

**Chair's Guidelines for Junior Faculty Members
and their Mentoring Committees
Laboratory of Genetics**

Prepared by:

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Information

The following guidelines were developed by the Department Chair specifically for tenure-track Assistant Professors and tenured Associate Professors with primary appointments in the Laboratory of Genetics. The guidelines are also intended to assist mentoring committee members to do the best possible job of mentoring. The Appendix contains official documents of the Faculty Senate (chapter 7, Faculty Policies and Procedures) describing rules that must be followed. There is an overwhelming amount of information on mentoring that can be found on UW websites, especially pages found on the website of the Provost. The following selected sites are recommended for those who want information beyond what is provided at the departmental level:

Faculty hiring, mentoring, and tenure <http://www.provost.wisc.edu/hiring/>

Women Faculty Mentoring Program <http://www.provost.wisc.edu/women/mentor.html>

Faculty Development Grants <http://www.ohrd.wisc.edu/GR/grants.htm>

Ombuds for Faculty <http://www.ombuds.wisc.edu/index.html>

Office of Human Resource Development <http://www.ohrd.wisc.edu/GR/grants.htm>

Teaching Development <http://www.provost.wisc.edu/tle/>

New Faculty Services <http://www.secfac.wisc.edu/newfac/cal.htm>

Contents

Administrative structure of the Laboratory of Genetics

Probationary appointments

The tenure process

Formation of mentoring committees and selection of committee members

Responsibilities of mentoring committees

Role of the Department Chair

Responsibilities of junior faculty members

Monitoring of mentoring committees by the Department Chair

Function of mentoring committees after promotion to Associate Professor

Appendix- Chapter 7, Faculty Policies and Procedures

Administrative structure

The Laboratory of Genetics is an umbrella name for two departments that are merged for administrative purposes: the Department of Genetics in the College of Agricultural and Life Sciences (CALs) and the Department of Medical Genetics in the UW Medical School. Some faculty members have appointments in both departments whereas others are exclusively in one of the other of the two departments. All tenured faculty in either department are automatically members of the Executive Committee which governs the Laboratory of Genetics. All power vested in the Chair is granted to the Chair by the Executive Committee. The Chair's mission is to carry out the wishes of the Executive Committee.

Probationary appointments

Offer letters always state that the appointment is for three years. Although this is required by university policy, I find it to be a source of confusion to new faculty members some of whom think it means their appointment ends after three years. What it really means is that the Executive Committee must vote to extend the appointment for another three years prior to consideration for tenure. It is not necessary for faculty members to request an extension. The Chair automatically asks the Executive Committee to vote on an extension at the appropriate time.

Tenure process: brief overview

Consideration of promotion to Associate Professor with Tenure is first evaluated by the Mentoring Committee. This committee gathers documents and makes a recommendation to the departmental Executive Committee. Promotion at the Departmental level requires a 75% majority vote (this rule was passed by the Executive Committee). The Department Chair, who becomes the primary advocate of the junior faculty member, assists the junior faculty member in putting together promotion documents and writes a cover letter addressed to the appropriate Dean and to the Promotions Committee of the Division of Biological Sciences. The Chair's cover letter is critical because it summarizes the case for promotion. The promotion packet is forwarded to the Dean, who acts on the request for promotion, and if it is approved at the Dean's level, the request for promotion is forwarded to the Divisional Committee for a recommendation. The Dean considers the recommendation and makes the final decision. The Dean has the power to overturn the recommendation of the Divisional Committee. Appeals processes at each level are described in Faculty Policies and Procedures (FPP). Promotion or termination must occur by the seventh year (except that extensions of the tenure clock can be requested through a formal process described below).

The promotion packet is very detailed. It is advised that junior faculty members keep a contemporaneous log of all activities they engage in, such as seminars given at other universities, talks at meetings, etc. No one else keeps track of these activities. This is equivalent to keeping a CV up to date. Trying to remember these activities after several years have passed is not the best approach. In addition, the role and percent effort of the faculty member for each publication in their CV must be described. Keeping track as you move forward will make it easier when the time comes to prepare the promotion packet.

When should mentoring committees be formed?

Ideally, the need for the committee should be discussed with the junior faculty member before they arrive so they can think about its composition. I try to do this when the prospective faculty member visits to look for housing (typically a few months before they arrive). Nothing is settled at this time, but the junior faculty member knows about it and can think about it. Candidates for the Chair of the mentoring committee are identified as soon as possible after the arrival of the new faculty member. Within this initial period the Department Chair conveys information that will be reiterated by the mentoring committee.

Tenure clock- One important piece of information is in regard to the tenure clock and the reasons for requesting extensions of the tenure clock (for example, having a child during the period before or after the appointment begins is a valid reason to request extension (true for male or female junior faculty members)- there are other valid reasons. As a Department Chair I am aggressive about applying for extensions because they give more time for the junior faculty member down the road. Extensions require approval of the Mentoring Committee, approval of the Departmental Executive Committee, and approval of the Divisional Committee. Junior faculty member should consult with the Department Chair as soon as possible if they think a case could be made for an extension of their tenure clock.

How are the members of mentoring committees selected; who can serve; when should the first meeting take place; what is the goal of the first meeting?

Selection of members: Mentoring committees in Genetics have three members. The Chair of the mentoring committee is selected through discussion between the Department Chair and the junior faculty member. The person jointly considered the best candidate for Chair of the Mentoring Committee is contacted by the Department Chair. An agreement is reached, or a second candidate is considered. The Mentoring Chair and junior faculty member jointly select two additional members of the committee. The Mentoring Chair conveys the choices to the Department Chair, who contacts the candidates to see if they will serve on the committee (this is more important when members are selected from outside of the Laboratory of Genetics).

How many committees can one faculty member serve on? Ideally, a senior faculty member should only chair one committee at a time, but they can serve on multiple committees if they agree to do so. By chairing only one committee at a time, the Mentoring Committee is more likely to devote adequate time to the junior faculty member they are mentoring.

