

**APPOINTMENTS, PROMOTION AND TENURE
DEPARTMENT OF MOLECULAR AND CELLULAR BIOCHEMISTRY
COLLEGE OF MEDICINE
OHIO STATE UNIVERSITY**

TABLE OF CONTENTS

A. PREAMBLE	3
B. DEPARTMENT MISSION	3
C. DEFINITIONS	
Committee Of The Eligible Faculty	4
Quorum	5
Recommendation from the Committee of Eligible Faculty	5
D. APPOINTMENTS	
<i>Criteria</i>	
Description of Faculty Positions	5
Tenure-track Faculty Appointments	10
Research Faculty Appointments	11
Associated Faculty Appointments	13
<i>Procedures</i>	
Tenure-track Faculty Appointments	14
Research Faculty Appointments	14
Associated Faculty Appointments	15
E. ANNUAL REVIEWS	
<i>Procedures</i>	
Probationary Tenure-track Faculty	15
Fourth Year Review	16
Termination of Probationary Faculty	17
Exclusion of Time From Probationary Period	17
Tenured Faculty	19
Research Faculty	20
Transfers Between Tenure-track And Research	20
F. MERIT SALARY INCREASES AND OTHER REWARDS	21
G. PROMOTION & TENURE AND PROMOTION REVIEWS	
<i>Criteria</i>	
Promotion to Associate Professor with Tenure	22
Research	22
Teaching	25
Service	26
Promotion to Professor	26
Promotion of Research Faculty	27
Procedures for Promotion	28
Documentation	31
H. APPEALS	32
I. SEVENTH YEAR REVIEW	32

A. PREAMBLE

This document is a supplement to Chapter 6 and 7 of the Rules of the University Rules (Rules of the University Faculty Concerning Faculty Appointments, Reappointments, Promotion And Tenure; Rules of the University Faculty Concerning Clinical Faculty and Research Faculty Appointment, Reappointment And Non-reappointment, And Promotion, respectively), the Office of Academic Affairs procedural guidelines for promotion and tenure reviews, and the policies established by the College of Medicine. Should those rules and policies change, the department shall follow the new rules and policies and update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least once every four years on appointment or reappointment of the department Chair.

The Dean of the College and the Provost of the University must approve this document before it can be implemented. It sets forth the department's mission and, in the context of that mission and the missions of the college and University, its criteria and procedures for faculty appointments, and its criteria and procedures for faculty promotion, tenure and rewards, including salary increases. In approving this document the Dean and Provost accept the mission and criteria of the department and delegate to it the responsibility to apply high standards in evaluating continuing faculty and candidates for positions in relation to its mission and criteria.

The faculty and the administration are bound by the principles articulated in the established Faculty Rules.

Decisions considering appointment, reappointment, and promotion and tenure will be free of discrimination in accordance with the university's policy on equal opportunity (<http://hr.osu.edu/policy/policy110.pdf>).

B. DEPARTMENT MISSION

The Department of Molecular and Cellular Biochemistry (MCB) has the mission of teaching, service and research in biochemistry and molecular biology, with the field being defined broadly in each area in terms of the contents of the *Journal of Biological Chemistry* (the organ of the American Society of Biochemistry and Molecular Biology). The research component consists essentially of the individual research programs of the Department faculty. The teaching component includes the biochemistry/ molecular biology/nutrition portions of the medical and allied medical sciences programs as well as graduate training of Ph.D. students (both formal coursework and research training). Service includes work at the national and local levels in relation to professional societies and journals, peer review for granting agencies, as well as administrative service on departmental, college and University committees. A major goal of the department is to enhance its performance in each of these three principal areas of endeavor.

The department shall assure that its Guidelines on Faculty Duties and Responsibilities, included in its Pattern of Administration, is consistent with its mission and its criteria for appointments, promotion, and tenure, merit salary increases and other rewards.

C. DEFINITIONS

1. COMMITTEE OF THE ELIGIBLE FACULTY

a. Tenure-track Faculty

The eligible faculty for appointment reviews of tenure-track faculty consists of all tenure-track faculty whose tenure resides in the department.

The eligible faculty for senior rank of new appointments, reappointment, promotion and tenure, and promotion reviews of tenure-track faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

For tenure reviews of probationary professors, eligible faculty are tenured professors whose tenure resides in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

b. Research Faculty

The eligible faculty for senior rank of new appointments, appointment reviews of research faculty consists of all tenure-track faculty whose tenure resides in the department, all clinical faculty whose primary appointment is in the department, and all research faculty whose primary appointment is in the department.

The eligible faculty for reappointment, contract renewal, and promotion reviews of research faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the department, all nonprobationary clinical faculty of higher rank than the candidate whose primary appointment is in the department, and all nonprobationary research faculty of higher rank than the candidate whose primary appointment is in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

c. Conflict of Interest

A conflict of interest exists when an eligible faculty member is related to a candidate or has a comparable close interpersonal relationship, has substantive financial ties with the candidate, is dependent in some way on the candidate's services, has a close professional relationship with the candidate (dissertation advisor), or has collaborated so extensively with the candidate that an objective review of the candidate's work is not possible. Generally, faculty members who have collaborated with a candidate on at least 50% of the candidate's published work since the last promotion will be expected to withdraw from a promotion review of that candidate.

d. Minimum Composition

In the event that the department does not have at least three eligible faculty members who can undertake a review, the department chair, after consulting with the dean, will appoint a faculty member from another department within the college.

2. QUORUM

The quorum required to discuss and vote on all personnel decisions is two-thirds of the eligible faculty not on an approved leave of absence. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the department chair has approved an off-campus assignment.

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

3. RECOMMENDATION FROM THE COMMITTEE OF THE ELIGIBLE FACULTY

In all votes taken on personnel matters 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.

a. Appointment

A positive recommendation from the eligible faculty for appointment is secured when a simple majority of the votes cast are positive.

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

A positive recommendation from the eligible faculty for reappointment, promotion and tenure, promotion, and contract renewal is secured when a simple majority of the votes cast are positive.

D. FACULTY APPOINTMENTS AND REAPPOINTMENTS

CRITERIA

The MCB Department is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the department. Important considerations include the individual's record to date in teaching, research, and service; the potential for professional growth in each of these areas; and the 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. No offer will be extended in the event that the search process does not yield one or more candidates who would enhance the quality of the department. The search is either cancelled or continued, as appropriate to the circumstances.

1. DESCRIPTION OF FACULTY POSITIONS

ASSISTANT PROFESSOR

An appointment to the rank of Assistant Professor is always probationary and usually may not exceed six years, including prior service credit. 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.

An appointment as Professor or Associate Professor will generally entail tenure. However, a probationary period not to exceed four years may be granted by the Office of Academic Affairs upon petition of the tenure initiating unit and college. For the petition to be approved a compelling rationale must be provided regarding why appointment at a senior rank is appropriate but tenure is not. One example of a situation where a probationary period might be requested would be a new recruit who received tenure at an institution that does not have criteria as rigorous as the department and college. All appointments to the rank of Associate Professor or Professor require prior approval of the Executive Vice President And Provost.

Promotion and tenure may be granted at any time during the probationary period when the faculty member's record of achievement merits tenure and promotion. Similarly, a probationary appointment may be terminated at any time subject to the notice provisions of rule 3335-6-08 of the Administrative Code and the provisions of paragraphs (G), (H), and (I) of this rule.

Probationary tenure- faculty members will be informed no later than the end of the year in which their mandatory review for tenure takes place as to whether tenure will be granted by the beginning of the following year. If tenure is not granted, a one year terminal year of employment is offered.

In the MCB Department, an appointee at the assistant professor level normally will have a Ph.D. and a strong post-doctoral experience. Candidates for appointment at this rank will be expected to have demonstrated an initial level of accomplishment in the establishment of a research career. This will be reflected by the achievement of journal publications and presentation of papers at recognized scientific societies. Previous or current research support will be highly desirable.

