic units, and evaluation letters by experts in the field. Leadership in service will be evaluated by activities in departmental, college, university and professional services as described for promotion of probationary faculty to tenure.

3. Auxiliary and Courtesy Faculty

Auxiliary faculty cannot attain tenure, but they can be promoted in rank. The criteria for the promotion of a courtesy faculty member are made at the same rank as the faculty member's tenure-initiating unit. The faculty member has to meet the criteria for promotion in their home unit. Molecular Genetics may assess whether the individual's contributions to the department warrant continuing the appointment.

VIII. PROCEDURES FOR PROMOTION AND TENURE REVIEWS

The Department's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule 3335-6-04 <http://trustees.osu.edu/rules/university-rules.html> and the Office of Academic Affairs annually updated procedural guidelines for promotion and tenure reviews http://oaa.osu.edu/handbook/xi_ptannual.html. The following sections, which state the responsibilities of each party to the review process, apply to all faculty tracks in the Department.

Note that the remainder of this section is divided into three parts:

General Considerations
Procedures for the Promotion of Probationary Faculty, with Timeline
Procedures for the Promotion to Professor

A. General Considerations

- All candidates for promotion and tenure are reviewed by the eligible faculty and the Chair of their tenure-initiating unit. Candidates will also be reviewed at the college and university levels. The tenure initiating unit Chair is responsible for informing the candidate in writing of the Provost's final decision (if negative) or recommendation to the Board of Trustees (if positive).
- The Department Chair verifies the prospective candidate's residency status. Faculty who are neither citizens nor permanent residents of the US will not be awarded tenure until permanent residency status is established.
- The review for tenure during the final year of a probationary period is mandatory and must take place. It is the responsibility of the faculty member to prepare the dossier for promotion and tenure with the exception of the invited letters, and evaluation of teaching.

- A faculty member may ask to be considered for non-mandatory promotion and tenure review at any time; however, the tenure initiating unit Promotion and Tenure Committee may decline to put forth a faculty member for formal non-mandatory review. Tenured faculty members may be denied a formal promotion review by the committee of the eligible faculty one time.
- Only the candidate may stop any review for promotion and tenure once external letters of evaluation have been sought. The candidate may withdraw from the review at any stage of the process by so informing the tenure initiating unit chair in writing. Withdrawal from the mandatory tenure review during the final probationary year means that tenure will not be granted.
- The candidate will be provided with the reports and recommendations that result from the Department level review, and has an opportunity to provide written comments addressing the review for inclusion in the dossier. Similarly, the candidate will be provided with a copy of the reports and recommendations that result from the college level review and will have an opportunity to provide the Dean with written comments addressing the college level review for inclusion in the dossier.

B. Procedures

1. Promotion of Probationary Faculty with Timeline

- The timetable for the annual reviews (by the Promotion and Tenure Committee (PTC) and Chair) and considerations for promotion and tenure for probationary faculty are summarized in the table in Appendix A. The exact dates for submission of promotion and tenure dossiers are established by the Division of Natural and Mathematical Sciences (NMS) and the College of Arts and Sciences (CAS). Thus, the dates provided below are only approximate and must be considered flexible. Faculty hired during January of an academic year will be reviewed with those faculty hired during the following September. Faculty hired during the spring or summer will be reviewed along with those faculty hired the following September (i.e., September of the same calendar year).
- **Seminar Requirement**
All probationary faculty in the Department of MG are required to present a Departmental seminar in their fifth year. The faculty member should check with the Departmental Seminar Committee well in advance for scheduling this seminar.
- **Sources of Help and Information During the Tenure Process**
Untenured Assistant Professors must, in a relatively short period of time, establish themselves as productive members of the Department of MG and The Ohio State University if they are to be tenured and promoted. It is essential that these faculty members understand clearly the criteria for tenure and promotion within the Department of MG and their progress towards meeting these criteria. Assistant Professors having questions regarding the above criteria or their progress towards meeting such criteria are urged to seek assistance via one or more of the following mechanisms.
- Each Assistant Professor can request to meet with the PTC on an annual basis to discuss his/her progress in the Department of MG should the need arise at other times during the academic year.
- The Chair of the Department of MOLGEN prepares a recommendation for tenure and promotion independent of that prepared by the PTC. Probationary faculty are urged to discuss their progress in the Department with the Chair at their convenience.

