

LOG Policies

August 2019

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Laboratory of Genetics Advisory Committee
TERMINATED by the Executive Committee - 3/8/2019, effective 7/1/2019
Approved by the Executive Committee – October 2, 2015

The Executive Committee (EC) of the Laboratory of Genetics (LOG) establishes an Advisory Committee (AC) to exercise authority on its behalf over (1) the departmental budget, (2) matters concerning non-faculty personnel (e.g. academic and classified staff), and (3) the management of departmental space, equipment, supplies and infrastructure (Faculty Policies and Procedures 5.21, 5.22). The AC has the responsibility to represent the interests and viewpoints of the Full Faculty (FF) of the LOG. The establishment of the AC provides a middle ground between a model under which a single individual, the Chair, has total authority, and a model under which the EC must be convened to decide every issue that arises within the department. By having multiple faculty on the AC exercise these authorities, a broader representation of our values, a greater breadth of ideas, and greater transparency are accomplished.

The AC of the LOG consists of four EC members plus the Chair. Two of the four members will be appointed by the Chair. Two of the four members will be elected by the FF. These appointments/elections will normally take place in conjunction with the preference ballot for the Chair. The term of office of AC members is one year beginning July 1 following their appointment/election unless the timing of the appointment/election necessitates otherwise. The four EC members who serve on the AC must include faculty from both the Department of Genetics (CALS) and Department of Medical Genetics (SMPH).

Faculty who wish to serve on the AC should inform the Departmental Administrator (DA) at least two weeks prior to the election. The Chair will select two of these candidates to serve on the AC. The DA should distribute a list of the all candidates plus copies of their CVs and annual activity reports to the FF at least one week before the election. Excluding the two candidates selected by the Chair, the names of the other candidates will be placed on the ballot and the FF will elect two of these. The vote for AC members will normally be conducted simultaneously with the preference ballot for the appointment of the Chair. The mechanism for the vote will be decided by the FF, and the vote tally made by the Vice-Chair, DA or other individual(s) designated by the FF.

Authority over the Laboratory of Genetics Budget:

The financial resources of the LOG are to be used to advance the mission of the LOG. The budget of the LOG will be managed in a manner that is transparent. The LOG financial records are open to the faculty upon request.

The EC charges the Chair to manage day-to-day budgetary decisions. In doing so, the Chair is directed to consult the AC as needed¹. The Chair may bring budgetary issues to the EC or FF for discussion or a vote. The AC can require the Chair to bring a budgetary issue to the EC or FF for discussion or a vote if they judge the issue consequential enough to merit faculty approval.

The DA of the LOG is required to keep the members of the AC informed on budgetary decisions made by the Chair. All uses of LOG accounts including, but not limited to, the 101, 135, 136, 150, 233 accounts, the Training Grant, UW Foundation funds, and Trust funds will be reported by the DA to the AC.

The Chair and the AC assisted by the DA will make an annual report on the LOG budget. This report will include an accounting at an *appropriate level of detail*² of expenditures over the past year and anticipated budgetary actions for the year ahead. A table with all LOG account balances will be provided to the FF.

Authority over LOG returned Indirect Funds (Facilities and Administrative funds or F&A):

Indirect Funds (F&A) returned to the LOG are part of the LOG budget and thus in accordance with the Faculty Policies and Procedures (Chapter 5.21), these funds are under the authority of the EC of the LOG.

As part of the LOG budget, the indirect funds of the LOG will be managed in a manner that is transparent.

University policy generally provides that a portion of the indirect funds are returned to the unit that physically houses the faculty laboratories whose external grants generates the indirect funds. Thus, a portion of the indirect funds from the grants of LOG faculty whose laboratories are in LOG space are returned to the LOG, but that portion of indirect funds from the grants of LOG faculty whose laboratories are in Centers are generally returned to the Centers and not to the LOG.

Indirect funds of the LOG are to be used to support the activities that generated them. Just as indirect funds from grants administered by Centers are returned to Centers to support activities of faculty within the Centers, so indirect funds from grants of faculty in LOG space are returned to the LOG to support the activities of faculty in LOG space.

To oversee the use of LOG indirect funds, the LOG establishes an Indirect Funds Subcommittee of the AC. This committee consists of the Chair plus those members of the AC whose laboratories are in LOG space. If there are fewer than two AC members other than the Chair whose laboratories are in LOG space, then the FF will elect other EC members to serve on the Indirect Funds Subcommittee.

The EC charges the Chair to manage day-to-day use of LOG indirect funds. In doing so, the Chair is directed to consult the AC and Indirect Funds Subcommittee as needed¹. The Chair and the AC will include an accounting of the use of LOG indirect funds in their annual report on the LOG budget to the full faculty.

Authority over LOG space, equipment, supplies, and infrastructure:

The EC of the LOG delegates authority over space, equipment, infrastructure and supplies to the Chair and AC (FPP Chapter 5.22). With this delegation, the EC charges the Chair to manage day-to-day decisions regarding these matters. In doing so, the Chair is directed to consult the AC as needed¹. The Chair and AC can bring any issue concerning space, equipment, supplies and infrastructure to the EC or FF for discussion or a vote if they judge the issue consequential enough to merit faculty approval.

Authority over non-faculty personnel actions:

The EC of the LOG delegates authority for decisions regarding non-faculty personnel to the Chair and AC (FPP Chapter 5.22). With this delegation, the EC charges the Chair to manage day-to-day decisions regarding non-faculty personnel. In doing so, the Chair is directed to consult the AC as needed¹. The Chair and AC can bring any issue concerning non-faculty personnel to the EC or FF for discussion or a vote if they judge the issue consequential enough to merit faculty approval.

Footnotes

1. The statement that the “Chair is *directed* to consult the AC as needed” rather than the “Chair is *required* to consult the AC” implies that the Chair is expected to exercise some judgment. There are many minor budgetary issues for which the Chair should act independently. There are also significant issues that merit consultation of the AC, EC or FF. In this document, the DA is “required” to keep the AC informed on all budgetary decisions made by the Chair, thus if the Chair’s judgment deviates from the expectations of the AC, the flow of information from the DA to the AC will make that apparent and enable a readjustment of the Chair’s judgments or the AC’s expectations.
2. The meaning of “an appropriate level of detail” should be defined by the EC of the LOG. Over time, the EC will have expectations based on reports from prior years. The EC can always demand more detail as this is the LOG budget and not the budget of the Chair or AC.