ASSOCIATE PROFESSOR OR PROFESSOR

The criteria for appointment at the rank of Professor or Associate Professor in the MCB Department will be consistent with those for promotion to these ranks as defined later in this document regarding criteria for promotion and tenure. All appointments to the rank of Associate Professor or Professor require prior approval of the dean, and Executive Vice President and Provost.

ASSOCIATE PROFESSOR OR PROFESSOR WITHOUT TENURE

An appointment as Professor or Associate Professor will generally entail tenure. In some cases, candidates for appointment at these ranks may be appointed without tenure for a probationary period as specified by Faculty Rule 3335-47-03, Section (B) (1) (Length of probationary period). The probationary period, not to exceed four years, may be granted by the Office of Academic Affairs upon petition of the tenure-initiating unit and College. For the petition to be approved a compelling rationale must be provided regarding why appointment at a senior rank is appropriate but tenure is not.

Care in making these appointments will be exercised, especially if the probationary period will be less than four years. Requests for such appointments will be submitted for approval by the Dean of the College of Medicine, and the Provost. In the MCB Department, the length of probationary service for Associate Professors or higher will be reviewed by the department A, P&T Advisory Committee with a recommendation provided to the department Chair.

RESEARCH

research faculty appointments are fixed term contract appointments that do not entail tenure. Research faculty are researchers and shall be engaged in research related to the mission and goals of the MCB Department.

Appointments of faculty to the research are made in accordance with faculty rule 3335-7-32 which states: With tenure-track faculty majority approval, research faculty may be appointed by colleges that do not have schools or departments and by schools and departments in colleges that have such subunits. See Faculty Rule 3335-7 for more information <http://trustees.osu.edu/rules7/index.php> .

Research faculty appointments will require one hundred per cent salary recovery that will be derived from extramural funds. They are expected to demonstrate excellence in scholarship as reflected in high quality peer-reviewed publications. Contracts, agreed upon by the faculty member and the Chair will be for a period of at least one year and for no more than five years, and will explicitly state the expectations for salary support. The initial contract is probationary. The Chair will inform the faculty member whether he or she will be reappointed for the following year by the end of each probationary year. By the end of the penultimate year of the probationary contract, the faculty member will be informed as to whether a new contract will be extended at the conclusion of the probationary contract period. In the event that a new contract is not extended, the final year of the probationary contract is the terminal year of employment. There is no presumption that a new contract will be extended. In addition, the terms of a contract may be renegotiated at the time of reappointment.

Research faculty may be appointed to any standing or ad hoc committees at the discretion of the Chair, with the exception of the Promotion and Tenure Committee. Research faculty will not be eligible for voting on promotion and/or tenure for tenure-track faculty, regardless of rank.

Research faculty will be eligible to serve on university committees and task forces but not on university governance committees. Research faculty will also be eligible to advise and supervise graduate and postdoctoral students and to be a principal investigator on extramural research grant applications. Approval to advise and supervise graduate students must be obtained from the graduate school as set forth in rule 3335-5-29 and detailed in the graduate school handbook.

INSTRUCTOR

According to Faculty Rule 3335-47-03 (B) (1): an appointment to the rank of instructor is always probationary and may not exceed three years. 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 Assistant Professor, prior service credit will only be awarded if the faculty member requests it in writing at the time of promotion. This request requires approval of the Chair, Dean and Provost and is irrevocable without formal approval at all levels.

Appointments at the rank of instructor should normally only be made when the offered appointment is that of assistant professor but the appointee has not completed the required terminal degree at the onset of the appointment.

ASSOCIATED FACULTY

Associated faculty as defined in Faculty Rule 3335-5-19 (C) are persons with adjunct titles, clinical 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. Persons with tenure- faculty titles may not hold associated titles. Persons holding associated titles are not eligible for tenure.

Adjunct: instructor, assistant professor, associate professor or professor

The titles of Adjunct Professor, Adjunct Associate Professor, Adjunct Assistant Professor, and Adjunct Instructor shall be used to confer faculty status on individuals who have credentials comparable to faculty of equivalent rank, who provide significant uncompensated or compensated service to the instructional and/or research programs of the University and who require a faculty title to perform that service. Significant service would include teaching the equivalent of one or more courses, advising graduate students or serving on graduate committees, and serving as a co-investigator on a research project. Such individuals may be either non-university employees or University employees compensated on a non-instructional budget. Adjunct appointments are made for the period in which the service is provided not to exceed three years; renewal is contingent upon continued significant contributions. Procedures for the promotion of adjunct faculty members shall be the same as for promotion of faculty. [Rule 3335-5-19 (C) (1)].

Adjunct appointments are at the discretion of the department Chair after consultation with the advisory A, P & T committee. These appointments require formal review every year by the chair if they are to be continued.

Visiting: instructor, assistant professor, associate professor or professor

The titles of Visiting Professor, Visiting Associate Professor, Visiting Assistant Professor, and Visiting Instructor shall be used to confer faculty status on individuals who have credentials comparable to faculty of equivalent rank who spend a limited period of time on formal appointment while in residence at this institution for the purpose of participating in the instructional and research programs of the University. A visiting appointment cannot exceed three continuous academic years of service. [Rule 3335-5-19 (C) (3)].

Visiting appointments are at the discretion of the department Chair after consultation with the advisory A, P & T committee. The appointments can be made for only one year at a time.

Lecturer

The titles of lecturer and senior lecturer shall be used for all compensated instructional appointments where other titles are not appropriate. Lecturers' may engage in the full range of teaching activities as defined under Rule 3335-6-06 (A)(2)..

Appointments of lecturers and sources(s) for compensation will be at the discretion of the department Chair after consultation with the faculty.

Courtesy/joint appointments

Courtesy appointments (joint appointments with no salary) are faculty members from other departments and these faculty make important contributions to the MCB Department. Courtesy (Joint) appointments may be made to any University faculty from other tenure-initiating units whose substantial contribution in teaching and whose research interests enhance the mission of the department. Faculty with courtesy appointments will be invited to faculty meetings and are eligible to vote on all issues except Department Patterns of Administration, Workload Policy and Promotion and Tenure issues. These faculty members may also vote on matters when serving on ad hoc department committees. Courtesy appointments will be reviewed annually by the Chair. Titles assigned to courtesy appointments must mirror those held in their major university appointments.

Emeritus

Emeritus faculty are faculty who, upon retirement, were recommended by the dean and the executive vice president and provost for emeritus status. Emeritus faculty may not vote at any level of governance and may not participate in promotion and tenure matters but may have

such other privileges as individual academic units or the Office of Human Resources may provide.

2. APPOINTMENT AND REAPPOINTMENT OF TENURE-TRACK FACULTY.

Chapter 6 of the Faculty Rules provides the context for appointment, reappointment and tenure in the Department of Molecular and Cellular Biochemistry.

The Tenure-track exists for those faculty members who strive to achieve sustained evidence of excellence in the discovery and dissemination of new knowledge, as demonstrated by a national and international level of significance and recognition of scholarship. In addition, excellence in teaching and outstanding service to The Ohio State University is required, but alone is not sufficient for progress on this track.

Each tenure-initiating unit is responsible for establishing criteria for appointment, reappointment, and promotion and tenure that are consistent with these criteria and for ensuring that every faculty appointment, reappointment, and promotion and tenure recommendation is consistent with these criteria.

Appointment decisions for faculty positions, as defined in rule [3335-6-02](#) of the Administrative Code, must be based on criteria that reflect strong potential to enhance the quality of the Department. Each candidate for appointment should undergo an appropriate faculty review by the Department. A minimum requirement for appointment at or promotion to the rank of Assistant Professor or a higher rank is an earned doctorate or equivalent terminal degree in the relevant field of study or possession of equivalent experience.