- Each new faculty member in the Department of MG has the opportunity to select a "tenure advisor." If the faculty member selects this option, a tenured member of the faculty is asked by the Chair of the Department to act as such an advisor. Mutual agreement of all parties involved is required before such an agreement is reached. It is envisioned that the advisor will follow closely the progress of the new faculty member in meeting the criteria for promotion and tenure, and provide "advice" when necessary. However, the ultimate responsibility of meeting the criteria for tenure and promotion will lie with the untenured faculty member.

2. Promotion to Professor

- The procedures for promotion to Professor differ only slightly from the procedures for tenure and promotion. Faculty who elect to be considered will present to the PTC the necessary documents so their contributions in the areas of teaching, research, and service, can be evaluated. If the candidate's credentials do not support a positive recommendation, the review process stops at this point. Tenured faculty members may only be denied a formal promotion review by the committee of the eligible faculty one time. If the candidate's credentials support a positive recommendation, then outside letters are requested so the candidate's dossier can be prepared during the following autumn.
- A promotion to Professor requires letters from outside evaluators. Once letters from outside evaluators have been requested, the promotion process must be carried to its completion unless the candidate requests that the evaluation process be terminated. This request must be made in writing to the Chair of the Department.
- The letters from outside evaluators must be solicited by the Department's Chair or the chair of the Department's P & T committee utilizing the same procedures as for sixth year reviews (Appendix A). Once again, unsolicited letters, or letters solicited by the candidate, will not be reviewed by the PTC, or Chair, nor will they be included in the candidate's dossier. Individuals junior in rank to the candidate are not acceptable. Letters from the candidate's collaborators may be appropriate as a means of determining a candidate's contributions to joint work, but such persons should not be asked for letters of evaluation.
- The candidate should supply the PTC's Chair with copies of his/her CV, reprints, and a 6-9 page narrative summarizing his/her research program so these materials can be sent to the outside reviewers. The outside evaluators are provided with the candidate's updated curriculum vita, as well as reprints of representative publications; if the candidate wishes, reprints of all publications, or copies of other materials deemed to be important by the candidate, will be sent to the outside reviewers. Letters are sent to the outside evaluators during summer or early autumn. The evaluators are asked to respond within a month of the date the letter was sent. Research in View, the University's on-line system will be used to prepare the dossier.
- As stated, the PTC makes a preliminary recommendation that candidates for promotion to Professor can apply formally for promotion. If promotion is denied after a full and formal review, then the candidate must wait at least two years before reapplying

C. Documentation

It is critical that faculty keep appropriate records so that recommendations for tenure and/or promotion can be documented accurately and completely. Listed below are some possible types of records faculty should keep. While these are listed under the categories of teaching, research, and service, it is recognized that these categories are often inseparable.

Teaching: For the time period since the last promotion.

Cumulative SEI reports (Student Evaluation of Instruction computer generated summaries of any discursive comments solicited in the last 5 years prepared by the Office of the University Registrar) for every class. See the appendix to this document for procedures for collecting and reporting SEI results.

Peer evaluation of teaching reports are required (details provided in the Appendix to this document).

Copies of pedagogical papers, books or other materials published, or accepted for publication.

Other relevant documentation of teaching as appropriate.

Research: Faculty should keep records of all activities demonstrating research productivity and excellence. For example, records of publications, grants submitted, grants received, presentations at scientific meetings, and seminar presentations should be included in the dossier. Any other activities that demonstrate that the faculty member is developing a productive, high quality research program, such as awards from professional societies, should also be included. Letters from outside evaluators are required for the granting of tenure and promotion to Associate Professor, and promotion to Professor.

Service: Service on Department, College and University committees, or election to any of the University's governing boards (e.g., University Senate) should be documented, as well as any leadership role on these committees (e.g., Chair, etc.). Any activities associated with professional societies should also be documented. Such activities might include service on society committees, organizing workshops, symposia, or serving as a session Chair at meetings. Similarly, any other service activities performed outside of the University, but requiring an expertise in biology, should be documented. Such activities would include presentations at local schools, judging at science fairs, answering letters of inquiry, representing the Department at activities such as BioSci Day, etc. Service in civic and religious organizations should not be included in this section.