Changes in committee membership: Changes are permitted through discussion with the Department Chair. However, changes are seen as possibly being counterproductive if they are requested late in the game (for example, the year a promotion might be recommended).

Who can serve: For Assistant Professors, all Mentoring Committee members must be tenured Associate or Full Professors. With rare exception the Mentoring Committee Chair should be a member of the Genetics Executive Committee and in most cases (but not necessarily all cases)

the Chair should have their primary appointment in Genetics. The additional two members do not have to have their primary appointment or any appointment in Genetics. If they are outside they are selected on the basis of appropriateness of their research area. Outside members are invited to all Executive Committee meetings where the junior faculty member's progress is discussed, and they are invited to attend and comment when the junior faculty member is voted on for promotion.

Why go to the outside? It is appropriate and desirable to have outside membership based on considerations of research expertise. There are other potential reasons. Outside membership on Mentoring Committees is especially important when several junior faculty members want female representation on their Mentoring Committee. This is because the number of eligible female mentors inside the Laboratory of Genetics is small (this situation is going to improve over time). If going to the outside were to be banned, then senior female faculty members could be overburdened by being asked to be on too many mentoring committees.

Timing of first meeting: The first meeting should take place as soon as the committee is formed (typically within the first month or two of arrival).

Goal of the first meeting: to convey information to the junior faculty member about:

the contents of this document

the tenure process and tenure clock

criteria for promotion including teaching, research, service, outside letters

mechanics of the process leading to consideration of promotion and the promotion process including Executive Committee and Division of Biological Sciences review

Getting started:

Grant preparation- Mentoring committee members are expected to read and comment on all grant proposals prior to submission (including smaller proposals for UW awards). Committee members should offer their expertise regarding the intricacies of funding agencies. In the case of NIH, help should be offered in selecting a study section for review and advice on how to steer a grant application to the appropriate study section. However, junior faculty members should feel free to ask individuals outside their committee or outside the Laboratory of Genetics to read proposals if it seems appropriate. Regardless of the arrangement, the important point is that input must be sought on initial proposals. This will save junior faculty members a lot of time.

The junior faculty member is responsible for ensuring that grant proposals are read and critiqued by experienced faculty members. Furthermore, the readers of proposals have their own labs to run and their own proposals to write. It is imperative that junior faculty members respect the time constraints on everyone by getting proposals to those who will read them well in advance of grant submission deadlines so that the readers are not placed under unrealistic time constraints. If a committee member refuses to read a grant proposal because a deadline is too close and not enough time has been allowed, then the committee member has some justification for the refusal. Get to know your readers. Some will want more time than others.

Other aspects of the junior faculty member's life, such as teaching, responsibilities to graduate students, etc., are dealt with by the Department Chair. Mentoring Committees are welcome to comment on whether the teaching load assigned to the junior faculty is too heavy for someone just getting started or too light in terms of looking good when they come up for tenure. The Department Chair will exercise flexibility and will, if warranted and if possible, change teaching assignments based on the arguments of Mentoring Committees. The Chair of the Department encourages dialog between the Mentoring Committee and the Department Chair on all aspects of responsibilities assigned to the junior faculty member.

What are the responsibilities of mentoring committees?

The primary responsibility is to be accessible at all times to the junior faculty member and to respond to requests in a timely manner. Typical roles of committee members are to read and offer advice on grant proposals, to discuss proposal strategies (how many proposals, how many projects to try and get initially funded), etc. The role of the committee evolves from grant funding to publications to methods for gaining national recognition for work (talks at meetings, etc). For some issues, the committee members should recommend going to the Department Chair (for example, if advice is sought regarding management of laboratory personnel including graduate students, how to hire technicians, etc).

Required functions:

Mentoring Committees are required to meet formally once per year (but can meet as often as they like).

Mentoring committees should meet no later than January 31 of each calendar year.

The junior faculty member should contact the committee members to arrange a meeting. I find this works better than asking the Committee Chair to arrange the meeting. Junior faculty members are more likely to arrange a meeting in a timely manner.

After the meeting, the Mentoring Committee Chair prepares a 1-2 page report focusing on progress and problems. Goals are stated in writing for the coming year where the focus might be on grants, publications, etc. Goals evolve over time.

In February/March the Executive Committee meets. The Chairs of the Mentoring Committees present their reports.

Following the Executive Committee meeting, a copy of the written Mentoring Report is provided to the junior faculty member. The junior faculty member has the opportunity to question anything in the report. If there are no problems and no questions, a meeting is not required, but if any issues arise then the Department Chair meets with the junior faculty member. If there is a major issue in the report that the junior faculty member disputes or questions, then the

Department Chair contacts the Mentoring Committee Chair so that the issue can be resolved. If necessary, the entire committee gets involved and potentially the report is modified in consultation with the Department Chair.

At least six months prior to consideration for promotion in the sixth year of the tenure clock, the Mentoring Committee should meet. This meeting is usually earlier than regular yearly meetings to allow enough time to obtain all necessary promotion documents. Obtaining outside letters can be time-consuming, but the tenure clock imposes time deadlines. All effort should be made to avoid of timing crisis.

The junior faculty member can provide a list of outside individuals who can write letters of recommendation (they can also identify individuals they do not want writing letters). Most outside letter writers should be outside the UW, but one letter outside the department but with the UW is permissible if it seems appropriate. This list of potential letter writers is conveyed to the Department Chair. The Mentoring Committee also submits a list of names that can include individuals not on the candidates list. The Mentoring Committee can recommend eliminating a name on the junior faculty member's list. The Department Chair and the Mentoring Committee Chair agree on the final list. While most of the letters should address research accomplishments, at least one letter should address teaching accomplishments since promotion is typically based on both teaching and research.

The Department Chair (and NOT the Mentoring Committee Chair) sends out requests for letters, gives a deadline to the letter writers, and contacts the letter writers if letters are not received in a timely manner. In the final tenure packet prepared by the Department Chair it is required that all letters received are included (bad letters cannot be discarded) and it is also required that a list of individuals who failed to provide a letter upon request is included (this is a FPP rule). For this reason, every effort is made to obtain all requested letters.

