
**Proposed Change to *Faculty Policies and Procedures*: the Addition of a New Section, 7.16,
Promotion from Associate Professor to Professor**

The document presented for a reading varies so significantly from the document presented in the spring that a redlined version is not available. The redlines in this version of the document indicate changes to the document presented at the February Senate meeting. As a reminder here is a list of significant differences between the spring 2020 document and this one.

- Changed Title to remove “Full Professor.”
- Requires departments to consider the readiness of associate professors for promotion to professor no later than their first post-tenure review. This would not require a review for promotion take place, but rather that the department determine whether they should move forward with a review for promotion. If an associate professor is not promoted, it requires departments to consider the readiness of associate professors for promotion every year following the first year they are considered. Reviews for readiness can be delayed by mutual consent. In addition, following the first post tenure review associate professors can request that the department prepare materials for review and then vote on whether they should be promoted. This language has been modified as previous language was unclear about what was required for an annual review.
- Does not require letters of recommendation. Associate professors can request to have letters included even if a department does not require them.
- Allows CFRR to remand a promotion decision back to the department.

7.16. PROMOTION FROM ASSOCIATE PROFESSOR TO PROFESSOR

A. GUIDANCE

Promotion from the rank of associate professor to that of professor should be guided by a clear, written policy on the criteria and process for promotion within each department (see 7.16.B below). Schools and colleges may determine parameters for departmental policy. While the departmental policy need not establish absolute metrics of scholarship, it should define types of scholarly work (teaching, service, outreach/extension and research/scholarly productivity) that are expected for promotion. Copies of both school or college and departmental policies should be sent to the appropriate dean’s office (for department policies), the Office of the Provost, and the Office of the secretary of the faculty.

B. CRITERIA FOR PROMOTION

1. A departmental recommendation to promote to the rank of professor is ~~granted~~ forwarded to the Dean’s office following an affirmative recommendation of a subset of the departmental executive committee, consisting of the full professors on the executive committee (hereafter referred to as the “Council of Full Professors”), to that effect. In lieu of a Council of Full

Professors, departments may instead use a smaller subset of the executive committee consisting only of tenured professors to vote on promotion cases.

A minimum of three professors is required for a Council of Full Professors. Any department that does not have at least three professors must appoint, by a vote of its executive committee, enough professors from other departments to bring the complement of professors on the Council to three. The appointed professor(s) will serve until there are at least three professors on the departmental executive committee.

2. In applying its professional judgment to the decision of whether to recommend promotion, the Council of Full Professors has the obligation to ~~exercise its discretion~~ follow the department guidelines in the interest of improving the academic and professional quality of the department; departmental executive committees may not decline to recommend promotion for any reasons which are legally impermissible or which violate principles of academic freedom. The basic standard for review shall be whether the faculty member under review has met criteria consistent with the rank of professor as established in its guidelines (see 7.16.B.3 below). Special care should be taken to ensure that the scholarly productivity of jointly appointed and interdisciplinary faculty is appropriately evaluated.

3. The articulated standards in each department shall be consistent with the criteria for excellence held by peer institutions and with disciplinary conventions. Department standards for promotion shall consider a faculty member's responsibilities as identified in the latest letter of appointment. In general, promotion should be based on the record of scholarly work (teaching, service, outreach/extension and research/scholarly productivity) and should not be taken solely for reasons of salary, status, or retention. Promotion is not acquired solely because of the number of years of service. These criteria and standards shall be consistent with, and indeed may be a subset of, those established under section *FPP* 7.17.B. ("Post-Tenure Review: Criteria").

4. A copy of the criteria and standards described in 7.16.B.3 shall be furnished to all persons hired into the rank of associate professor and to all newly tenured faculty members, in accordance with *FPP* 5.21.D.1

5. Notwithstanding the responsibility of the departmental executive committees to provide for the guidance and mentoring of all faculty members, it is the faculty member's responsibility to meet the criteria for promotion as determined by the department.

6. These criteria and standards shall be periodically reviewed by the executive committee of each department and the relevant school or college Academic Planning Council(s).

C. PROCEDURES

1. *FPP* 5.21.D requires that departmental executive committees shall consider each of its associate professors' progress toward promotion to professor status either during part of its periodic review of tenured faculty (including post tenure review described in *FPP* 7.17) or separately.

2. As part of their annual review (see C.1 above) associate professors must be ~~reviewed~~ considered for their readiness for promotion to professor no later than the occasion of their first post-tenure review (performed in the fifth year) under section *FPP* 7.17 and every year after. ~~Delays or~~ Changes to this ~~review~~ consideration schedule may be made by mutual agreement between the associate professor and the department chair and may be made for multiple years at a time. If not promoted, an associate professor may request the department review them for promotion any time after their fifth-year post tenure review.