In some instances it may be difficult to evaluate the quality and quantity of service, especially in those activities outside of the University. Thus, candidates for promotion and/or tenure should, if necessary, explain the nature of the service activity. For example, faculty should indicate whether they were asked (or elected) to perform the service activity or they volunteered. They should also indicate if the service activity involved a leadership role, and the nature of that role.

IX. APPEALS

Faculty Rule 3335-6-05 (A) sets forth general criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule 3335-5-05.

Disagreement with a negative decision is not grounds for appeal. In pursuing an appeal, the faculty member is required to document the failure of one or more parties to the review process to follow written policies and procedures.

X. SEVENTH YEAR REVIEWS

Every effort should be made to consider new information about a candidate's performance before a final decision is made if the new information becomes available before a decision is rendered. In rare instances, the department may petition the dean to conduct a seventh year review for an assistant professor who has been denied promotion and tenure. Both the eligible faculty of the department and the chair must approve proceeding with a petition for a seventh year review. The petition must provide documentation of substantial new information regarding the candidate's performance that is germane to the reasons for the original negative decision. Petitions for seventh

year reviews must be initiated before the beginning of the last year of employment because the seventh year review, if approved, would take place during the regular university review cycle of the assistant professor's seventh and last year of employment.

If the dean concurs with the department's position, the dean shall in turn petition the provost for permission to conduct a seventh year review. If the provost approves the request, a new review will be conducted equivalent to the one that resulted in the nonrenewal of the appointment. Conducting a seventh year review does not presume a positive outcome. In addition, should the new review result in a negative decision, the faculty member's last day of employment is that stated in the letter of nonrenewal issued following the original negative decision.

A faculty member may not request a seventh year review, appeal the denial of a seventh year review petition initiated by his or her department, or appeal a negative decision following a seventh year review, since the faculty member has already been notified that tenure has been denied at the conclusion of the sixth year review.

XI. PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING

The overall goal of the teaching program in the Department of Molecular Genetics is to provide students with an exceptional learning experience. To meet this goal, the members of the teaching staff in the Department of Molecular Genetics are expected to provide the best possible instruction in all courses in which they participate. The department will use the procedures described below to monitor the quality of instruction and to provide feedback that will lead to improvements in the quality of instruction.

A. Student Evaluations of Teaching

- Student evaluation of faculty instruction will be performed for each formal lecture and laboratory course for all faculty in the department. Only evaluations from the last 5 years are to be included for those being considered for promotion to full Professor.
- Faculty will use SEI forms for the evaluation of instruction in all lecture and laboratory courses since these forms will permit comparison of results with other colleagues in the department, college and university. Additional comments may also be obtained using a form that is designed by the instructor.
- The administration of the evaluation must not be under the control of the faculty member being evaluated.
- A copy of the results of the evaluation will be included with the annual Faculty Activity Report.

B. Peer Evaluation of Teaching

- Assistant professors will be evaluated in every course or at least once every calendar year. Associate professors will be evaluated every two years.
- A tenured faculty member who is of equal or greater rank than the faculty member who is being evaluated will conduct the evaluation.
- Wherever possible, faculty who are team teaching in the same course should perform the evaluation.
- Copies of the evaluation report will be provided to the faculty member who is evaluated, the department chair and the chair of the departmental curriculum committee. In addition, a copy will be placed in the faculty member's permanent file in the departmental office.
- The following information will be included in the evaluation report:
 - Name of instructor

- Name and number of course being evaluated
- Academic term when the course was evaluated
- Name of evaluator
- Number of lectures/laboratories that were attended by the evaluator
- The following topics should be addressed:
- Syllabus, handouts and examinations (if available)
- Clarity, organization and pace of presentation
- Mechanics of presentation (voice volume, speed, mannerisms)
- Use of teaching aids (projector, blackboard, etc.)
- Student interactions (questions/answers)
- Strong points
- Suggestions for improvements
- Overall summary

C. Evaluation of Graduate Teaching Assistants (GTAs)

GTAs who participate directly in the instruction of students (lecturing, recitations, laboratory supervision) will be evaluated by the students in the course and by the faculty supervisor, typically by a classroom visit.

