

Department of Pathology and Laboratory Medicine Guidelines for Tenure Review of Probationary Faculty

Revised April 2016

I. Purpose

These guidelines describe the specific manner in which the Department of Pathology and Laboratory Medicine will advise and evaluate probationary faculty during the period leading up to promotion with tenure. It is understood that the *Guidelines for Recommendations for Promotion or Appointment to Tenure Rank* for the Faculty Division of Biological Sciences of the University of Wisconsin-Madison and the relevant sections of *Faculty Policies and Procedures (FP&P)* of the University of Wisconsin Madison are also to be adhered to in this process. Probationary faculty are to be given copies of these Department guidelines, the Division's guidelines and FP&P at the time of their probationary appointment. It is the responsibility of the probationary faculty to become familiar with the contents of all three documents. Links to the Biological Science Division guidelines and to FP&P, Chapter 7 are provided at the end of this document.

II. Procedures for the Guidance and Annual Evaluation of Probationary Faculty

A. Establishment of a Department Internal Review (i.e. Mentoring) Committee. Within 3 months of appointment, the Department Chair, in consultation with the probationary faculty, will select at least 3 members to serve as a mentoring committee and will designate the Chair of this committee. All members must be tenured and at least 2 members must be from the Department of Pathology and Laboratory Medicine. It is recommended that at least one member be from a discipline close to that of the probationary faculty and that preferably one member be from another department. Ideally, the members of the mentoring committee will remain the same throughout the probationary appointment, although membership may change at the discretion of the Department Chair or if the probationary faculty member requests a change.

B. Responsibilities of the Mentoring Committee. The mentoring committee and the Department Chair will provide guidance regarding all aspects of the professional development of the probationary faculty, including that related to departmental and university policies and procedures, acquisition of research funding, and the training of students and fellows. Throughout the probationary period, it will be the responsibility of the Department Chair and the mentoring committee Chair to advise the probationary faculty of department and campus-wide teaching needs and opportunities.

C. Review During the Probationary Period. Although it is anticipated that much of this advising and assisting will be provided during informal discussions between members of the mentoring committee and the probationary faculty, there should be at least one meeting of the committee as a whole with the probationary faculty each year. Prior to this annual meeting, the probationary faculty will provide the mentoring committee with a current CV and a written summary of the previous year's progress with respect to research, teaching and service. Additional documentation may include copies of publications and manuscripts in press, peer review evaluations of grant applications, and teaching evaluations. The mentoring committee will review these materials and then meet with the probationary faculty to discuss teaching and research progress, achievements, service, opportunities for improvement, and plans for the coming year(s). The committee will

generate a written summary of this meeting, including an evaluation of the progress of the probationary faculty member toward tenure, to be submitted to the Department Chair and reviewed by the Department Executive Committee.

At the Department Executive Committee meeting, the Chair of the mentoring committee, or her/his designee, will present the written summary, and the Executive Committee will discuss the probationary faculty's progress toward tenure. Following approval by a majority vote of the Executive Committee members present, a copy of the annual mentoring report will be provided to the probationary faculty member for signature, and a signed copy will be kept in the probationary faculty's file. The probationary faculty member has the opportunity to respond to the annual evaluation in writing or, upon request, to address the Executive Committee regarding the evaluation.

The Department Chair will also meet annually with the probationary faculty member to discuss his/her status in terms of renewal and promotion along with advice, if needed, for future endeavors and/or improvements.

The Department shall maintain a file, available to the mentoring committee and faculty member, that contains the letter of appointment with a statement of expectations in research, teaching and clinical endeavors, updated curriculum vitae, annual evaluations, faculty effort reports, teaching evaluations, and other relevant materials for evaluation.

III. Procedure for Promotion to Associate Professor with Tenure

A. Length of the Probationary Period. Calculation of the probationary period is reviewed in *FP&P 7.04: The Maximum Probationary Period*. Under University of Wisconsin faculty rules, the decision on tenure must be made before the end of the sixth year even though the length of the probationary appointment is seven years. The recommendation for promotion to Associate Professor with tenure may be made at any time during the probationary period; however, such action is usually not taken prior to the completion of five years as Assistant Professor, except in cases of extraordinary accomplishment.

