

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

Approved by

The faculty of Molecular Genetics;

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December 2017

OAA Approved 12-11-17

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I. PREAMBLE

This document is a supplement to Chapters 6 and 7 of the Rules of the University Faculty (Rules Concerning Tenure Track Faculty Appointments, Reappointments, Promotion and Tenure, <https://trustees.osu.edu>) and the Office of Academic Affairs annually updated procedural guidelines for promotion and tenure reviews (<http://oaa.osu.edu/handbook.html>) and other policies and procedures of the College of Arts and Sciences (ASC) and university to which the department and its faculty are subject.

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

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

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

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>).

II. DEPARTMENT MISSION

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

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

The research mission of the department is focused on the analysis of fundamentally important problems in genetics, molecular biology, cell biology and developmental biology using a broad array of research approaches encompassing disciplines of genetics, genomics, biochemistry, cell biology,

and developmental biology. The emphasis within the department is to exploit model organisms ranging from microbes to higher plants and animals to best make new discoveries and advance our understanding of how life forms work.

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

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

III. DEFINITIONS

A. Committee of the Eligible Faculty

The Committee of Eligible Faculty is the equivalent of the Departmental Promotion and Tenure Committee as described in the department's Pattern of Administration. Eligible faculty for appointment reviews of tenure track faculty consists of all tenure track faculty with a 50% or greater appointment in the department and whose tenure resides in the department.

Eligible faculty for senior rank of new appointments, reappointments, promotion and tenure, and promotion reviews of all tenure track faculty consists of all tenured faculty with a 50% FTE or greater whose tenure resides in the department and are of equal rank to or higher than the candidate excluding the department chair.

B. Quorum

A quorum for a meeting of the eligible faculty will consist of two-thirds of all eligible members not on a paid or unpaid leave of absence. Faculty can be "present" if they are linked in through skype or other video link or through a conference call. If a member of the eligible faculty judges that he/she has a conflict of interest in a specific case, that member will explain the conflict to the chair of the eligible faculty and will be excused from discussion and voting. A member of the eligible faculty on Special Assignment may be excluded from the count for the purpose of determining quorum only if the department chair has approved an off-campus assignment.

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

C. Recommendation from the Committee of the Eligible Faculty

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

1. Appointment

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

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

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

IV. APPOINTMENTS

A. Criteria

1. Tenure Track Faculty

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

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

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

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

Instructor. Faculty in the Department of Molecular Genetics will normally be hired at the rank of assistant professor or higher. An appointment to the rank of instructor is always probationary and is limited to 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 the rank of assistant professor, the faculty

member may request prior service credit in writing at the time of the promotion. This written request must be approved by the eligible faculty, the chair, the dean, and Office of Academic Affairs so that tenure records may be adjusted accordingly. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked without a formal request for an extension of the probationary period. In addition all probationary faculty members have the option to be considered for early promotion.

Assistant Professor. Appointments at the rank of assistant professor will be made to individuals who have strong prior research accomplishments, the potential for sustained research productivity at OSU, a high probability of securing outside funding to support their research, and strong teaching capabilities. Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. Review for tenure prior to the mandatory review year is possible when the Promotion and Tenure Committee determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted.

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

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

A probationary appointment at senior rank is appropriate only under unusual circumstances, such as when the candidate has limited prior teaching experience or has taught only in a foreign country. A probationary period of up to four years is possible, on approval of the Office of Academic Affairs, with review for tenure occurring in the final year of the probationary appointment. If tenure is not granted, an additional (terminal) year of employment is offered.

Foreign nationals who lack permanent residency status may be appointed to a senior rank and approved for tenure, if appropriate, but the university will not grant tenure in the absence of permanent residency.

2. Tenure Track Faculty – Regional Campus

As the mission of the regional campuses emphasizes undergraduate instruction, regional campus criteria for appointment at rank of Assistant Professor, Associate Professor, or Professor are similar to those for Columbus campus faculty, but give relatively greater emphasis at each rank to teaching experience and quality.

3. Research Faculty

Appointment of research faculty entails one- to five-year contracts. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to research faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance. If the department wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. For more information see Faculty Rule 3335-7 (<http://trustees.osu.edu>).