The evaluations will occur in each Molecular Genetics course in which the teaching assistant participates.

The results of the evaluation will be provided to the GTA, his/her faculty mentor and to the chair of the Graduate Studies Committee. **APPENDIX A: GUIDELINES ON TIMING FOR PROBATIONARY FACULTY.**

IMPORTANT: Actual dates might vary at any given year, therefore this table does not release the candidate from the duty of gaining the correct, most up-to-date information from OAA.

Years	Dates	TIMETABLE FOR PROBATIONARY FACULTY
1st-6th	Jan. to Mar.	<ul style="list-style-type: none"> • The Chair of the PTC requests from each probationary faculty member updated information on teaching, research, and service. • Each probationary faculty member will meet, at his or her discretion, with the PTC Chair to discuss his/her progress towards meeting the criteria for promotion and tenure within the Department and University. • As part of this review process the PTC must make a recommendation as to whether or not the faculty member should be reappointed for another year. A summary of this meeting is communicated, in writing, to the Department's Chair. • During a probationary period a faculty member will be reviewed annually in accordance with the University rules and with the policies of the Department. The annual review will encompass the faculty member's performance in teaching, in scholarship, and in service; as well as evidence of continuing development. External evaluations of the faculty member's work, required for tenure and promotion reviews, may be obtained for any annual review if judged appropriate by the PTC or Department Chair. • The Department Chair will inform each probationary faculty member at the time of initial appointment, and in a timely fashion each year thereafter, when the annual review will take place and provide a copy of the Office of Academic Affairs dossier outline to be completed by the faculty member

		<p>in reporting accomplishments to date.</p> <ul style="list-style-type: none"> • At the completion of the review the Department Chair will provide the faculty member and the Dean of the college with a written assessment of the faculty member's performance and professional development. The assessment will include both strengths and weaknesses, as appropriate. • If the Chair's recommendation is to reappoint the faculty member to another probationary year of service, that recommendation will be final. • A recommendation from the Chair to not reappoint the faculty member to another probationary year requires a review that follows fourth year review procedures and the Dean shall make the final decision on the matter. • All annual review letters become a part of the faculty member's dossier for subsequent annual reviews during the probationary period, including the review for promotion and tenure. • If a probationary faculty member has completed two or more years of service and is terminated, then he/she is entitled to a one year appointment following receipt of the decision to terminate. • The candidate should become familiar with the types of data, including <i>Research in View</i>, needed for preparing their dossier. Awareness of such details is critical for guiding recordkeeping over the course of the entire probationary period. For example, graduate student mentoring should be documented by names, dates, projects, advisory committee meetings, etc.
1st-6th	Mar. to July	<ul style="list-style-type: none"> • A copy of the Chairs' annual evaluations will be included in the faculty member's promotion and tenure dossier for fourth and sixth year reviews
4th	Fall Semester	<p><u>Fourth Year Review</u></p> <ul style="list-style-type: none"> • The candidate's dossier is prepared according to instructions provided by the Division of Natural and Mathematical Sciences (NMS) and the College of Arts and Sciences (CAS) and in accordance with Office of Academic Affairs guidelines. Included in the dossier will be a completed copy of the Provost's form, copies of the annual reviews prepared by the Department's Chair and the PTC, and the recommendations of the Chair and the PTC. Unsolicited materials will not be included in the dossier. • The Department's PTC and office staff will assist a candidate in preparing his/her dossier, but the candidate bears the ultimate responsibility for the completeness and accuracy of his/her dossier. • After evaluating all information, the PTC votes to recommend for a positive or negative fourth year review. A simple majority positive vote of the PTC is required for a positive recommendation to be made. • The report of the committee including the results of the vote are communicated in writing to the Department's Chair and are included in the candidate's dossier. • The Chair of the Department prepares a separate assessment indicating his/her recommendation for a