Assistant Professor - Positions at the level of Assistant Professor of Molecular and Cellular Biochemistry are offered to faculty candidates who either have no prior faculty experience, or who have an academic appointment elsewhere but have not yet received tenure. These positions will be filled after a national, competitive search in an appropriate research area that is consistent with the mission of the department. Criteria for these positions include (1) demonstrated research productivity as reflected in peer-reviewed papers published in peer-reviewed journals (including, but not limited to: Science, Nature, the Journal of Biological Chemistry, Biochemistry, Cell, Molecular and Cellular Biology and the Journal of Molecular Biology); (2) demonstrated ability to secure extramural grant support, or clear evidence for the likely prospects of same; and (3) evidence of potential excellence in teaching.

Associate Professor - Positions at the level of Associate Professor of Molecular and Cellular Biochemistry are filled by those who have either satisfied the criteria below for tenure while appointed at the Assistant Professor level, or who have been recruited after having successfully obtained tenure at a peer institution with equivalent rigorous standards for promotion and tenure. As discussed below, new recruits who received tenure at an institution that does not have standards comparable to the department may be appointed at the associate level without tenure. Under circumstances of demonstrated ability, a position at the Associate Professor level may be filled by an individual recruited from elsewhere, who have not received academic tenure at the previous institution.

The major criterion for evaluation of the candidate's research program are that the candidate has built a robust research program that has national/international impact in the field of Biochemistry and Molecular Biology as indicated by: (1) a body of publications in the principal peer-reviewed journals in the field of biochemistry and molecular biology (including, but not limited to: *Science*, *Nature*, the *Journal of Biological Chemistry*, *Biochemistry*, *Cell*, *Molecular and Cellular Biology* and the *Journal of Molecular Biology*); (2) impact of the scholarship as measured by journal impact factors and eigenfactors, citations indexes, the candidate's H-factor, and other similar metrics (3) demonstrated ability to obtain and sustain competitive grant support at the national level. Typically, this grant support will come from the National Institutes of Health, the National Science Foundation or other national granting agency having a recognized peer-review process for making awards; (4) demonstrated success in training graduate students and post-doctoral scholars; and (5) other evidence of a nationally/internationally recognized research program (e.g., invitations to speak at national and international scientific meetings, seminar invitations, invitations to review manuscripts and grants, invited review articles, etc.).

Teaching will be evaluated on the basis of the quality of a formal departmental seminar as well as evaluation of the candidate's prior teaching performance, including any teaching awards received at the applicant's prior institutions. Service will be evaluated on the basis of the candidate's: documented participation at the national or international level in the organization of scientific meetings, peer-review of grant applications or service on the editorial boards of scientific journals.

Professor - Criteria for appointment at the rank of Professor similarly include performance in the areas of research, teaching and service. The research program of a candidate for Professor should have achieved a level of international impact. Criteria for measuring impact (e.g., number and quality of publications and sustained funding) should meet or exceed the criteria required for promotion from assistant to associate professor. Additionally promotion to the rank of Professor includes evidence for national/international leadership in the field of Biochemistry and Molecular Biology. Specific examples of scientific leadership included invited presentations at prestigious national and international meetings, elected office in national and international research organizations, chairing NIH or other major study sections, service as editor for scientific journals or on the editorial board of the most prestigious journals (*Cell*, *Science*, *Nature*), and invited reviews in high impact biochemical journals. External letters will be sought for evaluation of the candidate's research effort addressing these specific points. Teaching will be evaluated by peer and student reviews, and teaching awards received. Service will be evaluated on the basis of the candidate's: documented participation in significant department, college and university committees and at the national or international level in the organization of scientific meetings, peer-review of grant applications or service on the editorial boards of scientific journals.

3. APPOINTMENT AND REAPPOINTMENT OF RESEARCH FACULTY.

Chapter 7 of the Faculty Rules provides the context for Research Appointments. University policy provides a mechanism for the appointment of research- faculty in the Department of Molecular and Cellular Biochemistry. Research faculty appointments are fixed-term contract

appointments that do not entail tenure. Research faculty are focused on the research mission of the Department.. The term “research faculty” will exist solely for the purpose of recording this type of appointment in the employment database of The Ohio State University. Titles will be “Research Assistant Professor”, "Research Associate Professor" and "Research Professor". The goals of such appointments in the Department of Molecular and Cellular Biochemistry are career advancement of qualified individuals in the research groups of the Department's tenure-faculty, providing the opportunity for individuals to develop their own independent research programs, including specifically the ability to obtain independent grants.

Research faculty may comprise no more than 25% of the number of tenure-track faculty as approved by a vote of tenure-track faculty in the Department. Research faculty may attend faculty meetings in the Department upon invitation by the Chair, but may not vote. Research faculty will be eligible to serve on University committees and task forces. Research faculty will be eligible to advise graduate and post-graduate students, and to be a Principal Investigator on extramural grant applications. Approval to advise and supervise graduate students must be obtained from the Graduate School as set forth in rule 3335-5-29 of the Administrative Code and detailed in the Graduate School Handbook. Research faculty will not be eligible to serve on the Promotion and Tenure Committee.

Research faculty appointments will require one hundred per cent salary recovery that will be derived from extramural funds. They are expected to demonstrate excellence in scholarship as reflected in high quality peer-reviewed publications. Contracts, agreed upon by the faculty member and the Chair of the MCB Department will be for a period of at least one year and for no more than five years, and will explicitly state the expectations for salary support. The initial contract is probationary. The Chair will inform the faculty member whether he or she will be reappointed for the following year by the end of each probationary year. By the end of the penultimate year of the probationary contract, the faculty member will be informed as to whether a new contract will be extended at the conclusion of the probationary contract period. In the event that a new contract is not extended, the final year of the probationary contract is the terminal year of employment. There is no presumption that a new contract will be extended. In addition, the terms of a contract may be renegotiated at the time of reappointment.

The primary duty of research faculty is to conduct research. Research faculty may, but are not required to, participate in the educational mission of the Department. However, teaching opportunities for each research faculty member must be approved by a majority vote of the tenure-faculty. Under no circumstances may a member of the research faculty be continuously engaged over an extended period in the same instructional activities as tenure-faculty. An appointment to a research faculty position should not be made to displace or make unnecessary an appointment to a tenure-faculty position.

Research faculty will be appointed at a level consistent with the criteria stated above for the tenure-track faculty in the Department of Molecular and Cellular Biochemistry:

Research Assistant Professor – Positions at the level of Research Assistant Professor of Molecular and Cellular Biochemistry may be offered to individuals of exceptional research promise, who typically will be long-standing members in the research groups of the tenure-

faculty in the Department. Criteria for these positions include 1) an earned doctoral or other terminal degree in the relevant field of study, 2) completion of sufficient post-doctoral research training to provide a basis for establishment of an independent research program, 3) demonstrated research productivity as reflected in papers published in peer-review journals (including, but not limited to: Science, Nature, the Journal of Biological Chemistry, Biochemistry, Cell, Molecular and Cellular Biology and the Journal of Molecular Biology), 4) an attitude which reflects adherence to standards of professional ethical conduct consistent with the "Statement on Professional Ethics" by the American Association of University Professors, and 5) demonstrated ability to secure extramural grant support, or clear evidence for the likely prospects of same.

Research Associate Professor – Appointment at the level of Research Associate Professor of Molecular and Cellular Biochemistry requires the candidate to have met the criteria listed above for Research Assistant Professor and established an independent program of research over a period of at least six years. While the individual may continue to collaborate with his/her tenure- Sponsor, it is expected that the individual will have published a significant body of work independently of the Sponsor. Criteria for evaluation of the candidate's research program includes 1) publications in the principal peer-reviewed journals in the field of biochemistry and molecular biology, 2) demonstrated ability to obtain and sustain extramural grant support. Typically, this grant support will come from federal grant agencies having a recognized peer-review process for making awards; and 3) other evidence of a nationally/internationally recognized research program (e.g., invitations to speak at national and international scientific meetings, etc., as above for the Tenure-track).