Research Assistant Professor. Appointment at the rank of research assistant professor requires that the individual have a doctorate and a record of high-quality publications that strongly indicate the ability to sustain an independent, externally funded research program.

Research Associate Professor and Research Professor. Appointment at the rank of research associate professor or research professor requires that the individual have a doctorate and meet, at a minimum, the department's criteria for promotion to these ranks.

4. Associated Faculty

Associated faculty appointments may be as short as a couple of weeks to assist with a focused project, a semester to teach one or more courses, or for up to three years when a longer contract is useful for long-term planning and retention. With the exception of visiting faculty, associated faculty may be reappointed.

Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor. Adjunct appointments may be compensated or uncompensated. Adjunct faculty appointments are given to individuals who give academic service to the department, such as teaching a course or serving on graduate student committees, for which a faculty title is appropriate. Typically the adjunct faculty rank is determined by applying the criteria for appointment of tenure track faculty. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure track faculty.

Lecturer. Appointment as lecturer requires that the individual have, at a minimum, a Master's degree in a field appropriate to the subject matter to be taught. Evidence of ability to provide high-quality instruction is desirable. Lecturers are not eligible for tenure, but may be promoted to senior lecturer if they meet the criteria for appointment at that rank. The initial appointment for a lecturer should generally not exceed one year.

Senior Lecturer. Appointment as senior lecturer requires that the individual have, at a minimum, a doctorate in a field appropriate to the subject matter to be taught, along with evidence of ability to provide high-quality instruction; or a Master's degree and at least five years of teaching experience with documentation of high quality. Senior lecturers are not eligible for tenure or promotion. The initial appointment for a senior lecturer should generally not exceed one year.

Assistant Professor, Associate Professor, Professor with FTE below 50%. Appointment at tenure track titles is for individuals at 49% FTE or below, either compensated (1 – 49% FTE) or uncompensated (0% FTE). The rank of associated faculty with tenure track titles is determined by applying the criteria for appointment of tenure track faculty. Associated faculty members with tenure track titles are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure track faculty.

Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor. Visiting faculty appointments may either be compensated or not compensated. Visiting faculty members on leave from an academic appointment at another institution are appointed at the rank held in that position. The rank at which other (non-faculty) individuals are appointed is determined by applying the criteria for appointment of tenure track faculty. Visiting faculty members

are not eligible for tenure or promotion. They may not be reappointed for more than three consecutive years at 100% FTE.

5. Courtesy Appointments for Tenure Track Faculty

The Department of Molecular Genetics may occasionally appoint as courtesy faculty, members of other academic units at the university. The criteria are similar to those used for the appointment of tenure track faculty in the department, but include an emphasis on identifying faculty who can fulfill a unique role in the department. A courtesy appointment is made at the individual's current Ohio State rank, with promotion in rank recognized. Courtesy appointments (0% FTE) are made with the intent of strengthening the departmental graduate and undergraduate degree programs, the teaching program and the service activities of the Department of Molecular Genetics. Except in extreme circumstances, the number of courtesy faculty should not exceed 50% of the number of tenure track faculty.

B. Procedures

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

Recruitment of Tenure Track, Clinical and Research Faculty

Appointments at Senior Rank or with Prior Service Credit

Hiring Faculty from Other Institutions After April 30

Appointment of Foreign Nationals

Letters of Offer

1. Recruitment of Tenure Track Faculty

A national search is required to ensure a diverse pool of highly qualified candidates for all tenure track positions. Exceptions to this policy must be requested from the Office of Academic Affairs. Search procedures must be consistent with the university policies set forth in the most recent update of *A Guide to Effective Searches* (<https://hr.osu.edu/private/talent/guide-to-effective-searches.pdf>).

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

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

appointed from outside the tenure track faculty upon recommendation of the Advisory Committee and the approval of the faculty of the department. The chair of the Search Committee will be chosen by the department chair.

- The chair of the Search Committee will appoint one of the committee's members to act as the Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.
- The chair of the Search Committee will forward to the dean of the college the names of the committee's members, indicating the Diversity Representative, and will meet with the dean and/or his/her appointed representative to review the search procedures and the College Diversity plan.
- The Search Committee will develop a search announcement for internal posting in the University Job Postings through the Office of Human Resources Employment Services <https://hr.osu.edu/careers/> and external advertising, subject to the department chair's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, salary, etc. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.