Policy of Affiliate Faculty and Joint Governance Appointments

Approved by the Faculty on 11-06-2015

Faculty Policies and Procedures (FPP), chapter 5.13, defines Affiliate appointments which allow faculty members in one department to be associated with another department without voting rights. FPP chapter 5.12, defines Joint Governance appointments which allows faculty in one department to have voting rights either in another department or on the Executive Committee (EC) of another department.

Whereas there are many individuals on campus outside the Laboratory of Genetics (LOG) who have considerable expertise in genetics and we welcome collegial interactions with all of them, only under special circumstances would a more formal association as an Affiliate or Joint Governance appointment be warranted. Candidates will be evaluated with the same degree of scrutiny and consideration that would be applied for a faculty hire. The LOG faculty expect such appointments to be relatively rare and offered only when there is evident benefits to the LOG.

Neither Affiliate nor Joint Governance appointments provide trainer status in the Genetics Graduate Training Program. For Trainer status, individuals must apply separately to the Director of Graduate Studies. Application for a Affiliate/Joint Governance appointment and Trainer status can be reviewed simultaneously when these applications are made at the same time.

The LOG establishes the following criteria for granting these appointments:

Affiliate Appointments

- the individual has a record of excellence in genetics research and/or education.
- the Faculty of the LOG judges that the affiliation would significantly enhance the ability of the LOG to fulfill its mission.

Joint Governance Appointments (includes voting rights)

- the individual meets the criteria established for an Affiliate appointment.
- the individual has a record of leadership in genetics nationally and internationally.
- the individual offers the LOG critical expertise that the members of the LOG collectively lack thus justifying giving the individual voting rights so he/she can have a decisive role in issues facing the LOG.

The LOG expects both Affiliate and Joint Governance appointments to participate at a reasonable level¹ in the LOG through service on LOG committees when asked, attendance of the Genetics Colloquium, Departmental retreat, or other LOG events, and/or acting as an instructor in one or more the LOG core courses².

The Chair of the LOG will inform the Full Faculty (FF) of the LOG of any requests from faculty in other UW departments for (1) an Affiliate appointment or (2) Joint Governance appointment in the Department of Genetics or the Department of Medical Genetics. Consideration of these requests will be discussed by the FF, and ultimately is the responsibility of the EC to affirm or deny the requests.

Initially, the FF will vote on whether they wish to consider the request. If greater than 75% of the FF vote in favor of considering the request, then the Chair will arrange for the department to interview the candidate. Normally, the interview will consist of a departmental seminar and a chalk-talk by the candidate. Members of the FF may also request individual or group meetings with the candidate. As part of this process, the Chair will normally obtain and distribute to the FF a copy of the candidate's CV, current research funding, teaching evaluations, and teaching and research statements. For renewal of existing Affiliate and Joint Governance appointments, this interview process is not required; however, they should provide an updated CV with their request to be renewed.

After the interview of a new applicant for Affiliate or Joint Governance status, the FF will discuss the candidate and vote by written ballot to approve or deny the request. Under FPP, faculty appointments are the responsibility of the EC. Under LOG policy, appointments require an affirmative vote by 75% of the FF. Thus, appointments in the LOG require a dual standard – 75% of the FF as well as 75% of the EC must vote in favor of the appointment.

The candidate should indicate whether they are requesting an affiliation with Medical Genetics (SMPH) or Genetics (CALS). The duration of the appointment may not exceed three years. It is incumbent on the Affiliate and Joint Governance appointees to re-apply every three years for their appointment to be renewed by a vote of the LOG faculty.

¹ A “reasonable level” is a judgment of the faculty of the LOG. Our faculty might consider the contributions of the Affiliate or Joint Governance appointee in comparison with faculty in other departments who do not have such appointments.

² Core courses include those that are central to allowing the LOG to fulfill its mission. Course that are primarily administered by programs other than the LOG, although cross-listed with Genetics, may not be considered as Core Courses in Genetics by the Genetics Faculty.

Executive Committee Approved -- November 1, 2013

Preamble: Faculty Policies & Procedures (FP&P) stipulates the protocol for faculty votes concerning a preferred chair. The Laboratory of Genetics follows these procedures. Highlights of FP&P protocols are:

1. All faculty members of a department have the opportunity to express their preference for chair each year by secret ballot.
2. Voting members of the departmental faculty who are on leave are eligible to participate in the balloting. Absentee ballots are allowed, but votes cannot be made by proxy.
3. Deans of the relevant College or School appoint chairs. Deans are not obligated to follow departmental votes for a preferred chair, even if the departmental preference receives a plurality of votes.
4. Deans can appoint a chair either from within the department or from another department. An appointed chair need not be tenured.
5. Appointed chairs serve one year, with an unlimited number of annual renewals possible.

For a complete description these protocols, see Chapter 5 of Faculty Policies & Procedures as of April 8, 2013 (http://www.secfac.wisc.edu/governance/fpp/table_of_contents.htm).

Policy concerning annual votes for preference of chair

Motion: The procedure described below concerning faculty preference for Chair of the Departments of Genetics (CALS) and Medical Genetics (SMPH) shall be the policy of the Laboratory of Genetics.

Eligible voters: Eligible voters include all tenured and tenure-track faculty with greater than zero percent appointments in either the Department of Genetics (CALS) or Medical Genetics (SMPH), but excluding faculty whose joint appointment in Genetics or Medical Genetics specifically excludes voting rights on the Laboratory of Genetics Executive committee.

Voting procedure: Voting will occur by secret ballots distributed in envelopes to the faculty with a stipulated deadline date for return of the ballot. Absentee ballots are allowed, but votes by proxy are not. A committee of the Laboratory will tally the votes and communicate the results to the chair and to the deans of CALS and SMPH, along with a statement that the Laboratory prefers a chair who receives 75% or more of total votes cast.

Vote required for Laboratory preference: A Laboratory of Genetics preference for chair occurs only when 75% or more of total votes cast are in favor of one individual.

