



Asian Languages and Cultures
COLLEGE OF LETTERS AND SCIENCE
UNIVERSITY OF WISCONSIN-MADISON

ALC Policy

Title: Policy for Promotion to Full Professor

Date: October 15, 2021 (see memo from CFP on that date)

Policy for Promotion to Full Professor

Promotion to Full Professor is a significant milestone, and it is an opportunity to both encourage and recognize our outstanding faculty. As discussed further below (see “Notification and Timing”), any Associate Professor may request consideration for promotion to Full Professor. The expectations are similar for promotion to tenure: demonstrable excellence in research, teaching, and service are required. The candidate’s dossier must demonstrate that the candidate has progressed beyond the point of tenure and achieved national and international recognition for excellence in the academy. In the case of candidacy for tenure, much of the emphasis is on research, and Assistant Professors are thus appropriately protected from many burdens related to teaching and service. Associate Professors, however, often bear a heavy load of both teaching and service, and these contributions thus figure more prominently in the evaluation of their dossiers. Nevertheless, promotion depends most heavily on the candidate’s national and international reputation for research scholarship, and promotion to Full Professor cannot be achieved primarily on the basis of teaching and service. Nor is it possible to be promoted merely for reasons of salary, status, retention, or years of service.

Criteria for Promotion

The Department of Asian Languages and Cultures is highly interdisciplinary, and as a result, specifying precise expectations for each candidate is challenging. Recommendations are provided below, but to supplement these recommendations, candidates should also include in their dossier a cover letter setting forth their view of what constitutes the national and international scholarly reputation required for promotion from their perspective, along with the concordant expectations in teaching and service. As outlined in the section on process below, a candidate’s statement about criteria for promotion should take into account previous discussions aimed at clarifying the criteria for promotion that the candidate has held with the Chair of the Council of Full Professors (CFP).

Research

In terms of quantity and type of research, ALC is home to faculty members in multiple disciplines, and no single set of guidelines about research will suffice. However, in general,

promotion to Full Professor should be based on research productivity that at least matches the expectations for tenure. For example, if tenure at a peer institution in the candidate's discipline would normally require a peer-reviewed book-length work and 2 additional peer-reviewed publications (or some equivalent, such as a series of substantial peer-reviewed articles or an advanced textbook that is based on the candidate's research), then the candidate's productivity should at least match that level of productivity. This productivity must occur after the point of tenure, and while research prior to that point remains relevant, the main focus of evaluation is research output produced after tenure.

As in the case of tenure, works in progress or under review may be submitted as part of the dossier, but the primary evidence for the candidate's research consists of publications that are actually in print or are at least "in press"; that is, the manuscript is complete and has been accepted for publication without further review or referee-mandated revision. Publications that are under advance contract or under review or revision can be included in the dossier, but they cannot in themselves constitute evidence of the expected research output.

Research productivity is in large part measured by the number of peer-reviewed publications or comparable outputs. However, ALC seeks to encourage not just the quantity of such output, but also the quality. In brief, a dossier with relatively fewer publications or other outputs could still be considered exceptionally strong due to the impact that these materials have had on the candidate's field(s). A consensual demonstration of such quality is challenging, since it arguably depends on many subjective factors, but beyond being peer reviewed, a publication's impact is also reflected in its publishing venue, general esteem expressed by reactions from peers, and references to the work. To assist in an assessment of their work's quality, candidates should thus feel free to provide supplemental information about citation rates, journal rankings, book reviews in well-respected venues, roundtables focused on their work at conferences, invitations to provide chapters or articles for peer-reviewed books or journals without submission fees, and other evidence that their research outputs are having a significant impact. There is no requirement for any specific amount of supplemental information about the impact of a candidate's published work, and the candidate may thus choose to provide extensive information of this kind or none at all.

Publications and other scholarly outputs are the principal way to demonstrate the candidate's national and international reputation within the academy, but candidates are encouraged to provide other evidence as well. For example, national and international invitations to deliver a keynote address or a lecture and other such activities at academic institutions or professional organizations are often used as an indicator of one's scholarly reputation. Papers delivered at peer-reviewed conferences are another source of evidence. And certain forms of service outside of UW also speak to the candidate's scholarly reputation, including requests for reviewing in the context of publications, grants, external reviewing of academic programs or departments, reviews of dossiers for promotion, and so on. Additionally, some activities in the realm of public scholarship—such as media contacts, interviews, documentaries, and popular talks in notable contexts—can also speak to the candidate's reputation as a widely recognized scholar in the field.