Research Professor – Criteria for appointment at the rank of Professor includes demonstration of an independent, /internationally recognized research program over a period of at least six years since appointment as Associate Research Professor. Evaluation of the research program includes each of the criteria for the Research Associate Professor level, with the additional expectation that the research program has achieved a level of international prominence. Prominence will be judged, for example by invited presentations at prestigious national international meetings, invited reviews in high-impact biochemical journals and similar indicators listed above.

4. APPOINTMENT OF ASSOCIATED FACULTY

Associated faculty appointments are initiated either by the candidate, or by a representative of the department responsible for a program (usually an educational program) in which the candidate is expected to have a substantial role. In the MCB Department, associated appointments are made by the Chair after consultation with the A, P & T committee. Appointments are made for periods not to exceed three years, and entail no commitment to renew the appointment beyond that period. In order to confer associated faculty status, individuals must possess credentials comparable to faculty of equivalent rank. faculty criteria will serve as a basis for evaluating the occasional associated faculty member who desires promotion. Procedures for promotion and annual review shall be the same as for the promotion of faculty. An appointment at no-salary is warranted only if there is substantial involvement in the academic work of the department.

PROCEDURES

1. APPOINTMENT OF TENURE-TRACK FACULTY

The recruitment of tenure-track to fill vacant positions must be based on a clear and sound plan for the programmatic future of the department and college and on a realistic determination of the availability of resources to support the appointment. The dean of the college must give prior approval of faculty searches. This approval will be based at least in part on a determination that the above criteria have been met.

A Search Committee appointed by the Chair will identify external candidates for appointment in the Department. The Search committee should include a minimum of two MCB faculty members. This Search Committee will undertake a vigorous national search of qualified individuals at the designated level (Assistant, Associate or Full Professor), including the use of advertisements in the leading professional journals (for example, *Science* and *Cell*). Exceptions to this policy must be approved by the college and the Office of Academic Affairs in advance. A minimum of three external letters will be sought for evaluation of the candidate's research effort, teaching, and service. The Chair can solicit additional letters from outside referees not provided by the candidate when appropriate. Candidates identified will be interviewed. This interview should include a formal seminar and an informal meeting with faculty to discuss future scientific and teaching plans. A formal vote of the faculty is required for all appointments with a simple majority in favor indicating consensus support for appointment. The Search Committee provides a recommendation to the Chair who will make an independent evaluation of the candidate and negotiate the terms of appointment. The Chair will then send a letter indicating the department's recommendation to the Dean.

All offers at the level of Associate Professor and Professor, with or without tenure, require full review by the Department Promotion & Tenure committee, which will make a specific recommendation to the Chair. These appointments, including any offers of prior service credit, must be approved by the Office of Academic Affairs. Offers to foreign nationals will be undertaken in consultation with the Office of International Affairs.

2. APPOINTMENT OF RESEARCH FACULTY

The appointment of research faculty must be based on a clear and sound plan for the programmatic future of the department and college and on a realistic determination of the availability of resources to support the appointment.

Appointments at the Research Assistant Professor level shall be made by the Chair, with support of the majority of tenured faculty. Appointments at the Research Associate Professor and Research Professor level shall require a full review and recommendation in writing by the Promotion and Tenure Committee to the Chair of the Department, who is ultimately responsible for making the decision at the Departmental level.

It is expected that 100% of the individual's salary will come from extramural research grants for which typically either the research faculty member or his/her Sponsor will be Principal

Investigator. The Sponsor must certify to the departmental Chair that sufficient research grant funds exist to cover the salary over the period of the contract.

Research faculty will not be assigned research space, but will work in specifically designated space assigned to a Sponsor, a tenure- faculty member in the Department of Molecular and Cellular Biochemistry. Space designation will be made in writing, in the form of a letter from the Sponsor to the department Chair. Space made available will be consistent the Department space policy, which depends on extramural funding.

While continued collaboration with the Sponsor is likely, research faculty are expected to begin to publish a body of work independent of the Sponsor. Peer-reviewed publications independent of the Sponsor and independent grant support are expected within three years of appointment. These expectations are consistent with the career development goals of the research in the Department.

3. APPOINTMENT OF ASSOCIATED FACULTY

All associated appointments, regardless of type, are made on an annual basis, and entail no commitment to renew the appointment beyond that period. Such appointments are made by the Chair in consultation with the tenure-track faculty. Appointment will be based on the needs of the Department and expected or continuing contributions to the Department. Rank will be based on the same criteria as for the various tenure-track faculty ranks. Procedures for promotion and annual review shall be the same as for the promotion of faculty. An appointment at no-salary is warranted only if there is substantial involvement in the academic work of the department.

Courtesy and Emeritus appointments

Courtesy appointments are made at the discretion of the department Chair after consultation with the faculty. Continuation of the courtesy appointment should reflect ongoing contributions to the department and OSBP graduate program.

For Emeritus appointments, the Chair requests input from the AP&T Committee regarding Emeritus recommendations. The evaluation for appointment to Emeritus status should encompass the overall contributions of the faculty member to his/her field of study and teaching and in the area of service; to contributions to the department, college, university and community. The AP&T Advisory Committee will request from the candidate and from any other source deemed appropriate documentation to facilitate evaluation. All evaluations by the AP&T Advisory Committee are advisory to the department Chair.

E. ANNUAL REVIEWS

PROCEDURES

1. PROBATIONARY TENURE-TRACK FACULTY

Probationary periods are established for tenure- faculty members. During a probationary period a faculty member does not have tenure and is considered for reappointment annually. At the time of appointment the departmental Chair shall provide the probationary faculty member with

a copy of the Department Promotion & Tenure guidelines. It is the responsibility of the Chair to review with the faculty member the process for promotion and tenure in the Department.

At the time of appointment the overall research objectives as well as the teaching assignments of the appointee, in the professional and graduate programs in the Department, will be defined. On an annual basis the probationary faculty member will provide to the Chair and the Department Appointments, Promotion & Tenure Committee a written report describing activities during the preceding year as well as plans for the next year. It is expected that this report will include student teaching evaluations, a summary of funded and pending grants as well as a list of published and submitted papers. The report should also include a list of all service activities i.e., department, college and university committees as well as a summary of all other professional activities. In addition to documentation of the candidate's achievements, the report may also contain any information documenting why it was not possible to achieve objectives and whether commitments made by the Department, College or University were not fulfilled as promised. It is the responsibility of the Chair of the Department Appointment, Promotion & Tenure Committee, in consultation with all tenured faculty, to provide the Department Chair with an overall written assessment of the progress of the candidate. The Department Chair shall then provide the faculty member with an overall letter of evaluation noting strengths and weaknesses. A copy of this letter is retained in the candidate's file and sent to the Dean of The College of Medicine.

When probationary - faculty receive their annual review, the tenure initiating unit Chair meets with the faculty members to discuss the review and to inform them of their right to review their primary personnel file maintained by their tenure initiating unit and to place in that file a response to any evaluation, comment or other material contained in the file (see rule 3335-3-35 of the Administrative Code). In the event that either the Department Promotion & Tenure Committee or Chair believe that non-renewal of a probationary appointment may be appropriate, fourth year review procedures, as described below, must be followed. If the Chair recommends non-renewal following faculty review (regardless of the faculty recommendation), the case is sent to the dean for college level review. The dean makes the final decision in the matter. If the Chair recommends reappointment (regardless of the faculty recommendation), that decision is final.

a. Fourth Year Review

The process for the fourth year review differs from that of annual review procedures in that a more formal evaluation will be carried out. The Department Chair and the Department Promotion & Tenure Committee will separately review the candidate's dossier and the letters of evaluation from the three preceding years. The Department does not solicit outside letters of evaluation for the fourth year review but otherwise sixth year review processes will be followed. The Chair and the Promotion & Tenure Committee will then make their independent evaluation as to whether the candidate should be recommended for appointment for the fifth year.