Course Evaluation Policies and Procedures

(Adopted by the Faculty on February 19, 2016)

Course evaluations are required for all courses taught by faculty with appointments in the Laboratory of Genetics (LOG). Evaluations help our faculty continue to develop as teachers and mentors. Evaluations are required for promotion from assistant to associate professor and for post-tenure review. Evaluations are also useful for judging merit-based salary raises and making nominations for teaching awards.

LOG course evaluations are to be done electronically to assure compliance, improve consistency, and reduce the administrative burden on faculty and staff. A standard course evaluation form has been created with feedback from department faculty (attached). This course evaluation form will be used by default, though faculty members can append additional questions. For courses taught by multiple instructors, each question will have a response line for each instructor. For teaching assistants, there is a separate template where students can select the TA they worked with most during that semester and all responses will be associated with that one chosen TA (attached).

Administration

The course evaluations will be administered by the LOG office staff. Having the staff administer all evaluations rather than having each faculty member administer his/her own evaluations obviates any concerns that students might have about their anonymity.

Approximately, one month before the end of each semester, the Department Administrator will work with the Student Services Coordinator and Information Technology (IT) Manager to initiate the evaluation process. Three weeks before the last class, the IT Coordinator will pull a list of all Genetics and Medical Genetics course rosters. This roster will be vetted by the department Student Services Coordinator and Vice-Chair to ensure all classes are included. Approximately two weeks before the last class, the IT Manager will use the campus funded Qualtrics Survey software to create an instance of the course evaluation survey for each class being taught that semester by LOG faculty. Any customized questions must be submitted to support@genetics.wisc.edu at least one week prior to the start of the last week of class. The following question must be on all evaluation forms and it must be the first question on the forms: “How would you grade the instructor? A, AB, B ...”

On the Monday of the last week of classes, each student will receive an email with a unique link to the course evaluation survey. Using a unique link enables the IT Manager to send a reminder to students who have not completed the survey one week later. To obtain a high response rate, it is recommended that instructors set aside time during the last (or next to last) class period of the semester for the students to bring a laptop computer or other digital device to class and complete the survey. Instructors are required to leave the room while students are completing the evaluations.

Results

Surveys will be closed on the day grades are due and the LOG IT Manager will compile the responses into anonymized summary reports for each class/instructor. Instructors will receive a complete summary report but they will not receive copies of the individual student response

forms. The complete summary report will be sent to the instructor as soon as possible, and a copy will be saved to an administrative location on the LOG file server. The LOG IT Manager will also provide the Chair of the LOG a summary of results for all courses.

Important Dates

Surveys finalized - One week before distribution

Distribution – The Monday of the last week of class

Reminder to students – One week after distribution of survey

Surveys close/Results - Two weeks after last class

Course Evaluation for Genetics 466

Leave any question blank that does not apply or you choose not to answer.

How would you grade the instructor?

	A	AB	B	BC	C	D	F
Kit Tilmann	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Chris Day	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Professor is well-prepared and organized.

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Comments
Kit Tilmann	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<div></div>

Chris Day

☐ ☐ ☐ ☐ ☐

Professor understands and has command of the subject.

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Comments
Kit Tilmann	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Chris Day	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>

Professor is able to explain and communicate clearly.

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Comments
Kit Tilmann	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>

Chris Day

☐ ☐ ☐ ☐ ☐

The lectures and/or discussions stimulated your interest in Genetics.

Strongly Disagree Disagree Neither Agree nor Disagree Agree Strongly Agree

Comments

Kit Tilmann

☐ ☐ ☐ ☐ ☐

Chris Day

☐ ☐ ☐ ☐ ☐

What do you think about the pace of the course?

Too Slow Somewhat Slow Neither Slow nor Fast Somewhat Fast Too Fast

Comments

Kit Tilmann

☐ ☐ ☐ ☐ ☐

Chris Day

☐ ☐ ☐ ☐ ☐

Professor is receptive to students' questions.

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Comments
Kit Tilmann	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Chris Day	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>

Professor was available and helpful for consultation.

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Comments
Kit Tilmann	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>

Chris Day

☐ ☐ ☐ ☐ ☐

The workload is appropriate to the number of credits.

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Comments
Kit Tilmann	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Chris Day	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>

What do you think about the level of difficulty of the course?

	Too Easy	Somewhat Easy	Neither Easy nor Difficult	Somewhat Difficult	Too Difficult	Comments
Kit Tilmann	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>

Chris Day

☐ ☐ ☐ ☐ ☐

Assigned readings and problem sets were effective.

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Comments
Kit Tilmann	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Chris Day	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>

Professor uses audio-visuals effectively.

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Comments
Kit Tilmann	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>

Chris Day

☐ ☐ ☐ ☐ ☐

The in-class active learning questions helped me understand the course material.

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Comments
Kit Tilmann	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Chris Day	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>

The textbook is appropriate.

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Comments
Kit Tilmann	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>

Chris Day

☐ ☐ ☐ ☐ ☐

Exams and/or projects tested your knowledge and were fair.

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Comments
Kit Tilmann	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>
Chris Day	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="text"/>

Which subject area in the course did you enjoy the most, or find the most interesting, or would have liked to learn more?

Please feel free to write any additional comments about the course:

>>

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Teaching Assistant Evaluation for Genetics 466

Leave any question blank that does not apply or you choose not to answer.

Please select the TA you worked with most.

Sarah Robinson

☐

Dean Sanders

☐

April Peterson

☐

Kassi Crocker

☐

How would you grade your teaching assistant?

|

	A	AB	B	BC	C	D	F
Teaching Assistant	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Content of presentation was important & relevant.

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Comments
Teaching Assistant	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<div></div>

Content of presentation did not repeat materials covered in other courses.

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Comments
Teaching Assistant	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<div></div>

TA was prepared.

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Comments
Teaching Assistant	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

TA was organized.

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Comments
Teaching Assistant	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

TA was enthusiastic and interested.

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Comments
Teaching Assistant	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

TA was effective in presentation.

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Comments
Teaching Assistant	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<div></div>

TA was available for consultation.

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Comments
Teaching Assistant	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<div></div>

TA was helpful in consultation.

	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	Comments

Teaching
Assistant

☐ ☐ ☐ ☐ ☐

TA made effective use of audiovisuals and/or handouts.