The Search Committee develops and implements a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must advertise using at least one 30-day online ad in a national professional journal. The university does not grant tenure in the absence of permanent residency ("green card"), and strict U. S. Department of Labor guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure track position included an advertisement in a field-specific nationally professional journal.

- All members of the department's tenure track faculty will have the opportunity to review all of the candidates' completed files. The Search Committee will review all of the documents submitted by the applicants and select from the total applicants a short list of qualified candidates for presentation to the faculty of the department.
- A faculty meeting will be held to review the qualifications of the candidates on the short list and of any other applicants recommended by the faculty during the meeting. After discussion of the relative merits of the candidates, the faculty will rank the applicants on the short list and any other candidates proposed during the meeting. Proxy votes for faculty not in attendance may be solicited as indicated in the department's Pattern of Administration Section II.C. "Faculty Meetings." This ranking will be used to determine which of the candidates to include in the first round of interviews.
- Candidates will be invited by the chair of the Search committee for an interview, and the interview process will involve the department as a whole. No fewer than three candidates will be invited to interview. The Search Committee will be responsible for the logistical arrangements of the candidates' visits. The interview process will include, at the minimum: (1) a public seminar on the candidate's research, (2) individual meetings with tenure track faculty, the chair, and the dean, and (3) group meetings with graduate students. For positions that explicitly include a substantial proportion of undergraduate teaching, a teaching seminar based on a topic selected by the candidate from a course syllabus supplied to him/her by the Search Committee may also be required.

- As soon as possible after the last candidate's interview, the tenure track faculty of the department again meet to determine which, if any, of those interviewed is judged acceptable for appointment, and to rank those candidates so judged. The recommendations of the Molecular Genetics Graduate Student Organization will be presented by the graduate student representative of the Search Committee for consideration by the faculty.
- If the offer involves senior rank, the eligible faculty members vote also on the appropriateness of the proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. Abstentions are not counted as votes in this context. In order to extend an offer to a candidate, 2/3 of the votes cast must be positive. Absentee ballots are not permitted. The position will then be offered to the candidates in the order indicated by the ranking of acceptable candidates.
- In the event that more than one candidate achieves the level of support required to extend an offer, the department chair decides which candidate to approach first. The details of the offer, including compensation, are determined by the department chair.
- The university does not grant tenure in the absence of permanent residency status. The department will be vigilant in assuring that the appointee seeks residency status promptly and diligently.
- In the event that one or more of the candidates should decline the position, or if an agreement cannot be reached with any of the candidates that were interviewed, additional candidates will be approached if and only if it is the judgment of the Search Committee that such additional candidates are of equivalent or nearly equivalent quality to those originally interviewed.
- At the time of appointment, new faculty will receive copies of the Department of Molecular Genetics and College of Arts and Sciences Pattern of Administration and Appointments, Promotion and Tenure documents as well as all revised copies of these documents.

In some cases, a faculty member may be hired in collaboration with another unit on campus such as another department, the Cancer Center or the RNA Center. Molecular Genetics will serve as the tenure-initiating unit for those faculty recruits who have a 50% or greater appointment in the Department of Molecular Genetics. The same criteria will apply in these situations although the search committee will consist of faculty from both units. A Memorandum of Understanding between both units will be developed prior to initiating the search.

2. Tenure Track Faculty—Regional Campus

The regional campus has primary responsibility for determining the position description for a tenure track faculty search, but the dean/director or designee consults with the department chair to reach agreement on the description before the search begins. The regional campus search committee must include at least one representative from the department.

Candidates are interviewed by, at a minimum, the regional campus dean, department chair, department eligible faculty, and regional campus search committee. The regional campus may have additional requirements for the search not specified in this document. A decision to make an offer requires agreement by the department chair and regional campus dean. Until agreement is reached, negotiations with the candidate may not begin, and the letter of offer must be signed by the department chair and the regional campus dean.

3. Associated and Research Faculty

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

The decision to admit a research faculty member (research assistant, research associate, or research full professor) must be approved by a 2/3 majority of the salaried faculty of the department.