The Promotion & Tenure Committee will provide the Chair with their letter of evaluation. The Chair will then submit a letter of recommendation to the Dean of The College of Medicine.

Appointment to the fifth year requires the approval of the Dean of the College of Medicine. Before reaching a negative decision, or a decision contrary to that expressed in the letter from the Departmental Chair, the Dean will consult with the College Promotion and Tenure Committee before a final decision is reached.

b. Termination of Probationary Appointments

Probationary appointments may be terminated during any probationary year because of inadequate performance or inadequate professional development. At any time other than the fourth year review or mandatory review for tenure, a nonrenewal decision must be based on the results of a formal performance review conducted in accord with fourth year review procedures described above. Notification of nonrenewal must be consistent with the standards of notice set forth in rule 3335-6-08 of the Administrative Code.

Probationary appointments may be terminated for fiscal or programmatic reasons. When nonrenewal is based on fiscal or programmatic reasons, the faculty member should be advised that such nonrenewal is a possibility and formal notice of nonrenewal should be provided as soon as possible after the need for nonrenewal is established. Nonrenewal of a probationary appointment for fiscal or programmatic reasons does not entail a performance review and requires the prior approval of the executive vice president and provost. Because hiring decisions should be based on informed assumptions regarding the future availability of resources and of programmatic needs, approval of such nonrenewals will be based on the extent to which convincing evidence is provided that the fiscal or programmatic reasons for the nonrenewal could not be anticipated when the appointment was made and are expected to be long lasting.

Decisions affecting the nonrenewal of a probationary appointment may not be arbitrary or capricious or carried out in violation of a faculty member's right to academic freedom. Faculty rule 3335-5-05 of the Administrative Code provides a procedural mechanism under which an aggrieved probationary faculty member can challenge a nonrenewal decision believed to have been improper. In that instance, however, the burden of proof is on the probationary faculty member to establish that the nonrenewal decision was improper. (See also rule 3335-6-05 of the Administrative Code).

c. Exclusion of Time from the Probationary Period

(i) An untenured - faculty member will have time excluded from the probationary period in increments of one year to reflect the care-giving 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 their 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 point 2). The maximum amount of time that can be excluded from the probationary period for the birth of a child or adoption of a child under age six is one year.

(ii) A probationary 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, or 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.

(iii) 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.

(iv) 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.

(v) 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.

(vi) For purposes of performance reviews of probationary faculty, the length of the probationary period is the actual number of years of employment at this university less any years of service excluded from the probationary period under the terms of this rule. Expectations for productivity during the probationary period cannot be increased as a consequence of exclusions of time granted under the terms of this rule.

(vii) Service credit of up to three years may be granted for prior work experience at the time of the initial appointment and requires the approval of the tenure initiating unit chair, dean, and executive vice president and provost. Prior service credit shortens a probationary period by the amount of the credit and once granted cannot be revoked except through an approved request to exclude time from the probationary period. Prior service credit will not be granted for employment in any associated title (such as adjunct, visiting, clinical, or lecturer), special title (such as graduate associate) or part-time position (less than fifty per cent service).

(viii) Probationary faculty members on less than full-time service for part or all of their probationary period may request an extension of the probationary period. The extension must be requested prior to the beginning of the year in which the normally scheduled mandatory review for tenure would take place and requires approval of the tenure initiating unit chair, dean, and executive vice president and provost. The extension shall be for an integral number of years based on the principle that the usual probationary period represents full-time service

2. TENURED FACULTY

On an annual basis every faculty member will provide the Chair with an updated CV and a written report describing accomplishments in research, teaching and service during the preceding year. Current copies of all faculty CVs are available in the Department office and are available to all faculty members in the Department. The Chair will meet with all faculty members and provide them with a written evaluation of their performance. This statement must contain an explanation documenting salary recommendations. It is expected that one outcome of this evaluation process will be constructive feedback concerning professional development of each faculty member. This will include (but not be limited to) constructive suggestions related to: (1) development of grant applications; (2) submission of manuscripts and appropriate response to reviewers' criticisms; (3) development of teaching skills; (4) involvement in service at the national level (including service on federal grant review panels, journal editorial boards and national/international meetings); and (5) service within the University (both administratively and with regard to the several graduate programs relevant to the Department's mission, including service on thesis committees).

3. RESEARCH FACULTY

In the first term, research appointments at all levels in the Department of Molecular and Cellular Biochemistry are probationary, with annual reviews to be conducted by the Department Chair. Full reviews by the Promotions & Tenure Committee will take place in the penultimate year of the appointment, with a specific recommendation based on a majority vote of eligible faculty being made to the Chair as to whether the appointment should be extended and a new contract offered. The Chair will conduct an independent review. The research faculty member will be informed by the Chair whether the appointment will be renewed for another term. Subsequent appointment will be for one to five years. In all cases, there is no presumption that a new contract will be extended. In addition, the terms of the contract may be renegotiated at the time of reappointment.

During and until the end of the second and subsequent contract periods, research faculty appointments may be terminated for not meeting the terms of the contract (e.g. failure to obtain extramural support). Appointments may also be terminated during a contract period for cause (see Rule 3335-5-04 of the Administrative Code) or financial exigency (see Rule 3335-5-021 of the Administrative Code). Termination decisions for either of these reasons shall result from procedures established by faculty rules. The standards of notice set forth in Rule 3335-6-08 of the Administrative Code apply to research faculty appointments.

In addition, a contract may be renegotiated during a contract period, but only with the voluntary consent of the research faculty member. The research faculty member will be informed as to whether a new contract will be extended at the conclusion of the current contract period in a manner consistent with University policy.

4. TRANSFERS BETWEEN THE RESEARCH AND THE TENURE-TRACK

a. Transfers from the research to the tenure-track

Transfers from the research to the tenure-track are not permitted. However, research faculty may apply for tenure-positions and compete in national searches for such positions, as described in this document.

b. Transfers from the tenure- to the research

The Department allows for the possibility of transfer from the tenure-track faculty to the research faculty under appropriate circumstances. Such a transfer requires the following:

- (i.) The request for transfer must be initiated by the tenure-track faculty member in writing and must state clearly how the individual's career goals and activities have changed.
- (ii) When a tenured faculty member transfers to the research, tenure is relinquished.
- (iii) The Department Chair, the College Dean, and the Executive Vice President and Provost must approve all transfers.

F. MERIT SALARY INCREASES AND OTHER REWARDS

CRITERIA

The quality of teaching, scholarship, and service, as established during the annual review, will all be taken into account in assessing performance for purposes of merit salary increases each year. The quality of teaching will be judged by student evaluations of formal coursework, by written peer evaluation of teaching in formal coursework, and by chairing and membership on Ph.D. and M.S. graduate committees. Scholarship will be judged in terms of extramural research funding and publication in high impact peer-reviewed journals. Service shall include committee work at the department, college and university level and service to local, national and international professional organizations. Because the assignments and duties of individual faculty members differ, the relative weight given to accomplishments in teaching, scholarship and service will vary. Consideration will also be given to the appropriateness of the salary level to the individual's overall record and to the salaries of other individuals within the department with comparable overall records.

Special accomplishments in a given academic year will have a favorable impact on recommended salary increases. These would include formal recognition for outstanding teaching or research, new extramural research funding, election to high office in a national or international scientific organization, assuming the editorship of a major scientific journal, etc.