Strongly Disagree Disagree Neither Agree nor Disagree Agree Strongly Agree

Comments

Teaching
Assistant

☐ ☐ ☐ ☐ ☐

TA helped to prepare you for the exams.

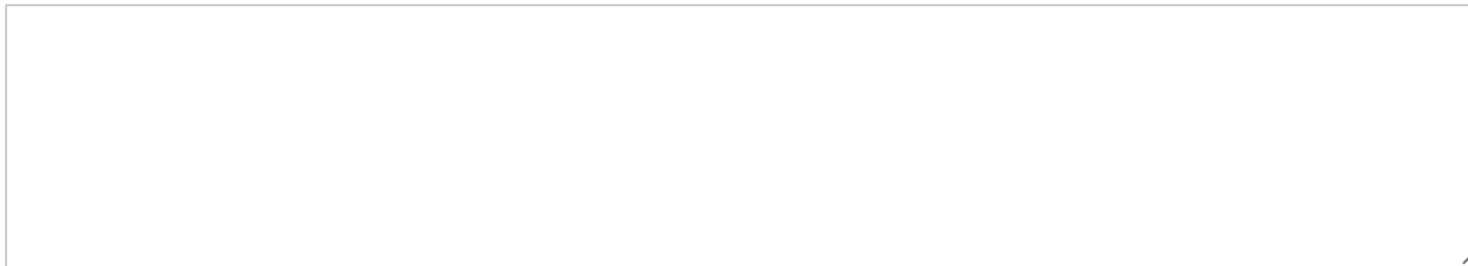
Strongly Disagree Disagree Neither Agree nor Disagree Agree Strongly Agree

Comments

Teaching
Assistant

☐ ☐ ☐ ☐ ☐

Please feel free to write any additional comments:



Survey Powered By **Qualtrics**

Distribution of Supplies and Equipment from Lab Closings

(Adopted by the Executive Committee of the Laboratory of Genetics 10-23-2015)

Non-Capital equipment and supplies:

Neither UW, CALS nor SMPH has a written policy on the distribution of non-capital equipment and supplies when a faculty lab closes. Through discussions with administrators in other units on campus (WID, Bock Labs, Waisman Center, and Biotechnology Center), it was learned that the equipment and supplies remaining after a lab closes are typically first offered to other laboratories within the unit's building space and not to other laboratories in the department that is the tenure home of the lab's PI. The rationale for this policy is that *the unit that physically houses a lab typically administers the lab's grants and F&A funds, and thus, this unit has authority over anything purchased with those funds.*

The Executive Committee of the LOG establishes the following policy. When a laboratory within LOG building space closes, a list of remaining supplies and non-capital equipment should be circulated by the Chair to all LOG faculty who can then place a request for the items. First priority is given to faculty whose labs are within LOG building space. If multiple faculty within LOG space request an item, the Chair and Advisory Committee should consider the relative needs and resources of these faculty when deciding placement. As a second priority, items can be distributed to LOG faculty in non-LOG space, again while considering their relative needs and resources if multiple requests are received.

Discretion regarding these priorities can be exercised based on the following criteria.

1. Any item with a specialized function can be dispersed to faculty who can best make use of that specialized item.
2. If the LOG has a new faculty recruit to the department who is set to arrive in the near future, then the items may be held for this new person.
3. If the lab that is closing has a collaboration with another UW lab that requires a specific item, the item can be assigned to this other lab even if outside the LOG.

Capital equipment:

Capital equipment is defined by UW as items costing \$5,000 or more. These items are listed in the UW Inventory which is maintained by Property Control in Accounting Services.

When a PI relocates their lab to another university or a non-profit organization, the Laboratory of Genetics (LOG) policy for transfer of capital equipment follows the CALS and UW policy. CALS has a detailed written policy based on UW policy. SMPH has no written policy beyond UW policy.

If a PI relocates their lab to another unit on the UW campus, the LOG Chair will work with the PI to decide the disposition of any capital items. Items for which greater than 50% of the cost was paid on the PIs grants (internal and external), start-up funds or other PI funds are typically¹ assigned to the PI in his/her new unit. Items housed in the PIs lab but purchased on LOG funds and shared among multiple LOG labs are expected to remain in the LOG unless their transfer is approved by the LOG.

After a PI who is leaving LOG building space has transferred any approved equipment to the other unit, there may be some capital equipment remaining. Also, when PIs retire, there may be remaining capital equipment for the LOG to disperse. The distribution of any remaining capital equipment in these situations follows the same principles as outlined above for non-capital items. A list of remaining capital equipment should be circulated by the Chair to all LOG faculty who can then place a request for the items. First priority is given to faculty whose labs are within LOG space. If multiple faculty within LOG space request an item, the Chair and Advisory Committee should consider the relative needs and resources of these faculty when deciding placement. As a second priority, items can be distributed to LOG faculty in non-LOG space, again while considering their relative needs and resources if multiple requests are received.

Discretion regarding these priorities can be exercised based on the following criteria.

1. Any item with a specialized function can be dispersed to faculty who can best make use of that specialized item.
2. If the LOG has a new faculty recruit to the department who is set to arrive in the near future, then the items may be held for this new person.
3. If the lab that is closing has a collaboration with another UW lab that requires a specific item, the item can be assigned to this other lab even if outside the LOG.

¹ There is required flexibility for unusual circumstances. For example, if a faculty member were to transfer from the LOG to another unit on campus within a few years of joining the LOG and this faculty member purchased equipment items with start-up funds provided by the LOG, then the LOG may require that the unit to which the faculty member is moving either compensate the LOG for these items or the LOG may decide to retain the items.

**Laboratory of Genetics:
Department of Genetics - College of Agricultural and Life
Sciences Department of Medical Genetics - Medical School**

**Policies and Procedures for the Guidance, Annual
Evaluation, and Consideration for Promotion of
Probationary Faculty**

(Passed by the Laboratory of Genetics Executive Committee 5/9/1997.)

(Revised by the Laboratory of Genetics Executive Committee 3/2/2018.)

The Laboratory of Genetics sets high standards for promotion to tenure and exercises correspondingly stringent selection criteria in hiring, designed to identify the best and most promising available talent for new tenure track assistant professor appointments. The Laboratory also makes every effort to support the work and the intellectual environment that will allow its young professors to realize their full potential as scholars and teachers. The Laboratory hopes that, given collegial support and guidance, its probationary appointees will be able to present a record of achievement in research, teaching, and service that meets departmental standards and will justify favorable action with respect to promotion to the rank of associate professor with tenure.

