Guidelines for Appointment and Promotion of CHS Track Faculty to Associate Professor (CHS) or Professor (CHS) (50% or greater/full-time)

2015-2016

INTRODUCTION

The purpose of these guidelines is to provide uniform criteria for appointment and promotion of CHS track faculty in all UWSMPH departments, including practicing clinician scholars, those with terminal degrees, and those with administrative responsibilities. Appointment in the CHS track will emphasize and be characterized by a scholarly approach to clinical activity, teaching, leadership, and/or research.

The UW School of Medicine and Public Health (SMPH) is committed to ensuring a professional and collegial environment for education, research and patient care. While professionalism is not included as a separate, specific criterion for promotion in these guidelines, departments are strongly encouraged to address issues related to professionalism at the departmental level. Departments should review the UW-SMPH/UWMF Guidelines for Professional Conduct in the Clinical Setting and the UW Health Policy for Professional Conduct in the Learning Environment for guidance. (APC 10/2009)

While it is anticipated that the majority of candidates will have responsibilities that are primarily clinical, the Committee recognizes that the contributions of CHS faculty will differ. Although it is not possible to provide precise criteria for all potential promotions, it is the intent of the Committee to review the packets of all candidates whose credentials are considered to be suitable, whether clinical, administrative, or otherwise.

Proposal for promotion should be submitted when the departmental executive committee considers the candidate ready for promotion. Candidates proposed for promotion to Associate Professor (CHS) prior to completion of the fifth clock year are considered “early promotions” and so must show not only exceptional performance but also promise of continued career growth. The promotion process for Associate Professor must begin no later than by the beginning of the eighth clock year, and promotion must occur by the end of the ninth clock year. There is no required time for advancement to Professor (CHS).

All packets for current faculty eligible for promotion must be received by the committee within the timeframe specified by the Dean's Office. In the case of new appointments at associate or full professor rank, the committee will meet as necessary.

In preparing the documentation for the candidate, the Committee wishes to emphasize the importance of following the guidelines carefully. Completeness of the packet is important to assure that the candidate receives the fairest evaluation possible. Missing or incomplete documentation can create problems in assessing the merits of a candidate. For this reason, the Committee can and will defer its decision and request that the department provide additional information if such material is deemed important to the assessment of a candidate. In general, adhering closely to the guidelines will help to prevent needless delays.
PERFORMANCE REQUIREMENTS FOR APPOINTMENT/PROMOTION ON THE CHS TRACK

The candidate must demonstrate excellence in one area and significant accomplishment in one other area, as outlined in A.1. to A.4. below (clinical activity, teaching, leadership, research). The importance of a candidate to the clinical program of the department may not replace documented evidence of scholarly achievement in these areas.

Promotion or appointment at the Associate Professor rank requires a candidate to demonstrate a state or regional (multi-state) reputation for academic excellence within the candidate’s area of excellence. Promotion or appointment to Professor (CHS) requires a national or international reputation for academic excellence in the candidate’s area of excellence. For those candidates being considered for appointment at or promotion to the rank of Associate Professor and who are practicing in Milwaukee, reputation outside the candidate’s hospital of practice must be established. However, it is understood by the Committee that in unique circumstances, the candidate’s State reputation may be limited to the Southeastern Wisconsin area.

Regardless of the activities on which the case for promotion will be based, letters of evaluation must be submitted with the promotion package. Letters from evaluators of recognized excellence and achievement in areas appropriate to the promotion case should be solicited by the chair. Arms-length letter(s) which support the candidate’s area of excellence and external reputation is (are) required for promotion. See supplemental table for the number of required letters.

For an evaluator to be considered arms-length, he/she should not have worked together at the same institution or been in a student/mentor relationship with the candidate in the past or present. Ideally, these evaluators would be from peer institutions. Examples of arms-length evaluators may include people who have worked with the candidate on committees of professional organizations or on multi-institutional research projects, or have observed the candidate’s teaching. Evaluators should have appropriate professional training so that they can adequately assess the significance of the candidate’s work. It is recognized that letters from administrators may be necessary if excellence in the area of leadership in administration or program development is being sought.

The department Chair will provide a copy of the letter requesting evaluations, a brief description of the stature and qualifications of the evaluators, and their relationship to the candidate. IT IS STRONGLY RECOMMENDED THAT THIS LETTER CLEARLY INDICATE THE CANDIDATE’S AREA OF EXCELLENCE AND AREA OF SIGNIFICANT ACCOMPLISHMENT SO THAT THE LETTERS CAN EVALUATE THE CANDIDATE MORE EFFECTIVELY AND BE MORE APPROPRIATELY FOCUSED.