4. Courtesy Appointments for Tenure Track Faculty

Any department faculty member may propose a 0% FTE courtesy appointment for a tenure track or research faculty member from another Ohio State department. A proposal that describes the uncompensated academic service to the department justifying the appointment is considered at a regular faculty meeting. Initial appointment as a courtesy faculty member requires a positive vote from at least 2/3 of the regular faculty. Courtesy faculty appointments will be renewed every five years. Renewal of a courtesy appointment requires a positive vote from at least ½ of the regular faculty. Appendix B provides more detailed guidelines concerning courtesy appointments.

V. ANNUAL REVIEWS

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

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

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

The department chair is required (per Faculty Rule 3335-3-35, <https://trustees.osu.edu>) to include a reminder in the annual review letter that all faculty have the right (per Faculty Rule 3335-5-04, <https://trustees.osu.edu>) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

A. Probationary Tenure Track Faculty

Annual review of probationary faculty members.

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

During a probationary period a faculty member shall be reviewed annually in accordance with the policies of the department, college, and university. The annual review will encompass the faculty member's performance in teaching, research, and service as well as evidence of continuing development. The department will use the review process as a means to be supportive and helpful to untenured faculty as well as to candidly and clearly communicate aspects of performance that

need improvement if the candidate is to make acceptable progress. However, if it is apparent that the candidate's likelihood of meeting expectations for promotion and tenure is poor, the appointment of the candidate may not be renewed.

The department chair shall inform probationary faculty members when the annual review will take place and provide a copy of the dossier outline to be completed by the faculty member in reporting accomplishments to date. The department chair conducts an independent assessment; meets face to face with the faculty member to discuss his or her performance and future plans and goals; and prepares a written evaluation on these topics.

The departmental eligible faculty will perform the annual review of all probationary faculty. The promotion and tenure committee will vote (in writing) on continuation of the appointment of each probationary faculty member. A formal report summarizing the results of the evaluation and the outcome of the vote will be prepared by the eligible faculty and provided to the department chair. The chair's decision on reappointment of a probationary faculty member may be contrary to that of the promotion and tenure committee, although the reasons for the contrary decision must be communicated to the committee.

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

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

Regional Campus Faculty

Annual review of the probationary faculty member is first conducted on the regional campus, with a focus on teaching and service. The review then moves to the department and proceeds as described above. In the event of divergence in performance assessment between the regional campus and the department, the department chair discusses the matter with the regional campus dean/director in an effort to clarify and reconcile the divergence, so that the faculty member receives consistent assessment and advice.

Fourth Year Review

The fourth year review of probationary faculty shall follow the same process as the review for tenure and promotion at the department and college levels, except that external letters are not solicited. Renewal of the appointment of a probationary assistant professor for the fifth year requires the approval of the dean of the college.

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

An untenured probationary tenure track 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 her/his TIU head, dean, and the Office of Academic Affairs in writing before April 1 of the new mandatory review year following granting of the declination. The exclusion of time granted under this provision in no way limits the award of promotion and tenure prior to the mandatory review year (see paragraph (D)(2) of this rule). The maximum amount of time that can be excluded from the probationary period per birth event or adoption of children under age six is one year.

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

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.

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.

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

Additional procedures and guidelines can be found in the Office of Academic Affairs [Policies and Procedures Handbook](http://oaa.osu.edu/handbook.html) (<http://oaa.osu.edu/handbook.html>).

B. Tenured Faculty

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

C. Lecturers

Senior lecturers and lecturers are reviewed annually by the department chair. The review consists of a written assessment of the lecturer's teaching performance. The lecturer may provide written comments on the review.

VI. MERIT SALARY INCREASES AND OTHER REWARDS

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

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

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

The Faculty Activity Report (FAR) is the primary source of information used by the department's chair for determining merit salary increases. All members of the Molecular Genetics faculty, including probationary, tenured, associated, and courtesy, are required to file a FAR. For probationary faculty the OAA approved electronic vita is also required. A copy of this report is maintained in the department office and a copy is sent to the college office. The FAR prepared by each associated and courtesy faculty member will be used as an important source of information when renewals of these appointments are considered by the department. The time period covered by the documentation is the previous calendar year.