PROCEDURES

Based on the above criteria, each faculty member will be assigned a letter grade (A through E) by the Chair. This grade and its justification will be communicated in writing to the faculty member, who will have the opportunity to respond in writing within 10 days and prior to submission of the grade to the Dean of the College of Medicine.

DOCUMENTATION

Probationary tenure-track faculty must follow the Promotion and Tenure dossier outline prepared by the Office of Academic Affairs to record their performance for annual reviews and for salary determination. The department will use an abbreviated but similar format to document the accomplishments of the remainder of its faculty. The department will require adequate documentation of performance in teaching, scholarship, and service. Such documentation will typically include reprints of published articles, course evaluations from students, and published rosters of editorial boards, study sections, ad hoc journal reviewers, etc. Merit increases will be denied to faculty who submit documentation insufficient to permit an informed evaluation of their performance and who fail to rectify this deficiency within 10 days of having been informed in writing by the Chair that documentation is inadequate. Additional details on documentation of performance are provided in the following section on Promotion and Tenure.

G. PROMOTION AND TENURE REVIEW CRITERIA AND PROCEDURES.

In evaluating a 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 college enters new fields of endeavor, including research institutes, 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 will be taken to apply the criteria with sufficient flexibility. In all instances superior intellectual attainment is an essential qualification for promotion to tenured positions.

CRITERIA

1. PROMOTION TO RANK OF ASSOCIATE PROFESSOR WITH TENURE

The awarding of tenure and promotion to the rank of Associate Professor shall 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 and to the university.

The department shall exercise very high standards for the awarding of tenure since a positive tenure decision has a powerful impact on the quality and future of the department. Although criteria will vary according to the particular responsibilities of each faculty member, every candidate shall be held to a standard of excellence in all aspects of performance. The pattern of performance over the probationary period should yield a high degree of confidence that the candidate will continue to develop professionally.

RESEARCH

Scholarship is broadly defined as the discovery and dissemination of new knowledge. Achievement of excellence in scholarship is demonstrated by discovery of a substantial body of original knowledge that is published in high quality, peer-reviewed journals or proceedings, and achievement of a national reputation for expertise and impact in the field of biochemistry and molecular biology. As laid out in the College of Medicine AP&T document, there are multiple metrics available for judging the excellence and impact of scholarship, and the full range of available criteria should be considered in evaluating the candidates program. Quality and innovation will be considered more important than sheer quantity or strict adherence to traditional scope. Publication in high impact/eigenfactor, peer-reviewed journals as corresponding author is mandatory. Funding from NIH or an equivalent Federal Agency (for example NSF) as a Principle Investigator (to include the Multiple Principle Investigator mechanism) is mandatory for promotion. Additional established indicators of a national reputation are a mandatory requirement for promotion and tenure.

Criteria for evaluation of the candidate's research program include:

a. Achievement of National Recognition and Impact on the Field. First and foremost, promotion to Associate Professor with tenure requires excellence and significant impact in research. Impact is the single most important criterion for promotion and is determined primarily by high quality research; however, quantity is also an important metric to be considered. There are several measures that will be considered by the AP&T committee as evidence of having scientific impact: (a) Publication as first or senior author in the field's highest impact factor

journals, (b) the Eigenfactor (EF) score of the journals in which the candidate publishes, (c) citation rates (the number of times a paper has been cited by other publications), (d) the candidate's h-index, (e) invitations to speak at national and international meetings and for seminars at other institutions, (f) appointment to editorial boards, (g) invitations to write review articles, (h) participation on steering, guideline, or advisory committees of national organizations, (i) invitations to serve on grant review panels, (j) receipt of national scientific awards (k) recognition of impact from outside evaluators. Successful promotion will require the demonstration of impact, not just the potential for impact. Although review articles may form a portion of the publication list (typically less than 30%), and may be used to indicate that a faculty member is considered to be an expert in the field, a successful dossier will contain primarily peer-reviewed research articles; book chapters or reviews alone or in majority will not be sufficient for promotion. The candidate's citation rate will be documented and verified by the POD; the dossier will contain a citation table that indicates the number of citations for individual papers published at The Ohio State University, as well as an overall career citation index. It is recognized that the citation rate for papers published within 1 or 2 years before review for Promotion and Tenure is initiated may be low due to the short time the work has been available. However, evidence that the work is well received would be supportive of the impact of the work, and would commonly be documented in outside expert letters of evaluation (see below). Considered together, demonstration of impact and a national reputation is a prerequisite for promotion to Associate Professor and awarding of tenure.

b. Publications. Publications represent the archival results of the faculty member's research program both before and since their appointment in the Department, and they play a critical role in evaluations for promotion and tenure. If a former mentor is retained as an author on the candidate's papers beyond the first year of faculty appointment, the reason must be clearly stated because it could suggest that the candidate has failed to develop an independent scientific career. It is expected that faculty members will publish consistently. The primary metric for evaluating publication records will be to determine whether the faculty member has established a consistent pattern of high quality publications resulting from work primarily conducted independently in the candidate's laboratory. Publications as corresponding author in the principal peer-reviewed journals in the field of biochemistry and molecular biology. While faculty are encouraged to aim for publications in the highest impact journals possible, such as *Cell*, *Science* and *Nature*, the Department also recognizes that publishing in these journals involves a high degree of novelty and effort. Publications in journals like *The Journal of Biological Chemistry*, *Biochemistry*, *Journal of Molecular Biology*, *Molecular and Cellular Biology* and similarly rigorous journals would be considered suitable for meeting the criteria. It is expected that independent, publications as corresponding author will constitute a substantial portion of the publication list. However, faculty members are encouraged to participate in collaborative multidisciplinary research, and it is expected that a faculty member's record of scholarship will include papers on which they are secondary author. High impact publications in which faculty members have participated as a member of a broader team-based approach to manuscript development and publication will also be recognized as evidence of scholarship especially when specific roles in team scholarship demonstrate unique intellectual and/or leadership contributions.

Based on national standards in the discipline of Biochemistry and Molecular Biology, as a general guideline for promotion to associate professor successful candidates should publish on average 1-2 publications as senior or co-corresponding author and 1-2 collaborative publications per year. The total number will thus depend on the years in rank. While these ranges are intended as general guidelines, faculty are expected to be on a trajectory to exceed these publication requirements at the time of promotion. However, productivity that exceeds these guidelines does not guarantee a positive promotion and tenure recommendation if the research is not judged to be of acceptable quality or impact; thus, it is not advisable to publish the smallest quanta of data to enhance publication numbers. It is also possible that productivity below these ranges could result in a positive promotion and tenure review if strong impact can be established for the candidate's independent research (see above for guidelines for demonstrating impact). Finally, because junior faculty who are just initiating their careers may not have a sufficient number of students and postdoctoral fellows in their laboratories to assist in conducting experiments, they are encouraged to be engaged with colleagues in collaborations. In any case, emphasis should be on the quality of the work as recognized by their peers and as addressed by the external evaluators. Although the total body of scholarship over the course of a career is considered in promotion and tenure decisions, the highest priority is placed on scholarly achievements while a faculty member at Ohio State University. Overall, the number of publications required for awarding of promotion and tenure should be sufficient to document a faculty members' influence in discovery of new knowledge in their field and their ability to effectively communicate their data to the scientific community. Thus, quality and impact are the most important criteria for promotion, but quantity is also important.

c. Letters from external evaluators. A minimum of 5 letters will be obtained from distinguished persons in the candidate's field as well as from persons who are in a position to critically evaluate the faculty member's scholarly work and comment on its significance in the discipline. The external evaluators should not have conflicts of interest with the candidate for promotion (e.g., been a co-author on a publication or a co-investigator on a grant within the last five years, a former mentor, etc.). The Department Chair will be responsible for obtaining the evaluation letters as described in PROCEDURES (see below).