Finally, although not required for promotion, grants and awards are highly significant indicators of a candidate's scholarly reputation, and they should be listed in the CV for the dossier.

Teaching

Before tenure, Assistant Professors are often protected from some teaching activities, including especially the mentoring of graduate students and postdoctoral fellows. In contrast, Associate Professors are expected to contribute much more significantly to the pedagogical mission of the department. The baseline expectations include a demonstration of ongoing competence in undergraduate teaching, as indicated by adequate enrollments and acceptable scores on teaching evaluations (with the understanding that teaching evaluations are a very weak indicator of teaching excellence). Beyond these baseline expectations, a candidate for promotion to Full Professor should also demonstrate significant engagement with—if not excellence in—both graduate as well as undergraduate teaching. Possible areas of engagement especially include the mentoring or advising of undergraduates, of graduates, and of post-doctoral fellows. At the graduate level, noteworthy activities are varied, but they usually involve service on graduate committees, such as committees for PhD dissertations, MA theses, qualifying exams, and so on. Other significant activities include attracting graduate students to ALC; the creation of new courses; meaningful revision of existing courses; participation in teaching initiatives or training opportunities; the construction of new websites or other products focused on teaching; and the pedagogically-focused mentoring of Teaching Assistants, Lecturers, or other faculty. In general, it is not sufficient to demonstrate that one has taught a series of undergraduate courses—even with high enrollments and good student evaluations—if there is no evidence of engagement with other activities, such as graduate education.

Service

Having been largely protected from much service to the institution and discipline prior to tenure, Associate Professors often find themselves deluged with requests for participation in service-oriented activities. Service thus becomes both a necessity—without the tremendous service of Associate Professors, the university could not flourish—and also a potential obstacle, especially to one's scholarly research. *Even the most outstanding service portfolio cannot compensate for a clear deficiency in publications or other research outputs, and Associate Professors should thus be encouraged to maintain an appropriate balance in their activities.* As noted previously, promotion depends most heavily on the candidate's national and international reputation for research scholarship, and promotion to Full Professor cannot be achieved primarily on the basis of teaching and service. Even with this proviso in mind, however, service plays a far more important role in the promotion to Full Professor than in the tenure process.

Since Associate Professors necessarily bear a significant burden of service, their contributions in that area carry significant weight. A dossier strong in both service and research, for example, would be more competitive than one strong in research but deficient in service. The central theme here is one of "proportionality," such that a candidate for promotion can clearly demonstrate strong service, without that service absorbing a disproportionate amount of the candidate's effort in ways that impacts the requisite level

of research outputs or accomplishments in teaching. Overall, it is crucially important that Associate Professors be recognized for their service, since the institution and the academy at large could not survive without it. At the same time, Associate Professors should likewise be dissuaded from plunging into a level of service that severely impacts their engagement with research and teaching. We recognize that the department itself plays an important role in helping Associate Professors to strike the right balance in their efforts, and in part, this means monitoring the service load placed on faculty so as to avoid burdening any Associate Professor with a disproportionate load of service.

Process for Promotion

The process for promotion to Full Professor involves six stages: 1) post-tenure discussions about criteria for promotion; 2) notification and timing; 3) confirmation of expectations; 4) preparation of dossier; 5) evaluation; 6) reporting and proposal to the L&S Dean. The overall schedule of deadlines is as follows:

- **After promotion** to (or appointment as) an Associate Professor — Periodic discussions with CFP Chair about criteria for promotion.
- **September 30** — CFP Chair informs all Associate Professors about the possibility of seeking promotion.
- **October 15** — Associate Professors intending to seek promotion to Full Professor respond to CFP Chair about their candidacy and start a conversation with CFP Chair to confirm previously discussed expectations about criteria for promotion.
- **November 1** — Candidates submit their list of 2 potential reviewers and "no-go" reviewers to CFP Chair. CFP then develops the review list.
- **November 15** — CFP Chair sends invitations to review. The aim is to secure a sufficient number of reviewers by December 1, with a fallback position of December 15 at very latest.
- **December 5** — Candidates submit complete dossiers to CFP Chair. CFP Chair sends complete dossiers to reviewers by December 15.
- **February 1** — External reviews received.
- **February 1-21** — CFP compiles report and votes.
- **February 21** — Report to ALC Chair submitted.
- **Deadline** (specified by the Dean's office) — Report and recommendations filed with the Dean's office.
- **Within 10 business days** (of a negative decision) — A faculty member wishing to file a Request for Reconsideration must do so within this period.
- **Within 20 calendar days** (of receiving a Request for Reconsideration) — CFP must hold a Reconsideration Meeting.
- **With 5 business days** (of the Reconsideration Meeting) — ALC Chair conveys the decision to the faculty member in writing.

1-Post-Tenure Discussions about criteria for promotion

Once an ALC faculty member has been promoted to (or appointed as) an Associate Professor, the faculty member is encouraged to begin discussions with the Chair of the Council of Full Professors about the criteria for promotion to Full Professor. It is recommended that these discussions begin in the semester following promotion, or in the case of faculty newly appointed in ALC as an Associate Professor, these discussions should occur in the first semester of appointment. These discussions should continue on a regular basis until promotion occurs. The CFP Chair may assign another member of the CFP to work with the candidate in this regard. In collaboration with the Associate Professor, the CFP Chair or the CFP Chair Designate will generate a concise summary of each conversation about expectations concerning criteria for promotion for distribution to the CFP.

2-Notification and timing

By September 30 of each year, the Council of Full Professors Chair will request all Associate Professors in ALC to send notification of their intended candidacy to seek promotion to Full Professor. University policy enables Associate Professors to seek promotion at any time, including immediately after tenure. However, in most cases, promotion to Full Professor is considered no earlier than five years after tenure. This timing reflects the typical profile for research output after tenure, but it also allows new Associate Professors to acclimate to their roles within the institutional culture of both ALC and the university at large. In the yearly September 30 email to Associate Professors, the CFP chair will encourage Associate Professors who have been in rank for at least five years to plan concretely for promotion.

Associate professors will be considered for promotion at the time of their first post-tenure review. If promotion is not sought or granted at that time, the department Chair and Associate Professor should agree upon a time for reconsideration not to exceed five years. If no agreement is reached, the reconsideration will happen once annually.

In the case of ALC faculty who join the department at the rank of Associate Professor, the timing of these five years is determined by the date of their promotion to Associate Professor (or equivalent) at their previous institution. Additionally, ALC faculty who join the department with more than five years of experience at the rank of Associate Professor are encouraged, but not required, to acclimate to the department over the course of one or two years before requesting promotion. This period of acclimation will allow the Associate Professor to become more familiar with both ALC and the university at large, and that familiarity will enable the CFP to generate a stronger case for promotion, since the CFP will be able to speak more directly from experience about the candidate's qualities.

Associate Professors who seek promotion in less than five years after tenure are free to do so. However, their dossiers will receive additional scrutiny from the Dean of L&S and therefore also from the department's CFP. The CFP is mindful that bringing up a faculty member for promotion prematurely can reflect poorly on the department as a whole.

Associate Professors should respond with their intention to seek promotion by no later than October 15.

3-Confirmation of expectations

Once Associate Professors have informed the CFP Chair of their intention to seek promotion, the CFP Chair or CFP Chair Designate will work with each individual candidate to confirm expectations in the areas of research, teaching, and service. The purpose of this dialog is to ensure that the CFP and each Associate Professor are in agreement about the criteria for promotion that have been developed in the regular, post-tenure discussions about promotion that have occurred between the candidate and the CFP Chair or CFP Chair Designate. By confirming expectations in this way, the Associate Professor and the CFP Chair should agree that it is appropriate to move forward with seeking promotion. As part of this process, the ALC departmental Chair will, in consultation with the CFP Chair, communicate with the L&S Dean Associate Dean about the intention to promote the candidate.

4-Preparation of Dossier

With expectations confirmed and the Dean informed, the Associate Professor candidate for promotion to Full Professor will compile a dossier for submission to the CFP by no later than December 5. The dossier should include the following:

- i. Expectations about criteria.

The candidate should compose a brief cover letter that states her or his understanding of the expectations for promotion to Full Professor relative to the candidate's field(s).