Once the letters are received, the Mentoring Committee considers all aspects of the candidate's credentials and then makes a formal recommendation to the Department Chair. The Department Chair calls for an Executive Committee Meeting to discuss and vote on promotion. The case is argued by the Mentoring Committee Chair.

As a Department Chair I ban myself from being a Mentoring Chair. From past experience, playing a dual role in the promotion process is not a good idea and can lead to complications and conflicts of interest especially when a case for tenure is controversial.

What kinds of issues should be directed to the Department Chair instead of or in addition to the mentoring committee?

The junior faculty member should feel free to consult in confidence with the Department Chair at any time. It might be appropriate to discuss events in the personal life of the junior faculty member if events impact on work performance. The junior faculty member can inform the Department Chair that accommodations are desired depending on any circumstances that arise such as a death in the family, an illness in the family, the birth of a child, etc. There might be cases where, for example, teaching responsibilities need to be altered to accommodate a

situation. Accommodations must be arranged through the Department Chair. If an accommodation is made, the Department Chair will inform the Mentoring Committee to the extent that respectful confidentiality is maintained. The Department Chair is responsible for implementing a plan that helps the faculty member without causing due harm to the department as a whole, to help the situation and for protecting privacy, not as a matter of law, but as a matter of common sense.

Sometimes the Mentoring Committee members offer conflicting advice or they offer advice that the junior faculty member doesn't readily accept (and sometimes shouldn't accept). In any situation like this, the junior faculty member should consult with the Department Chair. The office of the Department Chair is always open to junior faculty members who want advice. The office is also always open to Mentoring Committee members.

What are the responsibilities of junior faculty members?

The primary responsibility of the junior faculty member is to be assertive in requesting advice when they deem they need advice. The Department Chair attempts to be keenly aware not only of the differences between males and females, but of cultural differences (not only minorities but also people from different national origins who grew up and were assimilated in a culture outside the US). There could be cultural issues that get in the way of progress. The Department Chair needs to make confidential assessments in this regard. Checking in on progress of some faculty members might have to be more frequent than for others, but always with the intent of promoting the progress of the junior faculty member.

The junior faculty member is responsible for making sure that grant proposals are read and critiqued by experienced faculty members.

The junior faculty member is responsible for keeping track of all of their activities. Neither the Mentoring Committee nor the departmental office nor the Department Chair will perform this function.

In the end, if mentoring is done properly the process looks less like a set of rules and more like a continuous dialog from year one up until promotion is considered. After promotion, the Department Chair, the Mentoring Committee members, and the recently promoted faculty member have been through a lot together and should have formed the basis for a functioning professional relationship that should last a lifetime.

How should mentoring committees be monitored?

The Department Chair is ultimately responsible for monitoring to ensure that the Mentoring Committees are functioning at an optimal level. The process itself makes some of the monitoring automatic. However, the Department Chair may check with junior faculty members periodically in between annual reports to see how things are going and to ask if the mentoring committee is providing what is needed.

How should mentoring committees continue to function after promotion to Associate Professor?

Mentoring Committees remain in place for Associate Professors but many of the formal requirements are dropped. Meetings are not required. Reports to the Executive Committee are not required. However, Associate Professors still need guidance on when they can expect to achieve promotion to Full Professor and under what conditions.

As a practical guide, over the past few decades the earliest promotions to Full Professor have occurred no earlier than four years after promotion to Associate Professor. Unusual circumstances would be required for more rapid promotion to Full Professor. Promotions to Full Professor do not go through the Divisional Committee. In CALS, the Dean makes the decision upon recommendation from the Department. In the Medical School, the promotion is considered by the Promotions Committee of the Medical School which then makes a recommendation to the Dean. The Deans make the final decision. In the Medical School, there is only one case of a promotion to Full Professor earlier than four years after the previous promotion. A departmental request for earlier promotion runs a high risk of being turned down by the Promotions Committee of the Medical School.

To have a promotion considered, the request can be initiated by the Associate Professor, a member of the Mentoring Committee, or the Department Chair. In any case, the request is first made to the Mentoring Committee. The Mentoring Committee makes an evaluation and then makes a recommendation to the Department Chair as to whether outside letters should be sought prior to a meeting of the Full Professors for a vote or whether the process should be halted and deferred. Promotion to Full Professor is considered by the Full Professors (not the full Executive Committee), and the case for promotion is made by the Mentoring Chair after all appropriate documents have been collected including outside letters. At least one inside letter described teaching should be included.

APPENDIX

FACULTY POLICIES AND PROCEDURES UNIVERSITY OF WISCONSIN-MADISON

(As approved by the Faculty Senate on 15 May 1978,
with subsequent amendments as of 2 May 2005)

CHAPTER 7

FACULTY APPOINTMENTS

- 7.01. Types of Appointments
- 7.02. Departmental Role
- 7.03. Recruiting and Initial Appointments
- 7.04. The Maximum Probationary Period
- 7.05. Guidance and Evaluation For Probationary Faculty
- 7.06. Review of Probationary Appointments
- 7.07. Departmental Procedures for Action on Probationary Appointments
- 7.08. Departmental Reconsideration of a Nonrenewal Decision
- 7.09. Administrative Action on Departmental Recommendation Concerning Probationary Appointments
- 7.10. Appeal of a Nonrenewal Decision
- 7.11. Notification of a Nonrenewal Decision
- 7.12. Effect of Inadequate Notification
- 7.13. Effect of Reconsideration or Appeal on Appointment
- 7.14. Criteria for the Granting of Tenure
- 7.15. The Granting of Tenure
- 7.16. Letters of Appointment
- 7.18. Part-Time Faculty Appointments
- 7.19. Obligation to Faculty Members Following Appointment
- 7.20. Leave Of Absence
- 7.22. Sick Leave
- 7.24. Military Leave
- 7.25. Leave of Absence for Governmental Service
- 7.30. Retirement
- 7.31. Emeritus/Emerita Faculty
- 7.32. Continuation of Existing Arrangements

7.01. TYPES OF APPOINTMENTS.

1.FACULTY APPOINTMENTS. (See Sec. 36.13 Wis. Stats.; UWS 3.01.) Appointments to the university faculty, as defined in 1.02., are with tenure or are probationary. Faculty appointments carry the following titles: professor, associate professor, assistant professor, and instructor, and are made in accordance with Sec. 36.13 Wis. Stats. and UWS 3.01.