A. Appointment at or Promotion to the Level of Associate Professor (CHS)

1. CLINICAL ACTIVITY –

   If clinical activity is the candidate’s area of excellence or area of significant accomplishment, evidence must be presented that the candidate has introduced new or unique clinical services, approaches, or techniques.

   Examples of a scholarly approach to clinical activity might include:

   - Establishment or implementation of a novel clinical or surgical technique that has demonstrated improved or more efficient patient care.
   - Promulgation of updated medical or surgical approaches to outside institutions.
   - Outstanding or uniquely helpful interaction with outreach community physicians or institutions.
   - Advancement of a subspecialty or particular facet of patient care in the candidate’s field.
• Promotion of clinical trials, epidemiological studies, public health or translational techniques that advance the frontier of care.

• Other examples of outstanding or uniquely helpful patient care in a clinical, public health, or community-based health care setting that reflect on the candidate or their department.

Evidence of excellence or significant accomplishment in clinical activity will include:

a. Statement by the candidate describing his/her clinical activities (e.g. number of clinics attended, type of patients seen, procedures performed, inpatient responsibilities, outreach activities), what makes their service unique/outstanding, and how they have followed a scholarly approach.

b. CME written materials and publications that support a scholarly approach to patient care may be provided as an Appendix to the packet.

c. Letters of evaluation supporting the candidate’s clinical achievements.

When clinical activity is the area of excellence, at least 4 letters supporting achievements in clinical activity are required. This should include one arms-length letter for promotion to Associate Professor and two arms-length letters for promotion to Professor (see description of "arms-length" above). The arms-length letters should support the candidate’s external reputation in clinical activity.

When clinical activity is the area of significant accomplishment, at least 2 letters supporting clinical achievements are required.

Letters should compare the quality of the candidate with other faculty of similar rank and experience. If there is a special case where it is not possible to obtain a letter from outside the University of Wisconsin, an explanation of the special case status must be provided in the Chair’s letter, and a letter from another department within the UW system may suffice.

2. TEACHING –

If teaching is the candidate’s area of excellence or area of significant accomplishment, evidence must be presented that the candidate has developed and/or conducted unique or exceptional teaching.

Examples of scholarly approach to teaching might include:

• Development of a new curriculum, course, seminar, or workshop in undergraduate, graduate, continuing medical, community-based or public health professional education.

• Creation of novel or unique teaching methods or materials.

• Establishment of a community program or partnership to further medical education.

• Creation of novel or unique evaluation method or tool.

• Frequent invitations to teach at conferences or CME programs.

Evidence of excellence or significant accomplishment in teaching will include:

a. Statement by the candidate describing his/her teaching contributions including scholarly approach. This statement should clarify and expand upon what is listed in the curriculum
vitae with special attention given to unique or exceptional features of the candidate’s teaching activity.

b. **SUMMARY** of all teaching evaluations by peers, fellows, house staff, and students including ALL WRITTEN COMMENTS that pertain to the candidate's teaching efforts. Individual evaluations must be available if requested, but should not be submitted with the packet.

c. Letters of evaluation supporting the candidate’s teaching achievements.

When teaching is the area of excellence, at least 4 letters supporting achievements in teaching are required. This should include one arms-length letter for promotion to Associate Professor and two arms-length letters for promotion to Professor (see description of "arms-length" above). The arms-length letters should support the candidate’s external reputation in teaching.

When teaching is the area of significant accomplishment, at least 2 letters supporting achievements in teaching are required.

Letters should compare the quality of the candidate with other faculty of similar rank and experience. If there is a special case where it is not possible to obtain a letter from outside the University of Wisconsin, an explanation of the special case status must be provided in the Chair’s letter, and a letter from another department within the UW system may suffice.

d. At least two (2) additional letters from former learners (e.g. students, house staff or fellows) regarding the candidate’s teaching.

e. Instructional materials or curricula that exemplify the unique or exceptional nature of the candidate’s teaching should be provided in an Appendix to the packet.

3. **LEADERSHIP IN SERVICE, ADMINISTRATION, AND/OR INSTITUTIONAL PROGRAM DEVELOPMENT**

If leadership in service, administration, and/or institutional program development is the candidate’s area of excellence or area of significant accomplishment, evidence must be provided to document truly exceptional leadership that has furthered the academic mission of the UWSMPH.

Please note that committee membership, professional service and administrative duties are expected of all CHS faculty, and routine activities in this area do not meet the criteria for "exceptional leadership" as a basis for promotion.