I. General Policies and Outline of the Tenure Review Process

The Laboratory of Genetics policies relating to the guidance, evaluation, and promotion of tenure track assistant professors are governed by the official Faculty Policies and Procedures (FPP) of the University of Wisconsin - Madison. Current departmental practices conform to both the general guidelines and the specific rules of FPP, and all junior faculty members are urged to become familiar with that document, especially chapter 7, on "Faculty Appointments", which sets forth the University's regulations concerning the evaluation and advancement of faculty on probationary status.

Tenure track assistant professors in the Laboratory of Genetics are offered an initial three-year appointment, which is normally renewed for a second three-year term, given the candidate's reasonable progress and generally satisfactory performance. During the six-year probationary period, a tenure decision must be made according to University of Wisconsin rules. The granting of tenure requires review and positive approval at three levels: 1) the candidate's department, 2) his/her faculty division, and 3) the Dean of the College and/or Medical School. At the departmental level, the decision is the responsibility and the prerogative of the Executive Committee, consisting of all tenured professors on active status. As described in greater detail below (Section II), tenure decisions in the Laboratory of Genetics are based on the continual monitoring and assessment of the candidate's performance, culminating in a final comprehensive review and formal vote by the Executive Committee. Departmental rules require that a motion recommending promotion to associate professor and tenure must pass with a 75% majority of the votes cast. An adverse decision by the departmental Executive Committee is final, and it ends the tenure review process (i.e., precludes further review at the level of the faculty division and/or the Dean), but the case may be deferred for reconsideration at a later time (if such action is possible with the 6-year limit), and the candidate has rights of

appeal as specified in FPP, chapter 7. A positive departmental decision is forwarded as a recommendation to the Dean of the College of Agricultural and Life Sciences and/or the School of Medicine and Public Health, who in turn seeks the advice of the executive committee of the candidate's faculty division (i.e., in the case of Genetics faculty, the Division of the Biological Sciences). After completing an independent review of the case (based on the tenure dossier submitted by the Department), the Divisional Committee communicates its decision on the candidate's suitability for promotion and tenure to the Dean(s), who normally take(s) action in accord with the Divisional Committee's advice. An adverse decision by the Divisional Committee can be appealed, and the Department will do so if, in the judgment of its Executive Committee, the facts of the case warrant such action. If promotion to associate professor and tenure is denied at any level (and upheld upon requested reconsideration or appeal) the candidate's employment with the University of Wisconsin - Madison terminates after one additional year of appointment as assistant professor to allow time for the completion of ongoing studies and for the orderly transition to another position elsewhere.

II. Specific Departmental Guidance and Evaluation Procedures

Soon after the start of a probationary faculty member's initial appointment (i.e., normally during the first semester in residence), the department chair, in consultation with the new faculty member, appoints a mentoring committee typically consisting of 3 tenured professors - the exact number depending on the diversity of expertise needed for a proper assessment of the candidate's work. As far as possible, the membership of the mentoring committee remains unchanged throughout the candidate's probationary period. This committee has the responsibility of monitoring and evaluating the candidate's performance, of making an annual report to the Executive Committee on the candidate's progress and prospects, and of giving the candidate advice and guidance toward achieving tenure. The mentoring committee meets with the candidate at least once each academic year and reviews his/her professional work - research, teaching, service - based on documentation requested from and compiled by the candidate and/or Departmental Administrator. Important factors relevant to the committee's assessment of the candidate's accomplishments in research are the candidate's publication record, his/her progress in the development of an original research program and productive research group, his/her efforts and success in securing competitive grant support, invited lectures at conferences or institutions, honors and awards, and other indications of peer recognition. For its assessment of the candidate's teaching performance, the committee relies on the results of student evaluations and information from at least two faculty peer reviewers who attend selected lectures in the candidate's formal course(s) throughout his/her probationary period. These teaching peer reviewers may be members of the mentoring committee or other tenured faculty who, upon mentoring committee request, have agreed to serve in that capacity. Based on its review, the committee annually prepares a written report that is presented to the Executive Committee in the Spring Semester of each year. A copy of the report is provided to the candidate.

Whenever in the judgment of the mentoring committee, the candidate's record warrants his/her consideration for promotion (no later than the sixth year of the probationary appointment period with the exception of tenure clock extensions in accordance with FPP), the committee initiates a

final comprehensive review of the candidate's credentials. The committee assembles (with the candidate's assistance) a complete dossier of information that includes the description and documentation of research accomplishments, a full record of his/her teaching performance (including student and faculty evaluations), and of university/professional service and outreach contributions.

A positive determination by the Executive Committee that the case for promotion and tenure is sufficiently strong to warrant the solicitation of outside letters then initiates the second phase of review of the candidate's qualifications. The Department Chair (with assistance of the mentoring committee) requests the required letters from experts in the appropriate field. The mentoring committee presents the case to the Executive Committee and the Executive Committee then undertakes final review of all relevant information (including the letters) that leads to a decision on the question of promotion. As stated above, a recommendation in favor of promotion to associate professor with tenure requires a 75% majority of the votes cast; a vote not meeting that requirement means that promotion is denied. A favorable decision, together with the required comprehensive documentation in the format mandated by the Biological Sciences Divisional Committee, is communicated to the Dean(s) for further review and action, as summarized in the preceding section. An adverse decision at any stage of the Department's tenure review process can be appealed by the candidate in accord with procedures specified in chapter 7 of Faculty Policies and Procedures.

Faculty Transfers to the Laboratory of Genetics from other UW Departments

Approved by the Faculty on 11-20-2015

UW policy concerning a request from a faculty member in one department to transfer their appointment to another department is outlined in [Faculty Policies and Procedures \(FPP\) 5.14](#). For such a transfer to occur, the Executive Committee (EC) of the receiving department must approve the transfer. The transfer also requires the approval of the Dean(s) and in some cases the Chancellor. The EC of the faculty member's current department is asked to approve the transfer, but if this approval is lacking, the transfer can still occur. These rules apply both to partial and full transfers.