3. If an associate professor being considered for promotion has a joint appointment, the department designated as the principal sponsor of the appointment will take the primary role in the evaluation process. The involvement of other department(s) in the review should follow the process outlined in the faculty member's appointment letter or other agreement between the departments.

4. The associate professor will provide the Council of Full Professors with materials as outlined in the departmental policy such as a current curriculum vitae, annual activity reports, publications, grant proposals, and other scholarship; summary of teaching and student evaluations; and evidence of service (both at UW-Madison and to the profession more broadly), outreach, governance, and administrative work.

5. For departments requiring outside letters of evaluation as part of the process of evaluating the scholarly work (in teaching, service, outreach/extension and research/scholarly productivity) of associate professors being considered for promotion, the number of letters (typically three or more), confidentiality, and selection of references will be outlined in the departmental policy. For departments where outside letters are not required by the department, the associate professor may request that outside letters be solicited and included in the materials. To address requests for letters from associate professors, departments should include the process for outside letters in their policy regardless of whether they are required or not.

If a department adds a requirement for outside letters, faculty members who are being considered for promotion from associate professor in the year in which the rule changes may opt to prepare their cases for promotion to professor without outside letters.

6. A written evaluation of the associate professor's work and supporting documentation across all areas of scholarship (teaching, service, outreach/extension and research/scholarly productivity) needs to be submitted to the Council of Full Professors before a vote is taken.

7. The Council of Full Professors will meet to discuss and vote on the advancement of associate professors to the rank of professor. The vote should follow the procedures outlined in the department policy and be based on the record of scholarly work (in teaching, service, outreach/extension and research/scholarly productivity), and should not be taken solely for reasons of salary, status, or retention.

8. Once the vote has been taken, the faculty member shall be notified of the decision by the department chair in writing within five business days of the decision. If the decision is adverse, reasons for the decision will be included.

9. A Council of Full Professors recommendation of promotion to professor shall be transmitted by the department chair to the dean. The dean will then follow the process for approval or denial of promotion recommendations as outlined by school/college policy. Promotions typically take effect on July 1 for faculty on 12-month appointments and at the start of the contract year in August for faculty on 9-month appointments.

D. DUE PROCESS, RECONSIDERATIONS AND APPEALS

1. A faculty member receiving a negative outcome may request within ten business days of receiving the written decision a reconsideration by the Council of Full Professors. The meeting shall be held within twenty calendar days after the faculty member concerned requests reconsideration.

2. The faculty member concerned shall have an opportunity to attend the reconsideration meeting accompanied, if they wish, by a representative of their 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 non-adversarial in nature.

4. Within five business days following the reconsideration, the chair shall convey the decision of the Council of Full Professors to the faculty member concerned in writing. If the decision is adverse, the faculty member may appeal to the dean. The dean has fifteen calendar days to consider the faculty member's appeal and render a decision in writing. In cases when an adverse decision is upheld by the dean, that decision may be appealed to the Committee on Faculty Rights and Responsibilities (CFRR) (see 4 below).

5. Should a departmental decision on promotion be positive, and that decision is reversed by the dean, the faculty member will be notified in writing of the dean's decision and the reasons for the decision within five business days. The faculty member may appeal a dean's adverse decision to CFRR (see 4 below).

6. In the event of an adverse decision by the Council of Full Professors or by the dean, the faculty member will have twenty calendar days from the date of the decision to appeal to CFRR. The CFRR will decide on the validity of the appeal – basing its assessment on whether or not the decision on promotion was based in any significant degree on impermissible factors outlined in UWS Administrative Code 3.08[1][a], [b], and [c] and will transmit its findings to the faculty member concerned, the department chair, the department's Council of Full Professors, the dean, and the provost.

If CFRR finds that a decision in 7.16.D.2 or 7.16.D.3⁵ was based in any significant degree on impermissible factors, it may remand the case back to the ~~department~~ decision maker or ~~ask the~~

~~provost~~ send it to the next higher appointing authority. If the provost is involved, they will, in consultation with the Divisional Committee Review Council (DCRC)(FPP 7.17.C.7), make the final decision on promotion. That decision will be rendered within 30 calendar days of the date of the CFRR report. The provost's decision will be final.

7. In the event of an adverse decision that the faculty member chooses not to appeal or appeals without success, the chair or designee will meet with the faculty member to discuss how to create a stronger case for promotion.

8. A negative decision on promotion does not preclude consideration in subsequent years.