**Examples of scholarly approach to leadership might include:**

- Leadership in professional service organizations such as medical charities and/or patient advocacy groups.

- Leadership roles in major departmental, UWSMPH, hospital, or university leadership roles including roles on major committees.

- Professional leadership in local, state, regional, or national service or governmental units.

- Present and past appointments or election to office in county, state, or national medical and health care societies.
• The creation or development of a program involving clinical, public health, or community-based care deemed critical by the UWSMPH or hospital.

• Leadership in areas such as comparative effectiveness, public health or biomedical informatics.

Evidence of excellence or significant accomplishment in leadership will include:

a. Candidate's statement of leadership in service, administration, and/or institutional program development. This statement should include details about the candidate's role as well as the candidate's scholarly achievements in this role, time commitment, and how their efforts have furthered the mission of the UWSMPH.
   i. For leadership in administration, include an outline of the organization of the program (e.g., organizational chart), including the duties and responsibilities of the candidate, the annual budget, and the names of faculty and staff in the unit. Provide evidence of growth and continued viability of the program or unit and summaries of relevant reviews and/or letters pertaining to the program's/unit's external review if available.

b. The committee would expect to see evidence of a scholarly approach, for example; instructional offerings within the UWSMPH or to professional peer groups, or publications in the area of expertise of the candidate.

c. Letters of evaluation supporting the candidate's achievements in leadership.

   When leadership is the area of excellence, at least 4 letters supporting achievements in leadership are required. This should include one arms-length letter for promotion to Associate Professor and two arms-length letters for promotion to Professor (see description of "arms-length" above). The arms-length letters should support the candidate's external reputation in leadership.

   When leadership is the area of significant accomplishment, at least 2 letters supporting achievements in leadership are required.

   Letters should compare the quality of the candidate with other faculty of similar rank and experience. If there is a special case where it is not possible to obtain a letter from outside the University of Wisconsin, an explanation of the special case status must be provided in the Chair's letter, and a letter from another department within the UW system may suffice.

d. If applicable, a letter from the beneficiary of the candidate's efforts in leadership may be included documenting the significance of the candidate's contribution.

4. RESEARCH

If research is the candidate's area of excellence or area of significant accomplishment, evidence must be presented that the candidate has been involved in a significant way in research. Research efforts may include but are not limited to bench science, clinical trials, epidemiological studies, community-based research programs, comparative effectiveness studies, collaborative research in clinical medical bioinformatics, or community health intervention studies.

Research requirements in the CHS track are not the same as in the tenure track. However, the Committee will expect to see evidence that the candidate has performed research that is innovative in their field.

Examples of a scholarly approach to research might include:

• Being first or senior author on publications in peer-reviewed journals.

More publications will be required for Professor level.
• Publication of a landmark article.
• Presentation of research at meetings.
• Contribution to ongoing activity in the field of research.

Evidence of excellence or significant accomplishment in the area of research will include:

a. A statement from the candidate that provides a description of the research program, accomplishments to date, and future goals.

b. Bibliography of publications resulting from this research. Include this information in the curriculum vitae section of the packet. Provide the candidate's five most noteworthy publications in the Appendix of the packet.

c. Provide a list of present and past research support, including the monetary amount, year(s) of award, description of the candidate's role in the project (PI, Co-PI), and percentage of effort. Include this information in the curriculum vitae section of the packet.

d. Copies of summary peer-review statements from federal or non-federal research support should be included in the Appendix of the packet.

e. A list of presentations resulting from this research at the local, state/regional, or national level. Include this information in the curriculum vitae section of the packet.

f. Involvement on key research-related committees at the local, state, regional, or national level.

g. Letters of evaluation supporting the candidate's achievements in research.

When research is the area of excellence, at least 4 letters supporting achievements in research are required. This should include one arms-length letter for promotion to Associate Professor and two arms-length letters for promotion to Professor (see description of “arms-length” above). The arms-length letters should support the candidate's external reputation and should assess the quality and productivity of the candidate's research.

When research is the area of significant accomplishment, at least 2 letters supporting achievements in research are required.

Letters should compare the quality of the candidate with other faculty of similar rank and experience. If there is a special case where it is not possible to obtain a letter from outside the University of Wisconsin, an explanation of the special case status must be provided in the Chair's letter, and a letter from another department within the UW system may suffice.