		<p>continuation of the appointment for a fifth year, and this assessment is included in the candidate's dossier.</p> <ul style="list-style-type: none">• When the PTC report and Department Chair's assessment have been completed, the candidate must be notified in writing of the completion of the review. The candidate will be provided with a copy of the PTC report by the PTC Chair and will be also given a copy of the evaluation letter from the Department Chair.• The candidate may provide the Department Chair with written comments addressing the review for inclusion in the dossier within ten calendar days of notification of the completion of the review.• The PTC or Department Chair may provide a response to the candidate's comments for inclusion in the dossier. There will be only one iteration of comments on the Department-level review.• The dossier must then be reviewed for completeness by the candidate along with the Department Chair and a representative of the PTC before submitting to the College.
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4th	Spring Semester	<ul style="list-style-type: none"> • By this time the candidate's dossier should be at the College for review by the College Promotion and Tenure Committee and the Dean. Reappointment of a probationary candidate for another year requires the Dean's approval. • When the College P&T Committee report and Dean's recommendation have been completed, the candidate will be notified in writing of the completion of the college-level review and will be provided with a copy of the college-level report and Dean's recommendation. • The candidate may provide the Dean with written comments addressing the college-level review for inclusion in the dossier within ten calendar days of notification of the completion of the review. • The College Promotion and Tenure Committee and/or Dean may provide a response to the candidate's comments for inclusion in the dossier. • Fourth-year reviews are complete after the college-level review of the dossier; there is no university level review. • The candidate has the option to request a tenure review prior to the sixth year.
5th	Summer term/early Autumn Semester	<p><u>Sixth Year Review</u></p> <ul style="list-style-type: none"> • The candidate's sixth year review begins. The candidate prepares a dossier in the exact and current format stipulated by the Office of Academic Affairs. The Department Chair and Chair of the PTC will assist a candidate in preparing his/her dossier, but the candidate bears the ultimate responsibility for the completeness and accuracy of the dossier. • A minimum of five credible and useful evaluations must be obtained. A credible and useful evaluation is written by a person highly qualified to judge the candidate's research (or other performance, if relevant) who is not a close personal friend, research collaborator, or former academic advisor or post doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. In addition such letters provide sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case. • The candidate and the PTC each prepare a list of potential outside evaluators. In addition, the candidate will prepare a list of persons who he/she believes should not be contacted for outside evaluations because of conflicts of interest or other adverse conditions. • Neither former collaborators nor individuals junior in rank to the candidate are acceptable. Letters from the candidate's collaborators may be appropriate as a means of determining a candidate's contributions to joint work, but such persons should not be asked for letters of evaluation. • A list of potential evaluators is assembled by the Promotion and Tenure Committee, the Department Chair, and the candidate. If the evaluators suggested by the candidate meet

		<p>the criteria for credibility, a letter is requested from at least one of those persons. Section B(3) of Faculty Rule 3335-6-04 http://trustees.osu.edu/rules/university-rules.html requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor this Department requires that the dossier contain letters from evaluators suggested by the candidate.</p> <ul style="list-style-type: none"> • The Department follows the Office of Academic Affairs suggested format, provided at http://oaa.osu.edu/handbook/xi_ptannual.html, for letters requesting external evaluations. • Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with external evaluators for any purpose related to the promotion review. If an external evaluator should initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such communication is inappropriate and report the occurrence to the Department Chair, who will decide what, if any, action is warranted, e.g., requesting permission from the Office of Academic Affairs to exclude that letter from the dossier. It is in the candidate's self-interest to assure that there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process. • All solicited external evaluation letters that are received must be included in the dossier. If concerns arise about any of the letters received, these concerns may be addressed in the Department's written evaluations or brought to the attention of the Office of Academic Affairs for advice. • From the two lists of potential outside evaluators, the PTC Chair will choose 9-12 names with a goal of obtaining well more than half of the letters from the PTC list rather than from the Candidate's list. The Chair of the Department will contact these potential reviewers to determine if they are willing to supply this professional service. • Should fewer than six of the potential evaluators chosen agree to participate, the PTC shall recommend additional names to the Chair. • For use by referees, the candidate should supply the Chair with a CV, reprints, and a 3-5 page narrative describing his/her past, current, and planned research. Documents should be submitted in hard copy as well as in PDF formats. • The Chair of the Department solicits letters of evaluation. All letters returned by the outside evaluators will be included in the candidate's dossier. Letters solicited by the candidate, or unsolicited letters, will not be included in the candidate's dossier.
6th	Autumn Semester	<ul style="list-style-type: none"> • The Chair of the PTC requests from each candidate updated information on teaching, research, and service. This information must be provided in the format prescribed by the Office of Academic Affairs. • The PTC votes on the candidacy. A simple majority of the