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

The department's workload policy (Pattern of Administration Section IV. Faculty Duties and Responsibilities) summarizes the acceptable minimal levels of effort in these areas. A faculty member who fails to meet the minimal expectations in all three areas will receive no merit salary increase; faculty who continually exceed these expectations will receive above average salary increases. It is recognized that each faculty member may contribute to each of the department's missions in different ways, and that his/her contribution in each of the areas may vary over time. Thus, the chair will weigh these factors and determine the recommendation for each faculty member's raise accordingly.

A. Criteria

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

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

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

B. Procedures and Documentation

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

VII. PROMOTION AND TENURE AND PROMOTION REVIEWS

A. Criteria

1. Promotion to Rank of Associate Professor with Tenure

Faculty Rule 3335-6-02 (<https://trustees.osu.edu/university/facultyrules>) provides the following context for promotion and tenure and promotion reviews:

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

tenured positions. Clearly, insistence upon this standard for continuing members of the faculty is necessary for maintenance and enhancement of the quality of the university as an institution dedicated to the discovery and transmission of knowledge.

Tenure is not awarded below the rank of associate professor at The Ohio State University. The award of tenure is a commitment of lifetime employment. It is therefore essential to evaluate and judge the probability that faculty, once tenured, will continue to develop professionally and contribute to the department's academic mission at a high level for the duration of their time at the university.

Every candidate is held to a high standard of excellence in all aspects of performance. Accepting weakness in any aspect of performance in making a tenure decision is tantamount to deliberately handicapping the department's ability to perform and to progress academically. Excellence in teaching, scholarship, and service are moreover defined to include professional ethical conduct in each area of responsibility, consistent with the American Association of University Professors' Statement on Professional Ethics (<http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm>).

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

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

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

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

member's chances for promotion or tenure. In a time of decreasing availability of extramural funds, all sources of potential funds must be explored. Engagement with business entrepreneurship, including (but not limited to) invention disclosures, patents, corporate licensing, startup companies, and other business activities, is also valued.

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

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

Other activities of faculty members are indicative of a well established, productive and sustained research program, and the faculty member's status in his/her field of research. Such activities include, but are not limited to, (1) authorship of review articles, monographs, or book chapters, especially by invitation, (2) the ability to attract and support postdoctoral fellows, (3) authoring or editing books, (4) presentations of research at invited symposia or seminars, and (5) generation of intellectual property such as invention disclosures, licensing agreements, and patents. These and related activities provide additional support for tenure and promotion recommendations.

Collaborative and multidisciplinary work is valued by the department. However, it is incumbent on the candidate for promotion to clearly delineate his or her specific and relative intellectual contributions to a paper, grant, or patent.

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

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

2. Promotion to Rank of Professor

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

3. Regional Campus Faculty

The primary function of the regional campuses is to provide high-quality undergraduate instruction and to serve the academic needs of their communities. With this consideration in mind, in evaluating regional campus faculty for promotion and tenure or promotion, the department will give greater emphasis to the quality of teaching and service relative to scholarship. Recognizing that the character and quantity of scholarship by regional campus faculty may differ from that of Columbus campus faculty, due to the weight of other responsibilities and lack of access to comparable resources, the department nevertheless expects regional campus faculty to establish a program of high-quality scholarly activity.

4. Associated and Courtesy Faculty

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

B. Procedures For Promotion and Tenure Reviews

The department's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule 3335-6-04 (<https://trustees.osu.edu>) and the Office of Academic Affairs annually updated procedural guidelines for promotion and tenure reviews <https://oaa.osu.edu/assets/files/policies-procedures-handbook/3HBPT.pdf>. The following sections, which state the responsibilities of each party to the review process, apply to all faculty appointments in the department. Appendix A provides a useful timeline and summary.

1 Candidate Responsibilities

The responsibilities of the candidate are as follows:

- To submit a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.
- To submit a copy of the department's APT Document that was in effect at the time of the candidate's hire or when the candidate was last promoted, whichever is more recent, if s/he wishes to be reviewed under that document's criteria and procedures. This must be submitted when the dossier is submitted to the department.
- To review the list of potential external evaluators developed by the department chair and the Promotion and Tenure Committee. The candidate may add no more than three additional names, but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The department chair decides whether removal is justified. (Also see External Evaluations below.)
- All faculty under consideration for promotion in the Department of Molecular Genetics are required to present a departmental seminar on their research program prior to the Promotion and Tenure Committee review. The faculty member should check with the Departmental Seminar Committee well in advance for scheduling this seminar.