2.TENURE APPOINTMENTS. A tenure appointment is an appointment of a university faculty member as defined in 1.02., which may not be terminated except for cause, for reasons of financial emergency, by resignation, or by retirement. Tenure is granted to all professors and associate professors, and to other members of the faculty in exceptional cases. Tenure is granted only by specific faculty and administrative action as specified in this chapter.

3.PROBATIONARY APPOINTMENTS. A probationary appointment is an appointment as an instructor or assistant professor, held by a member of the university faculty as defined in 1.02. of these rules, during the period of service that precedes determination of tenure status.

7.02. DEPARTMENTAL ROLE.

Faculty appointments may be granted only upon affirmative recommendation of a departmental executive committee as provided in Chapter 5, except in the specific situation provided for under UWS 3.08(3) and 7.10. of these Faculty Policies and Procedures. If the appointment is to be divided among several departments, each must make an affirmative recommendation regarding the appointment. One department shall be identified as the principal sponsor of the recommendation for appointment for the purposes of 5.20.A.2. of these rules. The fraction of a divided appointment in a department may be changed only by mutual agreement among the appropriate departmental executive committees, dean(s), and the individual concerned. The appointment must be at the same rank in each department.

7.03. RECRUITING AND INITIAL APPOINTMENTS. (See UWS 3.02 and 3.03.)

1. An initial faculty appointment is an appointment granted to an individual who has not previously held a faculty appointment in the university. An initial appointment may be probationary or with tenure. The provisions of 7.14. and 7.15. of these rules apply to initial appointments with tenure.
2. Faculty recruitment and the selection of individuals to whom appointments may be offered is the responsibility of the departmental executive committee. The procedures shall be consistent with UWS 3.02.
3. Faculty appointments shall be offered only in accordance with the provisions of UWS 3.03 and these regulations and with appropriate administrative approval.

7.04. THE MAXIMUM PROBATIONARY PERIOD. (Also see Faculty Legislation II-327 which includes UWS 3.04., 3.06.)

1. The maximum probationary period is defined as the maximum amount of time a faculty member can be appointed in probationary ranks in the university. This period shall be specified for each individual at the time of his/her initial appointment. Except as otherwise provided in UWS 3.04(3) and (4) and in this section, the maximum probationary period is the equivalent of seven years of full-time service in the university in the ranks of instructor or assistant professor.
2. In calculating a person's maximum probationary period, provision shall be made for the appropriate counting of prior service at other institutions and at this institution. The departmental executive committee shall evaluate all such prior service, and shall determine, by mutual agreement with the dean, whether any or all of that prior service is equivalent to service at ranks of instructor or above in this university. All such equivalent previous service, but not to exceed three years, at one-half time or greater, shall be subtracted from the normal seven years, unless programmatic circumstances can be documented to justify otherwise. Prior probationary or tenure service at another institution while a candidate for a doctoral or equivalent terminal degree, by mutual agreement of the dean, the departmental executive committee, and the individual concerned, may be excluded in calculating the maximum probationary period.
3. The maximum probationary period may be decreased by agreement between the candidate and his/her department, if made at the time of the initial appointment and included in the letter of appointment.
4. Each year of service at the rate of at least one-half time but not more than three-quarters time shall count as half of a year, and service at a rate greater than three quarters time shall be counted as a full year. In no case shall the probationary service exceed twelve calendar years.
5. An approved leave of absence differs from a temporary assignment (see 7.20. of these rules). An approved leave of absence is not included in the counting of probationary service, in accordance with the provisions of Sec. 36.13(2)(b)(d) Wis. Stats. A temporary assignment is included in the counting of the probationary service.
6. These provisions do not preclude a recommendation for the granting of tenure or a nonretention decision prior to the expiration of the maximum probationary period.
7. The term "extension" (of the probationary period) has been used at UW-Madison to refer to the practice specified in Faculty Policies and Procedures and in UWS 3.04 as "exclusion" "subtraction," or "non-inclusion" of a period of

time in the probationary period. Though the term "extension of the probationary period" is used below to accord with current usage, the term should be understood to mean literally the exclusion of a period of time from the time counted as within the 7-year maximum probationary period.

8. The maximum probationary period may be extended for an appropriate period in accordance with the provisions of UWS 3.04(3) and these policies. Extensions shall be granted in periods of one or two semesters (for academic year appointments), or six months or one year (for annual appointments).

1. Requests for extension of the probationary period with respect to childbirth or adoption shall be submitted by the faculty member in writing to the vice chancellor for academic affairs and provost (with informational copies to the faculty member's department chair and dean) within one year of the birth or adoption. Approval of the request for an extension of up to one year is presumed. The provost shall notify the faculty member, department chair and dean of the action taken. More than one request may be granted because of responsibilities with respect to childbirth or adoption where more than one birth or adoption occurs during the probationary period. Where a leave of absence of six weeks or more has been granted for childbirth or adoption within one year of the birth or adoption, the total extension of the probationary period, for each birth or adoption, resulting from the leave and the provisions of 7.04.H.1. may not exceed one year.

2. Requests for extension of the probationary period on the grounds of significant responsibilities with respect to elder or dependent care obligations, disability or chronic illness or circumstances beyond the control of the faculty member, when those circumstances significantly impede the faculty member's progress toward achieving tenure, shall be submitted in writing to the vice chancellor for academic affairs and provost on the recommendation of the departmental executive committee(s) and dean(s) and may be granted with the approval of the University Committee. More than one request pursuant to 7.04.H.2. may be granted. However, the total, aggregate length of time for all requests granted to a probationary faculty member under 7.04.H.2. ordinarily shall be no more than one year.

