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DEPARTMENT OF INDUSTRIAL AND SYSTEMS ENGINEERING, UW-MADISON

Procedure Number:	ISyE P 04.1
Subject:	Mentoring and Annual Review of Probationary Faculty
Date Issued:	2/14/19
Supersedes:	02/15/2002
Written by:	ISyE Chair and Faculty Affairs Committee
Approved by:	ISyE Executive Committee
Review/Approved Date:	01/25/2019

1. Purpose:

The purpose of the following procedure, established by the ISyE Department Executive Committee in accordance with FP&P 7.05.A, is to define the general policies, guidelines, and steps followed for the guidance, annual evaluation, and recommendation for reappointment and tenure of each probationary faculty member, and in the review of probationary appointments.

2. Scope:

This procedure addresses the assignment of one or more members of the ISyE Executive Committee to serve as mentor(s) with primary responsibility for the guidance of the probationary faculty member in accordance with FP&P 7.05.B, the assignment of an individual Oversight Committee for each probationary faculty member in accordance with FP&P 7.05.C, and other activities for the guidance and annual evaluation of probationary faculty members in accordance with FP&P 7.05 and 7.06.

3. Related Procedures and Other Documentation:

<u>Procedure No.</u>	<u>Description of Procedure</u>
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Other Documents

Faculty Policies and Procedure (FP&P) University of Wisconsin-Madison, Chapter 7 – Faculty Appointments http://wiscinfo.doit.wisc.edu/secfac/governance/fpp/chapter_7.html, College of Engineering policies on Third-Year Review of Assistant Professors (Adopted November 2018), and IE P 04.2 Department Policy on Mid-Period Review of Assistant Professors.

4. Policy and Guidelines:

- 4.1 Under UW-Madison Faculty Policies and Procedures 7.05, the mentoring and annual evaluation for probationary faculty members is the responsibility of the IE Executive Committee. The IE Department Chair is the agent of the IE Executive Committee for the purposes discussed in this document. References in the remainder of this document are to the Chair in that capacity.
- 4.2 When a new probationary faculty member first joins the faculty, in accordance with FP&P 7.05.B, the chair will appoint one or more members of the IE Executive Committee to serve as the initial or preliminary mentor(s), subject to the agreement of the designated mentor(s). See Note 1. The appointed mentor(s) will have primary responsibility for the guidance of the probationary faculty member. (See Note 2.)

NOTE 1: The probationary faculty member may change or choose their own mentor(s), subject to the agreement of the individual(s) they select. The probationary faculty member would normally be expected to finalize their choice of their own mentor at the end of their first year, thus keeping the general intent of FP&P 7.05.B.1 that the faculty member(s) assigned or selected

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for the role of mentor remain the same throughout the probationary period unless the probationary faculty member desires a change of mentor(s). The probationary faculty members will notify the chair of any changes in mentors.

NOTE 2: The role of a mentor is as follows:

- Discusses with the assistant professor the departmental, college, and campus rules, expectations, and criteria for granting tenure.
- Gives feedback to the assistant professor on the mentor's observations as to the person's strengths and weaknesses.
- Helps the candidate discover opportunities and develop strategies for developing a research program.
- Serves as an advocate for the assistant professor.
- Promotes the visibility of the assistant professor, nationally and internationally.

NOTE 3: If a probationary member has more than one Executive Committee member serving as a mentor, then the probationary faculty will notify the chair of their choice of the primary mentor who will then be appointed by the chair to serve as an advocate and member of the Oversight Committee.

NOTE 4: The IE Executive Committee ensures that guidance of the probationary faculty members include implementation of FP&P 5.21.E.

4.3 In accordance with FP&P 7.05.C, the IE Chair assigns each probationary faculty member a separate Oversight Committee made up of 3 or 4 members of the IE Executive Committee, including the primary mentor, See Note 5.

NOTE 5: The role of the Oversight Committee is as follows:

- Ensures that the probationary faculty member's file contains all relevant material for evaluation, including teaching evaluations and copies of publications. (7.05.C. and 7.05.E.)
- Ensures that at least once per year, one of more members of the committee (including the primary mentor) and department chair discuss with the probationary faculty member the departmental and divisional committee expectations and his/her progress toward tenure. (7.05.C.)
- Informs the probationary faculty member of any changes in the departmental goals. (5.21.E.)
- Provides the IE Executive Committee with an annual written evaluation of the progress of the probationary faculty member. (7.05.D.)
- Recommends to the Executive Committee whether to recommend tenure, renew the appointment, or not renew the appointment. (7.06)

4.4 The IE Executive Committee's written criteria for recommending tenure are consistent with those of the Executive Committee of the Faculty Division of the Physical Sciences shown in Attachment 1. (7.14.C.). In recommending the granting of tenure, it is the ISyE Executive Committee's expectation that probationary faculty will meet or exceed the following criteria and standards for (1) teaching excellence, (2) excellent research accomplishments appropriate to the discipline; and (3) service to the university, to the faculty member's profession, or professional service to the public.