2 Promotion and Tenure Committee Responsibilities

The responsibilities of the Promotion and Tenure Committee are as follows:

- To review this document annually and to recommend proposed revisions to the faculty.
- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.
 - The committee bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.
 - A tenured faculty member may only be denied a formal promotion review under Faculty Rule [3335-6-04](#) for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.
 - Consistent with Office of Academic Affairs policy, only faculty members who are citizens or permanent residents of the United States may be considered for non-mandatory tenure review. The committee must confirm with the department chair that an untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or permanent resident (has a "green card"). Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.

- A decision by the committee to permit a review to take place in no way commits the eligible faculty, the department chair, or any other party to the review to making a positive recommendation during the review itself.
- Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.
 - **Late Spring:** Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
 - **Late Spring:** Suggest names of external evaluators to the department chair.
 - **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
 - Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
 - Draft an analysis of the candidate's performance in teaching, scholarship and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible. The committee neither votes on cases nor takes a position in presenting its analysis of the record.
 - Revise the draft analysis of each case following the faculty meeting, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the department chair.
 - Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
 - Provide a written evaluation and recommendation to the department chair in the case of joint appointees whose tenure-initiating unit is another department. The full eligible faculty does not vote on these cases since the department's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on this department's cases.

3 Eligible Faculty Responsibilities

The responsibilities of the members of the eligible faculty are as follows:

- To review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.
- To attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote.

4 Department Chair Responsibilities

The responsibilities of the department chair are as follows:

- Where relevant, to verify the prospective candidate's residency status. Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until permanent residency status is established. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.
- **Late Spring Semester:** To solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the chair and the candidate. (Also see External Evaluations below.)
- To make adequate copies of each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting.
- **Mid-Autumn Semester:** To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
- To inform each candidate in writing after completion of the department review process:
 - of the recommendations by the eligible faculty and department chair
 - of the availability for review of the written evaluations by the eligible faculty and department chair
 - of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the department chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the department chair, indicating whether or not he or she expects to submit comments.

- To provide a written response to any candidate comments that warrant response for inclusion in the dossier.
- To forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the department chair recommends against promotion. A negative recommendation by the department chair is final in such cases.
- To receive the Promotion and Tenure Committee's written evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units, and to forward this material, along with the department chair's independent written evaluation and recommendation, to the department chair of the other tenure-initiating unit by the date requested.

5 Procedures for Regional Campus Faculty

Regional campus faculty are first reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean/director. The regional campus review focuses on teaching and service.

The regional campus dean/director forwards the written evaluation and recommendation of the regional campus review to the department chair, from which point the review follows the procedures described for the Columbus campus faculty.

6 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. External evaluations of scholarly activity and research are not obtained for clinical faculty unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a clinical faculty member will be made by the department chair after consulting with the candidate and the chair of the Promotion and Tenure Committee.

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, more letters are sought than 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](#) 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](#) 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.

C Documentation

As noted above under Candidate Responsibilities, every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. While the Promotion and Tenure Committee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by the candidate.

The complete dossier, including the documentation of teaching noted below, is forwarded when the review moves beyond the department. The documentation of scholarship and service noted below is for use during the department review only, unless reviewers at the college and university levels specifically request it.

- Any published materials presented for consideration should be in the form of reprints, photocopies of journal articles, or other final form that documents actual publication. An author's manuscript does not document publication.
- Under no circumstances should faculty solicit evaluations from any party for purposes of the review.

1 Teaching

The time period for material included in the dossier for probationary faculty is the date of hire to present. For tenured or nonprobationary faculty it is the date of last promotion or the last five years, whichever is less, to present. Examples of documentation include:

- cumulative eSEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every class
- peer evaluation of teaching reports as required by the department's peer evaluation of teaching program (details, including number, provided in Section X below)

- teaching activities as listed in the core dossier including
 - involvement in graduate/professional exams, theses, and dissertations, and undergraduate research
 - mentoring postdoctoral scholars and researchers
 - extension and continuing education instruction
 - involvement in curriculum development
 - awards and formal recognition of teaching
 - presentations on pedagogy and teaching at national and international conferences
 - adoption of teaching materials at other colleges or universities
- other relevant documentation of teaching as appropriate