		<p>members of the Promotion and Tenure Committee must be present and vote yes or no on a case for the vote to be valid. Abstentions are not votes. A simple majority of yes and no votes must be yes for a vote to be considered positive. Absentee voting is not permitted.</p> <ul style="list-style-type: none"> • The PTC prepares a detailed, written assessment of the candidate's performance, and the PTC's vote and written assessment are sent to the Department's Chair; a copy of the PTC's written assessment and recommendation will be included in the candidate's dossier. A simple majority affirmative vote of the PTC will constitute a positive recommendation for renewal. • The Department Chair prepares an independent recommendation. The PTC assessment and the Department Chair's recommendation are provided to the candidate, and are included in the candidate's dossier. Procedures for comment by the candidate are the same as were described for the fourth year review.
6th	Nov.	<ul style="list-style-type: none"> • The candidate's dossier is forwarded to the College office for review by the College's PTC and the Dean.
6th	Dec.-Mar.	<ul style="list-style-type: none"> • During this time the College Promotion and Tenure Advisory Committee, the Dean, the University Promotion and Tenure Advisory Committee, and the Provost should have made their recommendations. These recommendations are sent to the Chair of the Department, and the Chair forwards these to the candidate. • In the event a candidate is not awarded tenure, his/her appointment will be terminated at the end of his/her seventh year of appointment (i.e., May 31).
6th	Dec.-June	<ul style="list-style-type: none"> • Provost informs Dean of his/her decision who in turn informs the Chair.
6 th	April-June	<ul style="list-style-type: none"> • Positive recommendations forwarded to the Board of Trustees for final approval.

APPENDIX B:
POLICIES REGARDING COURTESY FACULTY

Mechanism of Appointment

- The requestor agrees to give a seminar in the MOLGEN series. Depending on where we are in the cycle, there may not be a seminar slot available for six months to a year. During the wait, the requestor is encouraged to seek out interactions with the faculty by attending the seminar series, serving on committees, guest lectures in classes, etc.
- During this time, a regular MOLGEN faculty will be selected to “represent” the requestor.
- At a regularly scheduled faculty meeting after the seminar (generally expected to be within 1-3 months), the MOLGEN representative will request a spot on the agenda to hold the formal vote. The MOLGEN faculty may wish to review the requestor’s CV or other materials at this meeting before the vote is held.

Policies for Courtesy Faculty

1. Courtesy faculty appointments will be reviewed every five (5) years. At the end of the fourth year of the appointment, each courtesy faculty member will be invited to present in the MOLGEN seminar series at a regularly scheduled faculty meeting shortly after this seminar, the faculty will vote whether to extend the appointment for an additional five years.
2. Extension of the courtesy appointment will require a positive vote by 50% of the regular faculty. The decision to extend the appointment may be based on considerations other than whether the faculty member in question continues to fulfill a unique departmental need.
3. Courtesy faculty are encouraged to maintain an active role in the department. This could include attending departmental meetings, seminar series and symposia, engaging in teaching with the department, engaging in service within the department, playing roles in graduate and faculty recruiting, etc.
4. Although all courtesy faculty will be eligible to take rotation students during the three rotations, no individual graduate student will be permitted to perform more than one of their first three rotations in the lab of a courtesy faculty member. If a single courtesy faculty member already has two MOLGEN graduate students in the lab, no further rotations from MOLGEN graduate students will be permitted without permission from the MOLGEN chair and the Graduate Studies Committee (GSC). We will continue our current policy that after three rotations, graduate students who have not identified a thesis lab can rotate in labs inside or outside the department at the discretion of the GSC.