B. Appointment at or Promotion to the Level of Professor (CHS)

Promotion to or appointment at Professor (CHS) rank requires the attainment of a national or international reputation in the candidate’s area of excellence (clinical activity, teaching, leadership, or research). The document should follow the same format described for appointment at or promotion to Associate Professor (CHS) and should document the candidate’s contributions since the time of appointment at/promotion to Associate Professor level. Evidence should be included that the candidate has continued to grow in stature in areas 1 through 4 as cited above. The candidate's contribution to his/her field must include scholarly publications.

Supporting evidence may include:
1. Service as a speaker at national or international conferences.
2. Service as a visiting professor.
3. Preparation of books, chapters, or reviews.
4. Service on editorial boards or as an officer in a national professional society.
5. Awards or honors.
6. Appointments to governmental review panels or committees.
7. Appointments to major committees of national professional societies.
8. Other types of recognition of prominence in the candidate’s field.

COMMITTEE APPEAL PROCESS

A legal vote of the CHS Track Faculty Appointments and Promotions Committee requires a majority vote of those committee members in attendance (in person or by teleconference/videoconference) and participating in the discussion of the candidate. At least a quorum of committee members (more than 50% of the total membership at the time of the candidate’s vote) must be in attendance. All committee members are eligible to participate and vote on all candidates.

If the Committee recommends against promotion, the basis for the recommendation will be provided in writing by the Committee Chair to the candidate’s Department Chair and the Dean within one week of the meeting. The Department Chair may appeal the decision in writing to the Committee within 60 calendar days (APC 10/2009) of receiving a written explanation of the recommendation. In exceptional circumstances, e.g., when strategic recruitment or retention concerns prevail, the Committee may recommend that the appeal be made directly to the Dean. (APC 10/2000) Normally, appeals will be made to the Committee with the provision of new or additional information and a response to the concerns raised by the Committee. After submitting a written appeal, the Department Chair may request the opportunity to meet with the Committee to address the issues under appeal.

Should the Committee uphold their original decision to recommend against promotion, an explanation will once again be provided in writing by the Committee Chair to the candidate’s Department Chair and the Dean within one week of the meeting. If the Department continues to feel strongly that a promotion is warranted, or if exceptional circumstances exist, the Department Chair may submit a final written appeal directly to the Dean within 60 calendar days of receiving a written explanation of the Committee’s recommendation. (APC 10/2009) If a Department should choose to submit an appeal directly to the Dean, the Dean will seek the advice of a subcommittee of the Dean’s Leadership Team (DLT), consisting of three associate deans, before making a final determination in each case. (APC 6/2001)

REINSTATEMENT POLICY

Reinstatement to a senior level on the CHS track after an absence from the institution of two years duration requires the normal review process. (HRDC (now called DLT) 9/9/2003)

CONFLICT OF INTEREST POLICY

For all SMPH faculty appointment and promotion committees, any committee member who holds a faculty appointment in the same department as the candidate shall not be present for the discussion and vote of said candidate. Said committee member is considered present at the committee meeting for quorum purposes, and his or her vote is considered a technical abstention. (APC 6/19/2013)
Mandatory Format for the Appointment or Promotion Packet

I. COVER LETTER

The Department Chair’s cover letter must include:

A. A sentence that identifies the candidate’s area of excellence and area of significant accomplishment.

B. The number of eligible voters on the department executive committee during the semester of the promotion decision and the exact vote, including absences or abstentions. Indicate the percentage of total number of votes required for acceptance by the department.

C. The total number of years counted on the CHS promotion time table at UW-Madison and elsewhere at the time of the department vote and, if different, at the time of submission of the packet. At the time of initial appointment, a department may decide to include years at a previous institution toward the candidate’s promotion clock. If so, this should be explained in the Chair’s letter and should be consistent with the letter of appointment (Appendix). If there was a change in track, this and the reason for the track change should be clarified in the Chair’s letter.

D. If a candidate is being recommended for promotion to Associate Professor prior to completing the fifth clock year, justification for this early submission must be clearly stated. Similar criteria are used by the committee to evaluate the candidate, but the committee will look for evidence in the packet, including in the Chair’s letter, showing that the candidate has the ongoing effort necessary to maintain the “trajectory” of progress.

E. Define and document the responsibilities of the candidate as fully as possible, including the actual percentages of time allotted to: ___% clinical activity, ___% teaching, ___% leadership in service, administration and/or institutional program development, and ___% research. If the candidate's relationship to, or role in, the department is not likely to be clear to a reviewer from outside the department, provide adequate documentation.