2 Scholarship

The time period for material included in the dossier for probationary faculty is the date of hire to present. For tenured or nonprobationary faculty it is the date of last promotion to present. Examples of documentation include:

- copies of all books, articles, and scholarly papers published or accepted for publication. Papers accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the paper has been unequivocally accepted and is in final form, with no further revisions needed.
- documentation of grants and contracts received
- other relevant documentation of research as appropriate (published reviews including publications where one's work is favorably cited, grants and contract proposals that have been submitted)
- scholarship activities as listed in the core dossier including
 - documentation of creative works pertinent to the candidate's professional focus including artwork, choreography, collections, compositions, curated exhibits, moving images, multimedia, performances, radio, recitals, recordings, television, and websites
 - documentation of inventions, patents, disclosures, options and commercial licenses
 - list of prizes and awards for research, scholarly, or creative work

3 Service

The time period for material included in the dossier for probationary faculty is the date of hire to present. For tenured or nonprobationary faculty it is the date of last promotion to present. Examples of documentation include:

- service activities as listed in the core dossier including:
 - involvement with professional journals and professional societies
 - consultation activity with industry, education, or government
 - clinical services
 - administrative service to department
 - administrative service to college
 - administrative service to university and Student Life
 - advising to student groups and organizations
 - awards and prizes for service to profession, university, or department
- any available documentation (e.g. letters from committee chairs) of the quality of service that enhances the list of service activities in the dossier

VIII. APPEALS

Faculty Rule 3335-6-05 (A) (<https://trustees.osu.edu>) sets forth general criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule 3335-5-05 (<https://trustees.osu.edu>).

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

IX. SEVENTH YEAR REVIEWS

Faculty Rule 3335-6-05 (<https://trustees.osu.edu>) sets forth the conditions of and procedures for a seventh year review for a faculty member denied tenure as a result of a sixth year (mandatory tenure) review.

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

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

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

X. PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING

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

A. Student Evaluations of Teaching

- Student evaluation of faculty instruction will be performed for each formal lecture and laboratory course for all faculty in the department. Only evaluations from the last 5 years are to be included for those being considered for promotion to full Professor.
- Faculty will use SEI forms for the evaluation of instruction in all lecture and laboratory courses since these forms will permit comparison of results with other colleagues in the

department, college and university. Additional comments may also be obtained using a form that is designed by the instructor.

- The administration of the evaluation must not be under the control of the faculty member being evaluated.
- A copy of the results of the evaluation will be included with the annual Faculty Activity Report.
- Summaries of discursive evaluations for inclusion in the promotion and tenure dossier must be prepared by someone other than the candidate.

B. Peer Evaluation of Teaching

- Assistant professors will be evaluated in every course or at least once every calendar year. Associate professors will be evaluated at least every two years (a minimum of three peer reviews are required when being considered for promotion to full professor).
- A tenured faculty member who is of equal or greater rank than the faculty member who is being evaluated will conduct the evaluation.
- Wherever possible, faculty who are team teaching in the same course should perform the evaluation.
- Copies of the evaluation report will be provided to the faculty member who is evaluated, the department chair and the chair of the departmental curriculum committee. In addition, a copy will be placed in the faculty member's permanent file in the departmental office.
- The following information will be included in the evaluation report:
 - Name of instructor
 - Name and number of course being evaluated
 - Academic term when the course was evaluated
 - Name of evaluator
 - Number of lectures/laboratories that were attended by the evaluator
 - The following topics should be addressed:
 - Syllabus, handouts and examinations (if available)
 - Clarity, organization and pace of presentation
 - Mechanics of presentation (voice volume, speed, mannerisms)
 - Use of teaching aids (projector, blackboard, etc.)
 - Student interactions (questions/answers)
 - Strong points
 - Suggestions for improvements
 - Overall summary

C. Evaluation of Graduate Teaching Assistants (GTAs)

GTAs who participate directly in the instruction of students (lecturing, recitations, laboratory supervision) will be evaluated by the students in the course and by the faculty supervisor, typically by a classroom visit. The evaluations will occur in each Molecular Genetics course in which the teaching assistant participates. The results of the evaluation will be provided to the GTA, his/her faculty mentor and to the chair of the Graduate Studies Committee.