When evaluating potential faculty transfers from other departments to the Laboratory of Genetics (LOG), the LOG faculty should consider the following issues. (1) The UW-Madison faculty includes a large number of faculty in many departments who are geneticists, however all UW geneticists need not have their appointments in the LOG. As such, the rationale that someone is a geneticist is not an adequate justification for a transfer. (2) Part of what distinguishes the members of the LOG from the broader community of geneticists on campus is that the LOG faculty are the keepers of both the undergraduate and graduate curriculum in genetics. Accordingly, faculty requesting to transfer from another department to the LOG should demonstrate a dedication to genetics education and a willingness to teach in the genetics core curriculum¹. (3) The research mission of the LOG is distinguished from some other units on campus in its focus on basic genetics, although not excluding applied or translational research. (4) The Deans of CALS and SMPH may allot new positions to departments based in part on current faculty numbers in departments and curricular needs. As such, acceptance of transfer may reduce the likelihood of the Deans providing a new faculty line to the LOG. (6) The LOG has limited laboratory space for faculty so the LOG needs to consider how to provide laboratory space for both transfer faculty and any subsequent new hires. (7) Any other factors deemed relevant by the faculty of the LOG.

Transfer of an appointment can involve delicate discussions, particularly at the outset of the process. The faculty member involved may have concerns about alienating members of their current department and about being rejected by the department that they wish to join. For these reason, early discussions are apt to occur in confidential conversations between the Chair and potential applicant and without the knowledge of the faculty of the involved departments.

In early discussions about transfers, the Chair of the LOG should explain the LOG process to all potential applicants and not attempt to encourage/discourage the applicant with opinions about the likelihood of success or how well they would fit in the LOG. The Chair should ask the potential applicant to allow the Chair to disclose their interest to the Full Faculty (FF) of the LOG while requiring that the FF keep this interest in complete confidence. If the potential applicant agrees to this condition, then the process moves forward. If not, the process is over. During discussions, the Chair may consult the FF or Advisory Committee, while maintaining the confidentiality of the potential applicant.

Once the applicant has agreed to disclose their request to the FF of the LOG, the Chair will ask the FF whether they wish to consider the request. If greater than 75% of the FF and greater than 75% of the EC vote in favor of considering the request, then the Chair will arrange for the department to interview the candidate. Normally, the interview will consist of a seminar and a

chalk-talk by the candidate. Members of the FF may also request individual or group meetings with the candidate. As part of this process, the Chair will obtain and distribute to the FF a copy of the candidate's CV, current research funding, teaching evaluations, teaching and research statements, and any other materials requested by the LOG faculty. The applicant may request that this interview process be conducted in confidence.

After the interview, the FF will discuss the candidate and vote by written ballot to approve or deny the request. Under the FPP, faculty appointments are the responsibility of the EC. Under LOG policy, appointments require an affirmative vote by 75% of the FF. Thus, appointments in the LOG require a dual standard – 75% of the FF as well as 75% of the EC must vote in favor of the appointment.

If the LOG votes to accept the transfer, then the Chair should work with the applicant, current department of the applicant, and Dean(s) to bring the transfer to a successful conclusion.

¹ Core courses include those that are central to allowing the LOG to fulfill its mission. Courses that are primarily administered by programs other than the LOG, although cross-listed with Genetics, may not be considered as Core Courses in Genetics by the Genetics Faculty.

LOG Fund Raising Priorities 2018

Approved by the Faculty on 11-30-2018

Genetics Diversity Program Fund - The purpose of this fund is to enhance the department undergraduate and graduate degree programs by funding research, programs, and professional development experiences for underrepresented minority students (as defined by the University and/or College) consistent with the University and College's plan to achieve a diverse student body. These experiences include, but are not limited to, travel to research conferences, including national STEM conferences supported by the National Institutes of Health (NIH) and National Science Foundation (NSF) to include the Society for Advancement of Chicanos/Hispanics and Native Americans in Science (SACNAS) and the Annual Biomedical Research Conference for Minority Students (ABRCMS), and campus mentoring programs. The fund will also support innovative approaches for faculty and staff to engage learners and change behaviors about diversity and inclusion in the department and on campus that can include lectures, symposia, workshops, conferences and assessment activities. Awards from this fund will be made by the Genetics Diversity Committee.

Excellence in Genetics Undergraduate Education Fund - The purpose of this fund is to support and enhance our genetics undergraduate degree program by funding research experience for our Genetics undergraduate majors, supporting their travel to research conferences, subsidizing the activities of the Undergraduate Genetics Association (UGA), and other activities of our Genetics undergraduates. The Genetics undergraduate program has approximately about 340 majors and awards about 85 Bachelor of Science degrees each year. Our alumni include some of our nation's most distinguished geneticists plus many MDs, professionals in the health sciences and agricultural researchers. Awards from this fund will be made by the Genetics Undergraduate Program Committee.

Excellence in Genetics Graduate Education Fund. The UW-Madison Genetics Doctoral Training Program is considered one of the premiere genetics training programs in the country. The program has trained hundreds of students for diverse careers leveraging exceptional training in genetics, producing lasting impacts in the areas of human genetics, medicine, agriculture, education, and fundamental scientific discovery. The strength of our program is matched by the strength of our students - each year, the program recruits 10-12 of the most promising applicants to join a student body of ~60 students. An important recruiting tool to attract the best students is providing institutional support for students, especially student stipends. The purpose of this fund is to support the excellence of our students. Proceeds will be used to fund student stipends, support activities related to graduate education, and enable student-led events related to research, teaching, and outreach. Awards are granted by vote of the Genetics Training Program steering committee, which includes faculty trainers and a graduate student representative.

Governance of the Genetics Graduate Program

The document provides the governance procedures for the Laboratory of Genetics (LOG) Graduate Training Program in Genetics. The Training Program has been consistently successful, with continuous renewal of NIH funding since 1974. This document establishes policy to protect and sustain this success. This document was unanimously approved by the Faculty – August 21, 2015; then modified on September 25, 2015, and July 22, 2016, and September 21, 2018.