F. **Describe the candidate’s area of excellence and area of significant accomplishment, including the candidate’s scholarly approach and external reputation.** The candidate must demonstrate excellence in one area and significant accomplishment in one other area. The area of excellence for the candidate (clinical activity; teaching; leadership in service, administration, and/or institutional program development; or research) should be the area where the candidate has established an external reputation (i.e. State/Regional reputation for Associate Professor rank and National/International reputation for Professor rank). Publications, presentations at scientific meetings, invited speaking engagements, or membership on professional committees, etc., as well as letters from arms-length reviewers (one for Associate Professor level; two for Professor level) are required to establish the external reputation. (A supplemental table is available at the end of these guidelines which describes this information in an alternative format.)

G. If the credentials of the candidate are an exception with respect to the existing guidelines, this must be stated in the cover letter and justification included for consideration of the candidate, based on his/her area of excellence and area of significant accomplishment.

II. SUMMARY STATEMENT FROM INTERNAL REVIEW COMMITTEE

(suggest no more than 2 pages)

It is strongly recommended that the department create an internal review committee to assemble and review the necessary documents for the promotion package.
III. CURRICULUM VITAE:

See Curriculum Vitae template on the SMPH Human Resources website:
http://intranet.med.wisc.edu/files/smphintranet/docs/hr/curriculum-vitae-template.doc

IV. PERFORMANCE

A. Statement by the Candidate
(Limit to 2 pages per area.)

1. Address the area of excellence.
2. Address the area of significant accomplishment.
3. Address the third area.
4. Address the fourth area.

B. Letters of Evaluation

All letters of evaluation should be included together in this section of the packet. Documentation will include the following:

1. A copy of the letter sent by the Department Chair requesting letters of evaluation. A sample letter is provided with these guidelines.
2. A listing of all evaluators from whom an evaluation was requested. Include a description of the relationship to the candidate and mark the arms-length evaluators.
3. Four (4) letters of evaluation for area of excellence including arms-length letter(s).
4. Two (2) letters of evaluation for area of significant accomplishment.
5. Two (2) letters from former learners (e.g. students, house staff or fellows), for candidates being appointed/promoted based on teaching as area of excellence or area of significant accomplishment.
6. Additional letters, if appropriate, from the beneficiaries of the candidate’s efforts.

C. Teaching Evaluations
(for candidates being appointed/promoted based on teaching as area of excellence or significant accomplishment)

D. Organizational Chart
(if appropriate for candidates being appointed/promoted based on leadership in administration or institutional program development as area of excellence or area of significant accomplishment)

APPENDIX (Will only be reviewed by the two committee members assigned as primary reviewers.)

A. Letter of Appointment and Subsequent Letters of Reappointment

As Assistant Professor (CHS) or Associate Professor (CHS). The salary figures must be removed from this document. Include Enclosure A of the original appointment letter.

B. Examples of other materials to be included in the Appendix:
1. Teaching materials, if teaching is the candidate’s area of excellence or significant accomplishment

2. Reprints of candidate’s five most noteworthy articles, if research is the candidate’s area of excellence or significant accomplishment.

3. Copies of Peer Review Sheets from grants, if research is the candidate’s area of excellence or significant accomplishment and if research support is applicable to the candidate.
### TABLE:
Required Letters of Evaluation for Appointment/Promotion on the CHS Track

<table>
<thead>
<tr>
<th>Performance Areas Identified for Candidate</th>
<th>Associate Professor Level</th>
<th>Professor Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>(The candidate's area of excellence and area of significant accomplishment will determine the number of letters needed for the packet.)</td>
<td>Total Letters For Each Area</td>
<td>Arms-Length Letters</td>
</tr>
<tr>
<td><strong>Area of Excellence</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>If area is Clinical Activity</td>
<td>4</td>
<td>1</td>
</tr>
<tr>
<td>If area is Teaching</td>
<td>6</td>
<td>1</td>
</tr>
<tr>
<td>If area is Leadership</td>
<td>4</td>
<td>1</td>
</tr>
<tr>
<td>If area is Research</td>
<td>4</td>
<td>1</td>
</tr>
<tr>
<td><strong>Area of Significant Accomplishment</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>If area is Clinical Activity</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td>If area is Teaching</td>
<td>4</td>
<td>0</td>
</tr>
<tr>
<td>If area is Leadership</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td>If area is Research</td>
<td>2</td>
<td>0</td>
</tr>
<tr>
<td><strong>Two Remaining Areas</strong></td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

**NOTE:** It is understood that one letter may address more than one area for the candidate. Nevertheless, for purposes of the packet, the candidate should consider four of those letters as providing evidence for the area of excellence with two additional letters providing evidence for the area of significant accomplishment.