The appointment of a probationary faculty member can continue beyond seven years, but only via a formal tenure clock extension. An Assistant Professor may qualify for tenure clock extension(s) during the probationary period based on criteria established by the University. Such extensions may be granted for many circumstances: following the birth or adoption of a child; for significant elder or dependent care obligations; and for other circumstances, including personal medical circumstances, that significantly impede progress toward tenure and are beyond the control of the probationary faculty.

B. Promotion Timing. The decision of when to initiate the formal review process for tenure consideration by the Department is made jointly by the probationary faculty member, the mentoring committee, and the Department Chair within the above stated timelines.

It is the responsibility of the Department Chair to ensure that the materials necessary for consideration, including the written evaluations of experts in the probationary faculty's field, are

collected in adequate time to allow completion of the tenure review process within the Department and the University by the end of the faculty member's sixth year, except in those circumstances where the probationary period has been extended. An estimated timeline for the preparation and review of the tenure dossier is included at the end of this document.

C. Criteria for Promotion with Tenure. The promotion of an Assistant Professor to Associate Professor with tenure is awarded on the basis of academic and scholarly achievement. Each faculty member is expected to demonstrate excellence in research, teaching or outreach with a strong record in another area, as detailed in the *Guidelines for Recommendation for Promotion or Appointment to Tenure Rank* for the Faculty Division of the Biological Sciences of the University of Wisconsin-Madison and *FP&P 7.14: Criteria for the Granting of Tenure*. In most cases, excellence in the primary area will be reflected by a strong record of publication and by the written evaluations of leaders working in the same field as the probationary faculty. It is expected that each probationary faculty will have established a significant teaching program through participation in existing departmental courses or the development of specialized courses related to his/her area of expertise. Academic service at the University, state, and national level will also be considered.

D. Promotion Decision Process. Once the probationary faculty member, the mentoring committee, and the Department Chair agree that the case is sufficiently strong, a tenure dossier is assembled according to the *Guidelines for Recommendation for Promotion or Appointment to Tenure Rank* for the Faculty Division of the Biological Sciences of the University of Wisconsin-Madison. Generally, the tenure dossier will contain recommendation letters from the Department Chair and the mentoring committee, a CV, summary statements regarding research, teaching, outreach, and service performance, at least 6 letters of evaluation from experts in the field (at least 5 arm's length), teaching and peer evaluations and 2 representative publications. A copy of all publications in the 6 years prior to consideration for tenure are also included as supporting materials.

Procedures for soliciting letters of evaluation from experts are indicated in the Biological Sciences Division Guidelines. The Department Chair, with initial suggestions from the probationary faculty, will identify a sufficient number of arms-length reviewers who are experts in the probationary faculty's field. The final list of external reviewers will not be communicated to the probationary faculty, and letters will be solicited by the Department Chair. The Chair will send an email to the selected reviewers requesting a written evaluation of the suitability of the probationary faculty for tenure at UW-Madison. This email request will include copies of the probationary faculty's CV and statements of teaching and research accomplishments along with the UW Guidelines for Promotion with Tenure.

Once all letters of evaluation are received, a draft tenure dossier will be prepared according to the Divisional Committee guidelines. This draft will be distributed to the Departmental Executive Committee for review. The Department Chair will schedule a meeting of the Executive Committee to discuss promotion of the probationary faculty member and to vote on a recommendation for tenure. This vote, to submit the tenure dossier to the Divisional Committee via the Dean, will be by written ballot. A simple majority of tenured faculty members must be present to meet quorum, and a simple majority of votes cast is required for a decision. The probationary faculty is informed of the decision by the Department Chair.