APPENDIX A: GUIDELINES ON TIMING FOR PROBATIONARY FACULTY.

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

Years	Dates	TIMETABLE FOR PROBATIONARY FACULTY
1st-6th	Jan. to Mar.	<ul style="list-style-type: none"> • The chair of the PTC requests from each probationary faculty member updated information on teaching, research, and service. • Each probationary faculty member will meet, at his or her discretion, with the PTC chair to discuss his/her progress towards meeting the criteria for promotion and tenure within the department and university. • As part of this review process the PTC must make a recommendation as to whether or not the faculty member should be reappointed for another year. A summary of this meeting is communicated, in writing, to the department's chair. • During a probationary period a faculty member will be reviewed annually in accordance with the university rules and with the policies of the department. The annual review will encompass the faculty member's performance in teaching, in scholarship, and in service; as well as evidence of continuing development. External evaluations of the faculty member's work, required for tenure and promotion reviews, may be obtained for any annual review if judged appropriate by the PTC or department chair. • The department chair will inform each probationary faculty member at the time of initial appointment, and in a timely fashion each year thereafter, when the annual review will take place and provide a copy of the Office of Academic Affairs dossier outline to be completed by the faculty member in reporting accomplishments to date. • At the completion of the review the department chair will provide the faculty member and the dean of the college with a written assessment of the faculty member's performance and professional development. The assessment will include both strengths and weaknesses, as appropriate. • If the chair's recommendation is to reappoint the faculty member to another probationary year of service, that recommendation will be final. • A recommendation from the chair to not reappoint the faculty member to another probationary year requires a review that follows fourth year review procedures and the dean shall make the final decision on the matter. • All annual review letters become a part of the faculty member's dossier for subsequent annual reviews during the probationary period, including the review for promotion and tenure. • If a probationary faculty member has completed two or more years of service and is terminated, then he/she is entitled to a one year appointment following receipt of the decision to terminate.

		<ul style="list-style-type: none"> The candidate should become familiar with the types of data, including a curriculum vitae, needed for preparing his or her dossier. Awareness of such details is critical for guiding recordkeeping over the course of the entire probationary period. For example, graduate student mentoring should be documented by names, dates, projects, advisory committee meetings, etc.
1st-6th	Mar. to July	<ul style="list-style-type: none"> A copy of the chairs' annual evaluations will be included in the faculty member's promotion and tenure dossier for fourth and sixth year reviews
4th	Spring Semester	<p><u>Fourth Year Review</u></p> <ul style="list-style-type: none"> The candidate's dossier is prepared according to instructions provided by the Division of Natural and Mathematical Sciences (NMS) and the College of Arts and Sciences (CAS) and in accordance with Office of Academic Affairs guidelines. Included in the dossier will be copies of the annual reviews prepared by the department's chair and the PTC, and the recommendations of the chair and the PTC. Unsolicited materials will not be included in the dossier. The department's PTC and office staff will assist a candidate in preparing his/her dossier, but the candidate bears the ultimate responsibility for the completeness and accuracy of his/her dossier. After evaluating all information, the PTC votes to recommend for a positive or negative fourth year review. A simple majority positive vote of the PTC is required for a positive recommendation to be made. The report of the committee including the results of the vote are communicated in writing to the department's chair and are included in the candidate's dossier. The chair of the department prepares a separate assessment indicating his/her recommendation for a continuation of the appointment for a fifth year, and this assessment is included in the candidate's dossier. When the PTC report and department chair's assessment have been completed, the candidate must be notified in writing of the completion of the review. The candidate will be provided with a copy of the PTC report by the PTC chair and will be also given a copy of the evaluation letter from the department chair. The candidate may provide the department chair with written comments addressing the review for inclusion in the dossier within ten calendar days of notification of the completion of the review. The PTC or department chair may provide a response to the candidate's comments for inclusion in the dossier. There will be only one iteration of comments on the department-level review. The dossier must then be reviewed for completeness by the candidate along with the department chair and a representative of the PTC before submitting to the college.

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

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

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

APPENDIX B:
POLICIES REGARDING COURTESY FACULTY

Mechanism of Appointment

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

Policies for Courtesy Faculty

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