DGS/Training Grant PI:

- Eligibility: Any tenured faculty member of the LOG.
- Selection process: Individuals can self-nominate or be nominated to serve as DGS. The DGS will be chosen by a 75% majority of the LOG full faculty vote (including assistant professors). In order to effectively lead the Training Program, the DGS should be approachable, preferably an instructor in the graduate curriculum, have a broad, unbiased and inclusive view of scientific contents of the program, and have the ability to promote high academic and research standards while constructively resolving any potential arising conflicts. Because the DGS may lead the Training Program grant renewal effort, he/she should be NIH-funded and nationally recognized as a geneticist and have extensive grant writing and review experience, in particular with NIH.
- Term: The DGS term is 3-year renewable. There is no limit to the number of years the DGS can serve, as long as he/she is willing, and renewed by faculty vote every three years. The DGS would normally be the Chair of the graduate program committee, but the full faculty retains voting right to assign these two roles to different individuals.
- Transitions of DGS: Upon election by the faculty, the elected DGS will assume DGS status within 3 months of the date of the election, allowing a training period, during which the outgoing DGS remains in charge. Every effort will be made so that the new DGS and the outgoing DGS have 12 months overlap on the faculty.
- Responsibilities:
 - Serve as Chair of the Graduate Training Program Committee.
 - Serve as Principal Investigator of the NIH T32 Training Grant in Genetics and lead the effort in preparing the training-grant renewal.
 - Together with the Graduate Training Program Committee, work with the Genetics Graduate Admissions Committee to discuss needs and student capacity in the program.
 - Be available for advice and arbitration when PI-student conflicts arise.
 - Work with the LOG Chair on issues pertaining to graduate student funding.

- Present annual reports to the LOG Faculty on the committee's activities and any additional issues relevant to the Training Program.
- Keep timely communication with NIH.
- Respond to one-time, individual student requests for course substitutions or other degree requirement waivers, and determine if the matter needs committee vote.

Graduate Training Program Committee (formerly Graduate Curriculum Committee):

- Eligibility: Tenured or untenured faculty in addition to student representatives and Graduate Student Coordinator.
- Membership & selection process: The committee will be made up of 7 trainers (at least 3 LOG faculty (including DGS) and 3 non-LOG trainers, providing flexibility on the last slot), and one Genetics Graduate Student Representative as voting members. Additionally, the Graduate Student Coordinator and Department Administrator as non-voting members. Committee members will be selected by the DGS, aiming for balanced representation of faculty stage and research areas. The DGS will ask for volunteers to self-nominate annually.
- Term: Faculty members: Each of the members will serve two years. Membership will be staggered to maximize continuity of experience within the committee. If needed to facilitate staggering under special circumstances (e.g. unexpected faculty absences), these two-year terms may be extended or shortened by one year at the discretion of the DGS. Genetics Graduate Student Representative: The Genetics Ph.D. student will serve one or two years.
- Responsibilities:
 - Evaluate the needs and effectiveness of the Genetics Graduate degree curricular requirements and review requests in elective course listings. Any permanent changes to the Genetics Graduate Program curricular requirements need approval by simple majority vote from the full faculty.
 - Interface with the student coordinator to ensure that the Graduate Student Handbook is updated and its guidelines are reinforced.
 - When solicited, consider requests for one-time course substitutions or other Graduate degree requirement waivers.
 - Prepare annual reports for presentation to the LOG Faculty on the committee's activities and any additional issues relevant to the Training Program.
 - Review Genetics trainer applications (see below).
 - Review trainer renewal applications.

Graduate Student Coordinator:

- Responsibilities:
 - Serve as a member of the Graduate Training Program Committee, Admissions Committee, and First Year Committee.

- Serve as the liaison between the DGS, Graduate Training Program Committee and graduate students.
- Serve as a liaison to assist trainers in the program.
- Provide support to students navigating curricular, programmatic, funding, or personal issues, including conflicts with advisor.
- Enforce annual committee meetings for graduate students and handle paperwork to allow course registration upon completion of annual committee meeting. Update committee meeting report form.
- Guide students to ensure that they have met the degree requirements, have appropriate paperwork, and know relevant datelines (e.g. thesis submission dates) in the program.
- Serve as the interface between the Admissions and the Graduate Training Program Committees.
- Coordinate prospective-student interview weekends.
- Collect and keep track of graduate curriculum change requests from faculty or graduate students within the program.
- Organize the graduate student Summer Colloquium schedule.
- Coordinate with the Genetics Minority Affairs Committee, organize minority recruitments, and promote graduate student recruitment and retention efforts.

Admissions Committee:

- Eligibility: Tenured or untenured faculty who are trainers in the Genetics Training Program, graduate students, and the Graduate Student Coordinator.
- Membership selection process: Six faculty and three graduate students will be appointed by the DGS in consultation with the Chair of the Admissions Committee and the Graduate Student Coordinator, aiming at maintaining a balanced composition in faculty stage and research areas. The Chair of the Admissions Committee will be appointed by the DGS.
- Admissions Chair Responsibilities:
 - Communicate with the Chair of the LOG, the DGS, and the remainder of the Graduate Training Program Committee, the Graduate Student Coordinator, and the Department Lead Administrator before determining a target number of graduate students for admission and other agenda items concerning admissions.
 - Work with the Graduate Student Coordinator, faculty, and program alumni to elicit applications from strong candidates.
 - Work with the Diversity Affairs Committee and the Graduate Student Coordinator to execute a timely and effective recruitment of under-represented minorities (e.g. BOPs, summer programs, email/print advertising to targeted colleges).
 - Oversee the application, review, invitation and recruitment process for prospective graduate students.

- Term: *Trainers*: two years; renewable. Membership will be staggered to maximize continuity of experience within the committee. If needed to facilitate staggering and following special circumstances (e.g. unexpected faculty absences), the two-year terms may be extended or shortened by one year at the discretion of the DGS.
Genetics Graduate Student Representatives: Genetics Ph.D. students will serve one year.

Trainers:

- Eligibility: LOG faculty members (not including affiliate faculty) regardless of percentage of appointments are automatically graduate program trainers. Selection of non-LOG faculty trainers will be made based on written guidelines for trainer qualification (to be written).