d. Demonstrated ability to obtain and sustain competitive grant support at the national level. Funding as Principal Investigator (or Multi-Principal Investigator) from the National Institutes of Health (NIH) or equivalent (e.g., National Science Foundation, NSF) is a mandatory requirement for promotion. Additionally the candidate should demonstrate they are capable of sustaining funding, for example by competitive renewal of an NIH or equivalent grant or the award of a second major NIH or equivalent grant (e.g., NSF or DOD). Peer reviewed funding from other national agencies or foundations (e.g. American Heart Association, American Cancer Society, etc.), or awards as co-Investigator on NIH or NSF grant, or funding from pharmaceutical or instrumentation companies are strongly encouraged and provide another strong indicator of national reputation, but are not alone sufficient demonstration of the ability to obtain and sustain national support.

e. National and international reputation. Achievement of a national reputation is a prerequisite for promotion to Associate Professor and awarding of tenure. Indications that the faculty member has achieved national/international recognition may include invited addresses, election to national or local offices of scientific or learned societies, invitations to review grants, editorial assignments, conference participation and organizing (e.g. Chairing a symposium session), and invitations to contribute book chapters or reviews.

f. Research independence and collaboration. It is recognized that research collaboration is an important means for attaining new knowledge, and is encouraged. Fruitful collaborations usually involve important and recognizable contributions from each of the collaborators. Participation in collaborative, multidisciplinary research and team science is highly valued, especially to the extent that a faculty member's record of collaborative scholarship includes manuscripts on which authorship is first, senior, or corresponding; or the individual input of the faculty member as a middle author is uniquely contributory and clearly evident. Further, it is important for candidates to identify how the collaboration relates to the candidate's own research program.

g. Demonstrated success in training graduate students and post-doctoral scholars. This documented success can also contribute to the teaching aspects of the dossier.

h. Entrepreneurship is a special form of scholarship valued by the Department and College. Entrepreneurship includes, but may not be limited to, invention disclosures, software development, materials transfers (e.g., novel plasmids, transgenic animals, cell lines, antibodies, and similar reagents), technology commercialization, patent and copyrights, formation of startup companies and licensing and option agreements. Inasmuch as there are no expressly defined metrics for entrepreneurship, such contributions will be analyzed flexibly. Generally, invention disclosures and copyrights will be considered equivalent to a professional meeting abstract or conference proceeding, patents considered equivalent to an original peer-reviewed manuscript, licensing activities that generate revenues considered equivalent to extramural grant awards, and materials transfer activities considered evidence of national (or international) recognition and impact. These entrepreneurial activities will be recognized as scholarly or service activities in the promotion and tenure dossier.

i. Research excellence alone is not sufficient for promotion and tenure.

TEACHING

Teaching excellence will be evaluated by: 1) student evaluations of individual courses using the standard University course evaluation forms; and, 2) faculty/peer evaluation of teaching. Faculty evaluation of teaching will consist of two parts: review of lecture notes, materials and handouts; and firsthand observation in the classroom. The Chair of the Department, in consultation with the Promotion & Tenure committee, will appoint Faculty members to evaluate the classroom presentations of all untenured faculty. It is the responsibility of the Chair of the Department to ascertain that evaluations are carried out on an annual basis. Faculty attending lectures are required to submit a written report in which they evaluate the content and style of

presentation. Faculty will be evaluated in regard to the organization, presentation, and level of material.

SERVICE

A candidate shall also be held to a high standard of service. Service includes service to the college, university, scientific community, as well as to the department. Community service that utilizes the professional expertise of the faculty member is also relevant. Exemplars of national service include service on editorial review boards of journals, service on study sections from national granting agencies, election to offices for professional societies, and organization of national meetings or symposia.

2. PROMOTION TO RANK OF PROFESSOR

Promotion to the rank of Professor shall be based on convincing evidence that the faculty member has produced a significant body of scholarship that is recognized internationally; and has demonstrated leadership at the national or international level. The department expects an individual ready for promotion to Professor to be a role model for less senior faculty, for students, and for the profession. The achievements of a candidate for promotion to Professor should meet or exceed the accomplishments at the time of promotion to Associate Professor.

a. Publications. It is expected that the faculty member will have a consistent record of high quality publications well beyond that required for promotion to Associate Professor. The publications should be in high quality, peer-reviewed journals that have impact in the field(s) of study. This may be documented by data from citation analysis, as well as by reference to the comments of external evaluators. A further evaluation is the citation index of individual papers as well as the overall citations of the body of work. Evidence that the candidate for promotion has been instrumental in the research and writing of the publications should be provided by an annotated bibliography that indicates the individual contributions to each work. The number of publications that satisfies these criteria will depend upon their quality and impact on the field. As a general guideline, within the discipline of biochemistry and molecular biology an average of 2-3 publications as senior author per year and 2-3 collaborative publications per year would be expected. Substantive review articles and books will be given consideration in addition to research peer reviewed articles which report the candidates own results.

b. Letters from external evaluators. These should be from senior scientists familiar with research in the candidate's field(s) of research who are qualified to assess the importance and quality of his/her research program and its published results. The guidelines for soliciting these letters is described in Procedures.

c. Research funding. It is expected that candidates for promotion to full professor will have a record of significant and sustained NIH funding since their promotion to associate professor. The research program should be supported by multiple NIH grants with the candidate as PI (or MPI). Funding from other national agencies or foundations as PI, as co-investigator on NIH or other national grants, or from industry, is also taken as evidence of continued productivity and contribution to the field.

d. Research independence, collaboration, and mentoring. At the Professor level, a candidate should have produced a unique body of research that has been developed by the candidate, and should be able to show that the research program has benefited colleagues and students at the University and in the research community at large. Collaborations can provide evidence of mutual scientific accomplishments. Mentored students and postdocs can provide evidence that research training is ongoing in the context of the research program, and can also contribute to the teaching aspects of the dossier.

e. Reputation as a scholar. The committee will look for evidence that the candidate has been recognized as an important participant or leader in the research community. For promotion to Professor, the candidate should have played a national leadership role or attained international recognition for their research. Such evidence could include invitations to present research findings at other institutions and at national and international scientific meetings, appointments to editorial boards or repeated invitations to review manuscripts or grants, appointments to national review bodies such as NIH study sections or scientific advisory boards, responsibilities as an organizer of scientific meetings, invitations to provide critical reviews of a research topic, and assignments as a consultant to government agencies and private companies. External evaluators' comments can also contribute to this category.

The annual review document generated by the AP&T Advisory Committee and Chair for each faculty member at the Associate Professor level will comment on each of the above criteria with respect to progress and areas for improvement. The overlapping categories given above provide a means to organize the attainments of individual faculty for evaluation for promotion. These attainments are meant to be compared to the University and departmental mission statements in evaluating the progress of each faculty member towards the rank of Professor.

f. Research excellence alone is not sufficient for promotion to the rank of Professor.

A record of teaching excellence as an Associate Professor must continue to justify promotion to the rank of Professor. The faculty member should make new, unique and impactful contributions to the teaching mission as an Associate Professor. Evidence for exemplary teaching includes outstanding student and peer evaluations, course or workshop leadership and design, a training program directorship, and teaching awards.

Promotion to the rank of Professor requires service with distinction to the College of Medicine, The Ohio State University, or in a national context. The faculty member should make new, unique and impactful service contributions as an Associate Professor. Criteria might include participation in leadership positions in a national society, participation in and appointment to management positions in College of Medicine, University or national committees, task forces and advisory groups and other leadership roles leading to the betterment of the organization being served.

3. PROMOTION OF RESEARCH FACULTY

Promotion for the research depends on research scholarship and impact alone. The criteria for promotion are solely related to research and the criteria used are identical to those outlined

above for tenure-track faculty. , Scientific independence, high quality publications, extramural grant support, and national/international reputation are primary.