3. Requests for extensions of the probationary period based on the nature of the duties of an appointment shall be made prior to the time of appointment and, if approved, shall be specified in the initial letter of appointment; or shall be submitted in writing, at the time of a significant and substantial change in duties, to the vice chancellor for academic affairs and provost on the recommendation of the departmental executive committee(s) and dean(s), and may be granted with the approval of the University Committee.

4. Denial of a request shall be based on clear and convincing reasons and shall be in writing.

9. Requests for tenure clock extensions shall be made before the beginning of the sixth year of the probationary period or before the beginning of the year preceding the notice year in a maximum probationary period, unless a birth, adoption, or unforeseen circumstance occurs during that year.

10. Where a leave of absence or extension of the probationary period is granted, the individual's employment contract shall be extended by the same period as the leave or extension.

11. Requests for tenure clock extension shall not be a substitute for the grievance procedures of Faculty Policies and Procedures 8.15. Grievances alleging unfair treatment or failure to follow Faculty Policies and Procedures requirements, which could result in a tenure clock extension, must be filed in accordance with Faculty Policies and Procedures 8.15.

7.05. GUIDANCE AND ANNUAL EVALUATION FOR PROBATIONARY FACULTY.

1. The departmental executive committee shall establish procedures for the guidance and annual evaluation of each probationary faculty member and for the review of probationary appointments (see 7.06 of these rules). A written description of these procedures shall be filed with the relevant dean(s) and the provost. This must include specification of the voting rules of the departmental executive committee. A copy of this description and the departmental and divisional executive committee criteria for the granting of tenure (see 7.14.C. and D. of these rules) shall be given to each probationary faculty member at the time of his/her appointment.

2. Primary responsibility for the guidance of the probationary faculty member shall be assigned to one or more members of the departmental executive committee. The departmental executive committee shall ensure that guidance of probationary faculty members includes implementation of 5.21.E.

1. It is desirable that the faculty member(s) assigned responsibility for the guidance of the probationary faculty member remain the same throughout the probationary appointment unless the probationary faculty member requests a change.

2. In some circumstances it may be desirable to formally include tenured faculty from outside the department in the guidance of probationary faculty, for example in interdisciplinary fields in which no member of the department has expertise close to that of the probationary faculty member.

3. Guidance of probationary faculty should include information and advice on the areas of responsibility of tenure-track professors: research, teaching, service, and outreach. Experts outside the department who can provide specific information and advice on research, teaching and pedagogical effectiveness, and service and outreach should be consulted when appropriate as determined by the probationary faculty member and/or the guidance committee. Guidance committees should monitor teaching responsibilities and service assignments for appropriateness of workload and match of assignment to the probationary faculty member's expertise.

3. Responsibility for developing annual evaluations shall be assigned to a committee made up of members of the departmental executive committee. The probationary faculty member shall be informed of the membership of his/her oversight committee. In the case of joint appointments, executive committees shall establish procedures to coordinate the annual evaluations of probationary faculty members. At least once each year, one or more members of the oversight committee and the department chair shall discuss with the probationary faculty member departmental and divisional committee expectations and his/her progress toward tenure. The oversight committee shall ensure that the probationary faculty member's file contains all material relevant to effective evaluation including teaching evaluations and copies of publications. Membership of the oversight committee may change from year to year at the discretion of the department. This policy allows either for separate guidance and oversight committees or for a single committee.

4. Each year, the oversight committee shall provide the departmental executive committee with an annual evaluation of the progress of the probationary faculty member. When a probationary faculty member has been granted an extension(s) of the tenure clock, the annual evaluation should be conducted in the context of the individual's progress toward a tenurable record given the time remaining on the adjusted clock. Following discussion of the evaluation by the executive committee, a written evaluation approved by the executive committee shall be given to the probationary faculty member. The probationary faculty member may respond to the evaluation in writing or may, upon request, address the executive committee regarding the evaluation.

5. The oversight committee shall have primary responsibility, in consultation with the probationary faculty member, for the collection of supporting material and preparation of necessary documentation prior to executive committee review of the probationary appointment (see 7.06 of these rules).

7.06. REVIEW OF PROBATIONARY APPOINTMENTS. (See UWS 3.07.)

1. A probationary appointment may be reviewed by the departmental executive committee at any time; each probationary appointment, however, shall be reviewed by the departmental executive committee long enough in advance of its expiration to meet the time limits for notification of nonretention (see 7.11. of these rules) and to allow administrative actions provided for in these rules. The divisional executive committees and deans may provide deadlines for departmental recommendations to ensure adequate time for consideration.

2. In recommending the renewal of a faculty member in a probationary appointment, a departmental executive committee should ascertain that progress is being made by the faculty member towards meeting the criteria and standards used in granting tenure.

3. The departmental executive committee may recommend renewal with promotion to tenure, renewal as a probationary appointee subject to the constraints set forth in 7.06. of these rules, or nonrenewal. A probationary faculty appointment may not be converted to an academic staff appointment except upon recommendation by the appropriate departmental committee and the University Committee and approval by the chancellor. Such a conversion may not be made to circumvent the decision between promotion to tenure and nonretention.

4. At a time consistent with the provisions of UWS 3.09, administrative action shall be taken either to convert a probationary appointment to a tenured appointment or to issue a notification of nonrenewal (see 7.11. of these rules).

7.07. DEPARTMENTAL PROCEDURES FOR ACTION ON PROBATIONARY APPOINTMENTS. (See UWS 3.06 and 3.07.)

1. All probationary faculty members whose appointments are to be acted upon shall be notified of that fact in writing by the department. This preliminary notice should normally be provided early in the semester that precedes the semester in which the action will be taken; an exact date for the meeting of the executive committee need not be specified in the preliminary notice. The notice shall invite the faculty member to submit relevant material for consideration by the executive committee or a subcommittee thereof.