In the case of an affirmative vote, the tenure dossier is finalized and forwarded to the School of Medicine and Public Health Dean's Office for approval and transmitted to the appropriate Divisional Committee for review/decision as outlined in *FP&P 7.15: The Granting of Tenure*.

If the vote is to not grant tenure, then the procedure for response and/or appeal by the probationary faculty with a possible request to meet with the Executive Committee is found in *FP&P Chapter 7*.

Links:

1. Faculty Policies and Procedures, Chapter 7: Faculty Appointments
http://www.secfac.wisc.edu/FPP_ch_7.htm
2. "Guidelines for Recommendations for Promotion or Appointment to Tenure Rank" for the Faculty Division of Biological Sciences of the University of Wisconsin-Madison
https://www.secfac.wisc.edu/documents/Tenure-guidelines_BSci.pdf
3. Checklist of Materials for Tenure Recommendation in the Biological Sciences
https://www.secfac.wisc.edu/documents/Tenure-guidelines_BSci_checklist.pdf

Department of Pathology and Laboratory Medicine
Estimated timeline for preparation and review of tenure dossier

End of 5th year (by June 30th)

Probationary faculty

- Meets with mentoring committee and then with Department Chair to initiate the formal review process for tenure consideration by the Department and to decide on primary area of excellence and secondary area of significant accomplishment
- Meets with Department Promotions coordinator to talk through tenure dossier preparation, the process for tenure evaluation and relevant deadlines
- Submits to the Department Chair a list of at least eight (8) names of potential letter writers (evaluators), including a brief description of the merits of each
- Composes short summaries of research accomplishments and teaching performance
- Updates CV
- Identifies 2-3 most significant publication
- Sends teaching evaluations and peer reviews of teaching to department promotions coordinator

Promotions Coordinator

- Sends most recent promotion guidelines for the Biological Sciences Division to the probationary faculty, his/her mentoring committee and the Department Chair, along with a tentative timeline of deadlines for the process
- Meets with probationary faculty to talk through tenure dossier preparation, the process for tenure evaluation and relevant deadlines
- Asks Chair of mentoring committee for a “summary statement from the departmental internal review committee” to be included in the tenure dossier
- Works with Department Chair to finalize list of evaluators
- Begins to collect and compile teaching evaluations

6th year, months 1-3 (July – September)

- Department promotions coordinator and Chair finalize the letter requesting outside letters of evaluation. The Chair emails the probationary faculty’s CV and summaries of research and teaching performance along with the request for a letter of evaluation, to be returned in 4-6 weeks
- Probationary faculty adds a one or two-sentence narrative for each publication and indicates role played for each publication (% concept development and design, % data acquisition, % analysis and % writing)
- Promotions coordinator and probationary faculty work together to put together all the pieces of the tenure dossier according to the mandatory format specified in the Division of Biological Sciences *Guidelines for Recommendations for Promotion or Appointment to Tenure Rank*

6th year, months 3-5 (September-November)

- Updates sent to promotions coordinator
- Promotions coordinator assembles a DRAFT tenure dossier which includes teaching evaluation summaries and 2 representative publications
- Executive Committee meeting scheduled and DRAFT dossier distributed at least one

- week before the scheduled meeting
- Executive Committee meets to discuss probationary faculty's tenure case and votes on suitability for promotion to tenure
 - The Department Chair informs the probationary faculty of the Executive Committee's decision and writes a cover letter for the tenure dossier
 - Tenure dossier is updated and revised according to feedback from the Executive Committee, if any

6th year, month 5 (~November)

- Promotions coordinator compiles the final dossier as a bookmarked, text-searchable PDF
- Department Chair reviews final tenure dossier
- Promotions coordinator submits the PDF to the Dean of the School of Medicine and Public Health
- Dean's office supplies a cover letter requesting the advice of the executive committee of the biological sciences division
- Dean's cover letter is added to the tenure dossier which is then submitted electronically to the Biological Sciences Divisional Committee along with a PDF containing copies of the probationary faculty's publications in the six years prior to consideration for tenure