PROCEDURES FOR PROMOTION

Each candidate shall prepare a dossier following the outline given by the Office of Academic Affairs. Such dossiers will be used for the documentation of accomplishments by all candidates to be reviewed for promotion and tenure and by all probationary faculty members for annual reviews. The departmental Chair will designate a member of the Promotion and Tenure Committee to serve as a Procedures Oversight officer, whose responsibilities will include: (1) ensuring the proper format for the dossier; and (2) ensuring the accuracy (including the accuracy of all publications cited) in the dossier.

All candidates for promotion and tenure shall be reviewed by the eligible faculty (who constitute the Promotion and Tenure committee) and by the Chair. Candidates will also be reviewed at the college and university levels. The 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 review for tenure during the final year of a probationary period is mandatory and must take place.

A faculty member may ask to be considered for non-mandatory promotion and tenure review or for promotion review at any time; however, the department Promotion and Tenure Committee may decline to put forth a faculty member for formal non-mandatory promotion and tenure review or promotion review if the candidate's accomplishments as given in the annual review dossier are judged by a majority vote of the Promotion and Tenure Committee not to warrant such review. The Promotion and Tenure Committee may not deny a tenured faculty member a formal review for promotion more than one year.

Only the candidate may stop any review for promotion and tenure once external letters of evaluation have been sought. The candidate may withdraw from review at any stage of the process by so informing the department Chair in writing. If the review process has moved beyond the department, the Chair shall inform the Dean and the Executive Vice President and Provost, as relevant, of the candidate's withdrawal. In no case will tenure be granted subsequent to such withdrawal from the mandatory tenure review during the final probationary year.

The department shall form an Promotion & Tenure Committee, consisting of all tenured Professors and Associate Professors in the department that will be responsible for presenting the case(s) of candidates for promotion and consideration of tenure to the eligible faculty of the department and for preparing a report to the Chair indicating the eligible faculty's assessment of quality and effectiveness of teaching, quality and significance of scholarship, and quality and effectiveness of service. With the exception noted below, eligible faculty are tenured faculty of higher rank than the candidate excluding the department Chair, the Dean and Assistant and Associate Deans of the College, the Executive Vice President and Provost, and the President.

For tenure reviews of probationary Professors, eligible faculty are tenured Professors excluding the department Chair, the Dean and Assistant and Associate Deans of the College, the Senior Vice President and Provost, and the President. Faculty members with a familial or comparable relationship with a candidate shall not participate in the review of that candidate.

The candidate shall have primary responsibility for preparing, according to Office of Academic Affairs guidelines, a dossier documenting his or her accomplishments.

The Chair of the Promotion & Tenure Committee shall be responsible for gathering internal evidence of the quality and effectiveness of teaching, quality and significance of scholarship, and quality and effectiveness of service from students and other faculty in the department. The Chair of the Promotion and Tenure Committee has the responsibility of verifying the accuracy of the contents of the dossier.

The Department Chair shall be responsible for obtaining letters from external evaluators and from other units at this university in which the candidate has appointment or substantial professional involvement, whether compensated or not. External evaluators shall be nationally/internationally recognized experts in the applicant's field of research who are not former mentors, mentees, close personal friends, or active collaborators.

The eligible faculty shall meet to review and discuss the candidate's dossier describing accomplishments in teaching, scholarship, and service and shall vote on the candidate.

The Department Chair shall prepare a separate written assessment of the case and recommendation for the Dean for inclusion in the dossier. As soon as the faculty report and Chair's letter have been completed, the candidate shall be notified in writing of the completion of the department review and of the availability of these reports. The candidate may request a copy of these reports. The candidate may provide the department Chair with written comments on the department review for inclusion in the dossier within ten calendar days of notification of the completion of the review. The Promotion & Tenure Committee and/or Chair may provide written responses to the candidate's comments for inclusion in the dossier. Only one iteration of comments on the departmental level review shall be permitted.

The department Chair shall forward the dossier with all internal and external evaluations, candidate's comments on the department review and responses of the Promotion and Tenure Committee and/or Chair to those comments, if any, to the Dean of the college. The departmental review process shall begin August 1 and be completed by October 15.

The procedures for preparation of the dossier and external letters of reference are the same for research faculty as for the tenure-track with the exception that teaching need not be included. During the APT committee meeting to discuss the promotion package, the sponsoring faculty mentor can introduce the candidate's package to the P&T committee and address any questions they may have. To avoid any appearance of a conflict of interest, the sponsor will leave the room during committee deliberation and voting. The tenure- faculty will forward a recommendation to the departmental Chair, who will make a final decision as to whether to approve promotion.

External Evaluations

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews, all research appointment contract renewals and promotion reviews, and all adjunct faculty promotion reviews.

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 scholarship (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. This department will only solicit evaluations from full professors at institutions comparable to Ohio State. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.
- Provides 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.

Since the department cannot control who agrees to write and or the usefulness of the letters received, at least twice as many letters are sought as are required, and they are solicited no later than the end of the spring semester prior to the review year. This timing allows additional letters to be requested should fewer than five useful letters result from the first round of requests.

As described above, 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 the criteria for credibility, a letter is requested from at least one of those persons. 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.

The department follows the Office of Academic Affairs suggested format, provided at <http://oaa.osu.edu/sampledocuments.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 (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.

DOCUMENTATION

The Promotion and Tenure core dossier format approved by the Office of Academic Affairs will be used to document faculty performance.

Teaching

Student evaluations of individual courses administered by someone other than a faculty member are required and shall be available for every classroom course taught. In the case of Med I teaching, the faculty evaluations supervised by the College of Medicine will be used; in the case of other coursework, it will be the standard University course evaluation forms.

Faculty evaluation of teaching will consist of two parts: review of lecture notes, materials and handouts; and firsthand observation in the classroom. The Chair of the Department, in consultation with the Promotion & Tenure committee, will appoint Faculty members to evaluate the classroom presentations of all untenured faculty. It is the responsibility of the Chair of the Department to ascertain that evaluations are carried out on an annual basis. Faculty attending lectures are required to submit a written report in which they evaluate the content and style of presentation. The contents of this report are discussed with Faculty during the annual review process. Faculty will be evaluated in regard to the organization, presentation, and level of material, as well as student performance (in the case of medical students, this would be performance on the National Board Examinations).

Scholarship

There shall be at least 5 external evaluations of scholarship. Reprints of research articles and a measure of their impact as indicated by number of citations reported in Citation Index shall be further documentation of scholarship.

Service

Activities generally considered to be service include administrative work for the department, college or university; service to the profession such as leadership roles and editorial and reviewing activities. Efforts shall be made to identify indicators of the quality as well as the quantity of service roles. Service on NIH study sections or the editorial boards of high impact journal is considered to be of high quality. The quality of departmental service will be generally known. Indicators of the quality of service beyond the department and external to the University would include election or appointment to leadership roles, other evidence that the candidate's services are sought after rather than volunteered, and awards.

H.. APPEALS OF TENURE AND PROMOTION DECISIONS

The primary basis for an appeal of a promotion and/or tenure decision is improper evaluation of the candidate. In the event the Provost renders a negative decision and a candidate believes that his or her review was conducted improperly, he/she should refer to Faculty Rule 3335-5-05 for information on how to appeal the decision.

I. SEVENTH YEAR REVIEW

Under unusual circumstances the Department may seek a seventh year review of a candidate who was denied tenure during the mandatory sixth year review. Approval to conduct a seventh year review requires approval of the Dean of the College of Medicine and the Provost. The request must contain documentation as to why such a review is merited. If the request is approved, the new review is a full review identical to sixth year review. If a negative decision is reached the faculty member's termination date of employment is June 30 of the seventh year of service.