2. As soon as the date is set for the meeting of the executive committee at which action on a probationary faculty member's appointment is to be considered, the probationary faculty member shall be notified. The notice shall inform the faculty member of his/her right to require that the meeting be open. Under no circumstances shall this notification be given less than twenty days before the meeting, except with the agreement of the probationary faculty member.

3. At the meeting specified in B. above, other persons may be invited by the executive committee to participate. This shall be a closed meeting, unless an open meeting is requested by the individual under consideration. In an open meeting, the individual under consideration may attend, but does not have the right to participate in the debate at this meeting unless specifically permitted by departmental rule.

4. The faculty member concerned shall be notified in writing of the decision of the executive committee within five working days. The notification must further state that the faculty member will be given, upon request, the specific reason(s) for the decision in writing and a reconsideration of the decision.

5. Upon written request by the faculty member concerned, within fifteen days of the receipt of the written notice of the decision, the departmental chair shall provide within thirty days a written statement, which has been approved by the executive committee, indicating its reasons for the decision. The faculty member shall be advised that this statement constitutes a confidential personnel document.

7.08. DEPARTMENTAL RECONSIDERATION OF A NONRENEWAL DECISION. (See UWS 3.07.)

1. If the faculty member concerned so requests within twenty days of receiving a statement of reasons, a reconsideration by the executive committee shall be provided. The meeting shall be held within twenty days after the faculty member concerned requests reconsideration.

2. The faculty member concerned shall have an opportunity to attend the reconsideration meeting, accompanied, if he/she wishes, by a representative of his/her choice, to respond to the statement of reasons, and to present any written or oral evidence or arguments relevant to the decision.

3. Reconsideration is not a hearing, nor an appeal, and shall be nonadversary in nature.

4. Within twenty days following the reconsideration, the chair shall convey the decision of the executive committee to the faculty member in writing.

7.09. ADMINISTRATIVE ACTION ON DEPARTMENTAL RECOMMENDATION CONCERNING PROBATIONARY APPOINTMENTS. (See UWS 3.06.)

1. A departmental recommendation for renewal of a probationary appointment shall be transmitted by the department chair to the appropriate dean. The dean shall notify the department chair as rapidly as feasible of his/her approval or disapproval of the recommendation. The faculty member concerned shall be notified in writing within twenty days of the dean's decision.

2. If the dean disapproves a departmental executive committee recommendation for renewal, on the written request of the faculty member or of the department concerned with the consent of the faculty member, the dean shall provide to the department and/or the faculty member within twenty days a written statement of reasons for the nonrenewal decision. If the faculty member involved so requests within twenty days of receiving the statement of reasons, a reconsideration by the dean shall be provided. The procedures contained in subsections B. and C. of 7.08. of these rules apply in this reconsideration. The dean shall notify the faculty member and the departmental chair of his/her decision within twenty days.

7.10. APPEAL OF A NONRENEWAL DECISION. (See UWS 3.08.)

1. By written request, within twenty days, the faculty member may appeal an adverse reconsideration of a nonrenewal decision in accordance with the provisions of UWS 3.08(1). The appeal shall be heard by the Committee on Faculty Rights and Responsibilities no later than twenty days after the request, except that this time limit may be enlarged by mutual consent of the parties, or by order of the committee. The faculty member shall be given at least ten days notice of such review.

2. The Committee on Faculty Rights and Responsibilities shall report on the validity of the appeal to the faculty member, the departmental executive committee, the appropriate dean, and the chancellor, in accordance with the provisions of UWS 3.08(3).

3. If the Committee on Faculty Rights and Responsibilities (CFRR) finds that a nonrenewal decision which results from a tenure denial during the probationary period was based in any significant degree upon impermissible factors, as defined in UWS 3.08, with material prejudice to the individual faculty member, and elects not to remand the case back to the department under UWS 3.08(c)(3) because it would serve no useful purpose, the University Committee, after appropriate consultation, shall appoint an ad-hoc review committee whose members are knowledgeable or experienced in the probationary faculty member's academic field or in a substantially similar field. Members of the ad-hoc committee shall be tenured faculty members at the University of Wisconsin-Madison and/or scholars from outside the university, but they shall not be members of the executive committee of the probationary faculty member's academic department(s) or functional equivalent. The ad-hoc committee shall conduct a de novo review of the candidate's record with reference to the criteria for tenure contained in Faculty Policies and Procedures 7.14.B. and C. The chancellor may then recommend to the Board of Regents that a tenure appointment be granted without the concurrence of the appropriate departmental executive committee or its functional equivalent if: (1) the ad-hoc committee, following the customary decision rules of the department or its functional equivalent, has recommended that tenure be granted; and (2) this affirmative recommendation has been approved, according to established procedures, by the dean, with the advice of the executive committee of the division to which the candidate belongs.

4. If the ad-hoc committee's decision is adverse, the faculty member may request a statement of reasons and a reconsideration by that committee as provided in Faculty Policies and Procedures 7.08. An adverse decision by the ad-hoc committee following such reconsideration may be appealed to the Committee on Faculty Rights and Responsibilities as provided in Faculty Policies and Procedures 7.10.A. and B.

5. The Committee on Faculty Rights and Responsibilities shall retain jurisdiction pending the resolution of all appeals.

7.11. NOTIFICATION OF A NONRENEWAL DECISION. (See UWS 3.09.)

Written notice that a probationary appointment will not be renewed shall be given to the faculty member in advance of the expiration of his/her appointment in accordance with UWS 3.09. At the time of notification, the probationary faculty member shall be given a copy of the guidelines for appeal of a nonrenewal decision prepared by the Committee on Faculty Rights and Responsibilities (see 6.38 of these rules).