1. Teaching excellence, as evidenced by one or more of the following:
 - a. Demonstrated ability to teach at both the undergraduate and graduate levels
 - b. Competency as indicated in peer teaching evaluations
 - c. A record of satisfactory student evaluations and surveys
 - d. Achievement of teaching distinctions or awards
2. Research accomplishments as evidenced by:
 - a. A self-sustaining research program through the attainment of competitive or prestigious

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- research funding (e.g. NSF, NIH, DOD, DOE, etc.)
- b. Research held in high regard by outstanding scholars in the field their research impacts
 - c. Publications in excellent high-visibility outlets in their field
3. Service to the university, to the faculty member's profession, or professional service to the public, as evidenced by one or more of the following:
 - a. Participation in department, college, or university committees
 - b. Contributions to scientific journals and professional societies in their field
 - c. Engagement in public outreach activities
- 4.5 The voting rules adopted by the IE Executive Committee for personnel actions are shown in Attachment 2.
- 4.6 The IE Chair is responsible for ensuring that the following are provided to each probationary faculty member:
- A copy of the guidance and evaluation procedure. (7.05.A.)
 - A copy of the criteria for recommending tenure. (7.14.D. and 7.05.A.)
 - A document showing the membership of the oversight (Oversight) committee. (7.05.C.)
 - An annual written notice at least 20 days in advance of the Executive Committee's review and meeting notifying the probationary faculty member of their right to request that the meeting of the Executive Committee for the purpose of reviewing their performance be open so that he or she and others may attend.
 - A copy of the annual evaluation written by the Oversight Committee after it is discussed and approved by the IE Executive Committee. (7.05.D.)
- 4.7 The probationary faculty member has the right to respond to the IE Executive Committee approved copy of the annual written evaluation or may, upon request, address the Executive Committee regarding the evaluation. (7.05.D.)

5. Procedure:

Oversight Committee Assignments

- 5.1 At the start of the fall semester, or as appropriate, the IE Chair determines appointments of IE Executive Committee members to the Oversight Committees for each probationary faculty member, and distributes a list to all the IE faculty members that shows the committee chair, the primary mentor, and other (oversight) members for each committee.

NOTE 6: Membership of the Oversight Committees may change from year to year at the discretion of the IE Chair. (7.05.C.) It is the responsibility of the chair to ensure that the Oversight Committee includes at least one Executive Committee member who has related expertise to the probationary faculty member.

NOTE 7: In determining the appointments of the IE Executive Committee members to the Oversight Committees, the IE Chair may consult with other members of the IE Executive Committee and the probationary faculty members involved.

Executive Committee Review Meeting Notifications

- 5.2 At least 20 days in advance of the scheduled annual review meeting, the IE Chair sends a letter to notify each probationary faculty member of the date, time, and location of the meeting and their right to request that the meeting of the Executive Committee for the purpose of reviewing their performance be open so that he or she and others may attend. The members of the Oversight Committee are likewise sent a copy of the letter.

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NOTE 8: The meeting of the Executive Committee for the purpose of reviewing the performance of probationary faculty members is typically held on the third Friday of March.

5.3 After the IE Executive Committee has discussed and approved the evaluation report from each Oversight Committee, the IE Chair sends a copy of the report and a cover letter informing the probationary faculty member of the results of the IE Executive Committee meeting and their right to respond to the written evaluation.

Records

5.4 The IE Department Administrator maintains a personnel file for each IE Faculty member that contains records of all written performance evaluations and other personnel actions, as well as a Oversight file that contains all relevant material for evaluation, including teaching evaluations and copies of publications. This file should contain a statement each year identifying the mentor(s) and the membership of the Oversight Committee.

Mid-Period Review

5.5 A mid-term review is conducted as specified in IE P 04.02 prior to the end of the three-year anniversary of the probationary faculty member's appointment. Documentation of the mid-period review and an assessment of the quality of mentoring received from the department and suggestions for how it could be improved, is provided to the Dean as specified in the College of Engineering policy on Third-Year Review of Assistant Professors.

END OF PROCEDURE

7.14. CRITERIA FOR THE GRANTING OF TENURE.

A. 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.

B. 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.

C. 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.

D. 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.

E. 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.

F. 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.

UNIVERSITY OF WISCONSIN-MADISON
Department of Industrial Engineering

Quorum Rules

This document describes procedures followed by the Executive Committee of the Department of Industrial Engineering (the "Committee") in conducting its meetings. It includes only departmental procedures and omits procedures that the Committee is required by higher authority to follow, such as the requirements of the Wisconsin Open Meetings Law.

1. The Committee will follow the procedures of Robert's Rules of Order except as described below.
2. When voting on certain actions, called here "special actions," the Committee has additional requirements for passage of a motion. A special action is either of the following: (1) any motion to change the employment status of a person, including but not limited to actions to appoint, renew, nonrenew, promote, or grant leave, but not any including actions on salaries unless such actions also change employment status; (2) any motion to delegate Executive Committee authority to the Chair or to a subcommittee under the provisions of FPP 5.22(A).
 - a. Passage of a special action requires affirmative votes of both of the following:
 - (1) A majority of the total membership of the Committee, and
 - (2) At least 2/3 of the "active members" of the Committee, as defined below.
 - b. An "active member" of the Committee is any member of the Committee who is not an "inactive member."
 - c. To be an "inactive member" of the Committee at a particular time, a person who is not on leave must meet all of the following criteria at that time:
 - (1) Be a member of the Committee.
 - (2) Have requested in writing to the Department Chair to be considered an "inactive member," and not have withdrawn that request.
 - (3) Not hold a positive tenure fraction in the Department, unless the person also currently holds a major administrative appointment as a result of which he or she is not paid through the Department.
 - d. A member of the Committee who is on leave will be an "inactive member" during the term of the leave unless the Committee determines otherwise. The Committee may make, or change, such a determination at any time prior to or during the leave. Such a determination is not a special action.
 - e. In votes on special actions votes by written ballot will be counted but proxy votes will not.