- ii. Proposed external reviewers.

ALC is an interdisciplinary department that may not always have adequate expertise for the evaluation of candidates for promotion. In addition, external letters are the practice at some peer institutions as well as in other departments at UW-Madison, and they can provide strong evidence of an individual's scholarly reputation. Additionally, it is possible that external letters can help mitigate any potential unconscious or implicit bias within the department.

Thus, external letters will be solicited for promotion to Full Professor. To this end, the candidate for promotion will provide a list of 2 potential external reviewers. In many fields, most senior scholars know each other to some extent, but an external reviewer who is a frequent collaborator, close personal friend, or repeated co-author is not acceptable. The candidate may also provide a "no-go" list of a reasonable number of scholars, but certainly no more than a half dozen, who should not be contacted for review. The CFP will independently choose 2 additional scholars as potential reviewers. The overall goal is to receive at least 3 external review letters for the candidate's dossier, with a minimum of 2 and a maximum of 4. The letters will be confidential. Reviewers should preferably be at the rank of Full Professor, if possible selected from peer institutions in the United States. In the case of institutions abroad, these must be equivalent in their ranking to peer institutions in the US.

- iii. Complete CV, following the guidelines for tenure CVs.

- iv. Research materials, including:
 - a. Research statement explaining research contributions since tenure and future intentions.
 - b. All publications since tenure, with a list of at least 3 publications or research outputs that the CFP can treat as especially representative. Publications may be submitted in electronic versions.
 - c. Any other research-oriented materials deemed relevant by the candidate, such as evidence of impact.
- v. Teaching materials, including:
 - a. Teaching statement summarizing the candidate's efforts in this area since tenure and future plans.
 - b. All teaching evaluations since tenure.
 - c. Representative syllabi.
 - d. Any other teaching-related materials deemed relevant by the candidate.
- vi. Service materials, including:
 - a. Service statement presenting the candidate's work in this area since tenure along with any future plans.
 - b. Any other service-related materials deemed relevant by the candidate.

5-Evaluation

Once the dossier has been received, the CFP will conduct an initial review and then seek external reviewers for the dossier. In addition to the 2 reviewers suggested by the candidate, the CFP will contact 2 additional reviewers who are not on the candidate's "no-go" list. Once the external reviews have been received, the CFP will review the dossier and vote on promotion. The CFP Chair may choose to form a subcommittee of 3 CFP members to take the lead on assessing particular dossiers and write a report, but the CFP as a whole will vote on each promotion. A meeting will be called for the CFP to hold a final discussion based on the subcommittee's report and vote; for a candidate's promotion to succeed, a majority of those present at that meeting must vote in favor of promotion. Only full professors in ALC may consider Associate Professors for promotion. A minimum of three Full Professors in ALC are required for the CFP. Others, including affiliated faculty at the rank of Full Professor, may vote on promotions, but their votes are advisory. Full Professors in ALC who are on leave wishing to attend the Promotion Meeting in person or via telecommuting may do so but are under no obligation to do so. If attending either way, these Professors may be included in the three-Professor quorum.

6-Reporting and Proposal to L&S Dean

By no later than February 21, the CFP will compile a written report for each candidate about the CFP's recommendation for promotion. The CFP Chair or CFP Chair Designate will present the report to the ALC Chair, who will then convey the results of the vote to the

Associate Professor who is seeking promotion in writing within five business days of the decision. In the event that the vote does not support promotion, the ALC Chair, in consultation with the CFP Chair or CFP Chair Designate, will discuss with the candidate ways that the candidate's dossier can be improved for future promotion. If the CFP has voted in favor of promotion, the ALC Chair will submit the CFP report along with the required documentation to the L&S Associate Dean by no later than the dean's deadline (which is approximately April 1).

7-Due Process, Reconsideration, and Appeal of Negative Decisions

The Department of Asian Languages and Cultures follows the process for reconsideration and appeals found in Faculty Policies and Procedures 7.16.D.

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

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. Following this discussion, the faculty member and representative shall leave the room for the CFP to vote in private.

Reconsideration is not a hearing, nor an appeal, and shall be non-adversarial in nature. Within five business days following the reconsideration, the CFP 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).

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.

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.5 was based in any significant degree on impermissible factors, it may remand the case back to the decision maker or 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.

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

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