7.12. EFFECT OF INADEQUATE NOTIFICATION. (See UWS 3.10.)

If proper notice of nonrenewal is not given in accordance with 7.11. of these rules, an extension of the appointment becomes automatic. Such an extended appointment terminates one year from the date notice is given unless that

termination date would fall during a term (semester or 8-week summer session), in which case the expiration date is at the end of that term. In lieu of extension the university may, at its option, pay the salary for the period the extension would cover.

7.13. EFFECT OF RECONSIDERATION OR APPEAL ON APPOINTMENT.

A request for reconsideration or an appeal of a nonrenewal decision does not of itself extend the termination date of an appointment.

7.14. CRITERIA FOR THE GRANTING OF TENURE.

1. Tenure is granted only following an affirmative recommendation of a departmental executive committee to that effect, except in the specific situation provided for under UWS 3.08(3) and 7.10 of these Faculty Policies and Procedures. Tenure is not acquired solely because of the number of years of service, nor is prior university service a requirement for an initial appointment with tenure.

2. In applying its professional judgment to the decision to recommend or not to recommend tenure, the departmental executive committee or ad-hoc committee under 7.10.C. has the obligation to exercise its discretion in the interest of improving the academic and professional quality of the department; departmental executive committees or ad-hoc committees may not decline to recommend tenure for any reasons which are legally impermissible or which violate principles of academic freedom.

3. Each divisional executive committee shall establish written criteria and standards it will employ in recommending the granting of tenure. These criteria and standards shall assure that the granting of tenure is based on evidence of (1) teaching excellence; (2) a record of professional creativity, such as research or other accomplishments appropriate to the discipline; and (3) service to the university, to the faculty member's profession, or professional service to the public.

4. Each departmental executive committee shall establish written criteria and standards it will employ in recommending the granting of tenure. These criteria and standards shall be consistent with 7.14.C. of these rules. A copy of these criteria and standards shall be furnished to probationary faculty member(s) (see 7.05.A. of these rules) and shall be filed with the appropriate dean(s) and the vice chancellor for academic affairs and provost. A copy of the departmental criteria along with a statement showing how they were applied to the candidate shall be forwarded with a departmental recommendation for tenure.

5. The standard of review (in annual probationary review and at the time of tenure decision) shall be the standard appropriate to the number of years at that point counted in the probationary period, i.e., not the standard appropriate to the number of calendar years since hire.

6. Notwithstanding the responsibility of departmental executive committees to provide for the guidance and evaluation of probationary faculty members (see 7.05. of these rules), it is the probationary faculty member's responsibility to meet the criteria for tenure as determined by the department and the relevant divisional executive committee.

7.15. THE GRANTING OF TENURE.

1. A departmental or ad-hoc committee under 7.10.C. recommendation for the granting of tenure shall be transmitted by the department chair to the dean. Supporting material and documentation as specified by the dean and the divisional executive committee shall be included. Collection of supporting material and preparation of the documentation is the responsibility of the department chair after consultation with the executive committee and the probationary faculty member (see 7.05 of these rules).

2. Before approving a recommendation to a tenured position, or denying such a recommendation on the basis of professional qualifications alone, the dean shall seek the advice of the executive committee of the division in which the faculty member has membership (see 4.03. of these rules).

3. If the divisional executive committee advises against accepting the departmental or ad-hoc committee recommendation, the departmental executive committee or ad-hoc committee shall, if it so requests, be heard by the divisional executive committee and a new vote taken.

4.

1. If the dean, after receiving the advice of the divisional executive committee, approves the departmental or ad-hoc committee recommendation, he/she shall transmit it to the provost and vice chancellor for academic affairs. All supporting material and documentation specified in 7.15.A. and all advice of the divisional executive committee shall accompany the personnel papers through administrative channels to the provost and vice chancellor for academic affairs and chancellor.

2. If the dean, after receiving the advice of the divisional executive committee, takes action contrary to the recommendation of the divisional executive committee and approves a departmental or ad hoc committee recommendation, he/she shall also forward to the provost and vice chancellor for academic affairs a statement explaining the reasons for not accepting the divisional executive committee recommendation.

5. The department or ad-hoc committee shall be notified promptly of the actions taken by the divisional committee and the dean.

6. The faculty member shall be notified in writing within twenty days of the decision of the dean.

7. If a dean disapproves a departmental or ad-hoc committee recommendation for promotion to tenure, the faculty member concerned may request, or the department or ad-hoc committee, as appropriate, with the consent of the faculty member may request, a written statement of the reasons to be provided within twenty days, and may seek reconsideration or, if appropriate, appeal the dean's decision pursuant to 7.09. and 7.10. of these rules.

8. At any time after receipt of a recommendation from a dean pursuant to Faculty Policies and Procedures 7.15.D.2., the provost and vice chancellor for academic affairs shall consult with the divisional executive committee and the dean about the tenure recommendation. The provost and vice chancellor for academic affairs shall consult with the dean prior to making a recommendation contrary to recommendation of the dean.

9. If the provost and vice chancellor for academic affairs approves the dean's recommendations, he/she shall transmit it to the chancellor for recommendation to the president and to the Board.

10. The faculty member shall be notified in writing promptly of the actions taken by the provost and vice chancellor for academic affairs and the chancellor.

11. If the provost and vice chancellor for academic affairs disapproves the dean's recommendation for promotion to tenure, the faculty member concerned may request, or the department or ad hoc committee, as appropriate, with the consent of the faculty member, may request a written statement of reasons to be provided within twenty days, and may seek reconsideration by the provost and vice chancellor for academic affairs and, if appropriate, appeal the provost and vice chancellor for academic affairs decision pursuant to 7.09 and 7.10 of these rules.

7.16. LETTERS OF APPOINTMENT.

Each person to whom a faculty appointment or reappointment is offered shall receive notification of that appointment in accordance with UWS 3.03.

7.18. PART-TIME FACULTY APPOINTMENTS.

1. A part-time appointment is an appointment for the equivalent of an academic year at one-half time or more, but less than full-time, in the university faculty as defined in 1.02. of these rules.

2. If tenure for a part-time faculty member is recommended by a department, the following procedures shall be followed:

1. Deans and divisional executive committees shall follow the normal tenure review procedures, as provided elsewhere in this chapter.

2. A department is responsible for making clear to the dean, to the divisional executive committee, and to the appointee, what continuing commitment would be assumed by granting tenure (see 7.19. of these rules).

7.19. OBLIGATION TO FACULTY MEMBERS FOLLOWING APPOINTMENT: CONTINUING COMMITMENT.

A continuing commitment, shared between the department or equivalent unit and the university, is incurred upon the appointment of a probationary or tenured faculty member. For tenure members of the faculty, that continuing commitment extends for as long as the faculty member holds tenure. For probationary faculty members, the term of the continuing commitment coincides with the term of appointment.

1. In the case of an appointment that is less than full-time, the continuing commitment is for the same fraction as the appointment.

2. In the case of an appointment that is divided among several departments or units, the fraction of the continuing commitment assignable to each shall be specified. The total continuing commitment or its division among departments or units may be changed only by agreement among the individual, the departmental executive committees, and the deans involved.

3. By agreement of the faculty members, the departments, and the dean, the level of departmental activity of the individual may differ from the continuing commitment in any given year. Such an occasional deviation does not in itself alter the continuing commitment.

4. In the event of the dissolution of a department holding a continuing commitment to a faculty member, an effort shall be made to identify an alternative department which is mutually suitable and which will assume the continuing commitment of the former department. If no such department can be found, the continuing commitment will be assumed by the university.

7.20. LEAVE OF ABSENCE.

For the purposes of these rules, a leave of absence is a temporary separation of a faculty member from the university during which the faculty member is not paid from funds administered by the university except for such fringe benefit programs as may be permitted by state regulations.

Probationary faculty who wish to be temporarily separated from the university will normally request a "temporary assignment" to an alternative activity. Temporary assignments are similar to leaves of absence except they do not interrupt the probationary period. A leave of absence will be approved for a probationary faculty member only for an activity that substantially interrupts the ability of the candidate to establish, within the normal probationary period, a record that would warrant the granting of tenure.

Leaves of absence and temporary assignments require the affirmative recommendation of the departmental executive committee and the approval of the dean. Because a leave of absence extends the time before action must be taken on a probationary appointment, (see 7.04.E.) a leave of absence for a probationary faculty member requires the approval of the vice chancellor for academic affairs and provost in consultation with the University Committee.

Ordinarily, a leave of absence is granted for a maximum of one year, or a maximum of three semesters in three years even if no single absence exceeds one year, but under appropriate circumstances upon recommendation of the executive committee and the dean, and with the approval of the University Committee and the vice chancellor for academic affairs and provost, it may be renewed. A leave of absence of more than two years requires approval by the UW System president, and a leave of absence of more than three years requires Board of Regents approval.

7.22. SICK LEAVE.

Sick leave policy for members of the faculty is governed by UWS 19 and policies adopted under UWS 19.

7.24. MILITARY LEAVE.

1. **ACTIVE SERVICE.** In accordance with state statutes and national policy, the university cooperates in facilitating the return to normal occupation for the members of the faculty who serve the federal government in the interest of national defense as specified in Secs. 16.26 and 45.50 Wis. Stats.

1. Following their return, tenured faculty members shall continue to enjoy tenure status.

2. Probationary faculty shall be granted leaves of absence for federal service of the type specified in Sec. 45.50(1) Wis. Stats. Probationary faculty may be granted such leaves for voluntary service with the consent of their departmental executive committee(s) and dean.

2. **LEAVE FOR RESERVE SERVICE.** Members of the faculty who are members of any reserve component of the military forces of the United States or of this state are entitled to leaves of absence in accordance with Sec. 16.30(3)(a) Wis. Stats.

7.25. LEAVE OF ABSENCE FOR GOVERNMENTAL SERVICE.

In accordance with Regents policy #5364, adopted at the meeting of November 10, 1989, faculty taking leave for governmental positions shall follow the rules below. A faculty member should be entitled to all the benefits provided by Faculty Policies and Procedures to those faculty who take leave because of military duty, (see 7.24.) if the leave is due to any of the following contingencies:

1. Elected, or appointed to a high federal post by the executive, legislative, or judicial branch of the United States Government.

2. Elected, or appointed to a high governmental post by the executive, legislative, or judicial branch of the Wisconsin State Government.

3. All leaves of absence other than medical carry an implicit agreement between the faculty member and the university that the faculty member will return to the university at the conclusion of the leave. This includes that failure to return to the university at the conclusion of the approved leave period constitutes a resignation from the university.

Upon recommendation of the appropriate departmental executive committee(s) and dean, and with the concurrence of the University Committee, the provost and vice chancellor for academic affairs may extend the above benefits to a faculty member who is elected, or appointed to a high post by other governmental or quasi-governmental agencies, including, for example, local and other state governments, foreign governments, the United Nations.

An initial term or appointment not to exceed four years requires the recommendation of the relevant department(s), dean(s), the University Committee and the provost and vice chancellor for academic affairs. Extensions beyond the initial term or appointment require approval of the Board of Regents, with the appropriate campus recommendations.

7.30. RETIREMENT.

In accord with state statutes there is no mandatory retirement at the UW-Madison. Retired faculty members may be engaged for service only with the approval of the chancellor. Retired faculty who are engaged will be appointed to the academic staff.

7.31. EMERITUS/EMERITA FACULTY.

1. Emeritus/emerita faculty titles are conferred by the chancellor upon recommendation of the departmental executive committee and the dean.

2. Emeritus/emerita faculty retain all faculty governance rights held at the time of their retirement during any academic year in which they hold an academic staff appointment from their department totaling at least 20% of a full-time academic year appointment.

7.32. CONTINUATION OF EXISTING ARRANGEMENTS.

The adoption of this revision of all the Faculty Policies and Procedures shall not be construed to alter the nature of any appointment in effect at the time of adoption or to extend or withdraw any departmental, college, or other membership.