- Trainer selection process:

Trainer applications from non-LOG faculty will be submitted to the Chair of the Graduate Training Program Committee and evaluated by the full committee at least bi-annually (e.g. October, February). Evaluation will consider the following: (i) a current CV, (ii) a 1-2 page statement of research interests, (iii) an approximately 1 page description of thesis project(s) that the applicant feels are appropriate for Genetics graduate students (as opposed to students in other graduate programs), and (iv) a departmental seminar. The Committee will compile applications throughout the year and arrange to initiate the evaluation process with a seminar, convened during either the first three weeks of either the Fall or the Spring semester. The Committee will convene to evaluate the application and will vote on a recommendation to the full faculty, a process that should occur within 30 days of the faculty seminar.

The vote of the Graduate Training Program Committee will be conveyed as a recommendation to the LOG faculty. The LOG faculty will then vote directly on trainer appointments, with approval by 75% vote (% applies to faculty present at quorum, including Assistant Professors) within 30 days of the Graduate Training Program Committee decision. The outcome of the LOG faculty vote will be communicated by the Chair of the Training Program Committee to the applicant within 7 days of the LOG faculty vote. Trainer applicants whose application has been declined can reapply at a future date if qualification strengthens.

The initial appointment to all non-LOG faculty trainers will be a 10-year appointment. After which, all non-LOG trainers should apply for renewal every five years. Renewal application will require submission of CV and response to a renewal questionnaire with reports of how the trainer has contributed to the Training Program in the past term. No seminar will be required. The renewal applications will be reviewed by the Graduate Training Program committee. At any time within a trainer term, breaches of trainer responsibilities (see below) will be grounds for immediate termination of trainer status, as determined by the Graduate Training Program Committee.

- Trainers responsibilities:

- *Trainer responsibilities that are required:*
 - Ensure financial support (stipend, tuition remission, fringe benefits) for all years that a student is NOT supported by the Genetics training grant or by an individual graduate fellowship. As part of the process of signing up for rotation talks, all PIs who wish to accept new students would be asked to disclose current funding status, and indicate the specific source of funding for the new student's stipend. PIs who currently do not have student funding, can also present rotation talks, but should be aware that the current funding situation will be made clear to students who are interested to rotate. After rotation, prior to accepting a student into the laboratory, prospective mentors and students must discuss funding prospects for the student within the laboratory, including a committed funding source for at least one year beyond the first year of Training Grant support, and specific plans for funding future years, e.g. in the forms of pending grant applications. The mentor and student must sign a form acknowledging that they have discussed these requirements and include any additional relevant notes. The final laboratory appointments need to be approved by the Graduate Curriculum Committee, and be kept on file and monitored by the Student Coordinator. Failure to support a student will be considered a breach of trainer responsibility, and be grounds for termination of trainer status. The LOG does not have funds to support students beyond the training grant. A student cannot work in a laboratory without stipend support, except in extenuating circumstances and with prior approval of the Graduate Training Program Committee.
 - Mentor each student in a responsible and professional manner that promotes the student's professional career development. This includes allowing students time to investigate or develop skills required for career tracks in areas other than bench research, such as careers in science education, science policy, biotech entrepreneurship, patent law, etc.
 - Ensure a timely annual meeting with each student and his/her Thesis Advisory Committee and a timely completion of the meeting report. Note that annual meeting and satisfactory report is a requisite for registration each year, enforced by Graduate Student Coordinator.

- *Trainer responsibilities that are encouraged:*
 - Attend the annual Genetics Retreat.
 - Interview interested prospective students during interview weekends, provide feedback, and assist the Admissions Committee with their decisions on whom to accept. Attend recruitment receptions.
 - Submit a question in response to the annual solicitation of questions for the Prelim A Exam.
 - Attend Genetics Colloquia (Wednesdays, 3:30 PM), including those of the graduate students (especially students on whose committees they serve) during the summer.
 - Serve when requested as a member of the Thesis Advisory Committees of Genetics grad students.

- Serve when requested as a member of administrative committees of the program (Admissions Committee, Graduate Training Committee, etc.).

Executive Committee Approved -- November 1, 2013

Motion: The policy described below concerning hiring and promotion of the faculty of the Departments of Genetics (CALS) and Medical Genetics (SMPH) shall be the policy of the Laboratory of Genetics.

Policy concerning the hiring of tenured and tenure-track faculty as members of the Laboratory of Genetics.

Eligible voters: Eligible voters include (i) tenured faculty with tenure homes and greater than zero percent appointments in either the Department of Genetics (CALS) or Medical Genetics (SMPH) (or both), (ii) Tenure-track Assistant Professors who have tenure homes with greater than zero percent appointments in either Genetics or Medical Genetics (or both), and (iii) other faculty who have been specifically granted voting rights by the Laboratory of Genetics Executive Committee, but excluding faculty whose joint appointment in Genetics or Medical Genetics specifically excludes voting rights on the Laboratory of Genetics Executive Committee.

Quorum: Greater than 50% of eligible voters must be physically present at a faculty meeting to constitute a quorum.

Voting procedure: Voting will be conducted by secret ballot, and all voters must be present at the faculty meeting. Absentee ballots are not allowed. Ballots will be color-coded such that the Executive Committee vote can be tallied separately from the total vote. Separate tallies of Executive Committee votes and of total votes, which include those of Assistant Professors, will be communicated to the appropriate dean of CALS, SMPH, or both.

Vote required for approval: Tenured and tenure-track faculty hires are approved by the Laboratory of Genetics only if 75% or more of total votes cast are in favor of the hire.

Policy Concerning Promotion of Assistant to Associate Professors and Promotion of Associate to Full Professors

Eligible voters: Eligible voters include tenured faculty who (i) have greater than zero percent appointments in either the Department of Genetics (CALS) or Medical Genetics (SMPH) (or both) and (ii) hold a faculty rank equal to or higher than the promotion being considered, but excluding faculty whose joint appointment in Genetics or Medical Genetics specifically excludes voting rights in the Laboratory. Associate and Full Professors are eligible to vote on promotions to Associate Professor. Full Professors (but not Associate Professors) are eligible to vote on promotions to Full Professor.

Quorum: Greater than 50% of eligible voters must be physically present at a faculty meeting to constitute a quorum.

Voting procedure: Voting will occur by secret ballot, and all voters must be present at the faculty meeting. Absentee ballots are not allowed. The tally of votes cast will be communicated to the appropriate dean of CALS, SMPH, or both.

Vote required for promotion: Promotions are approved by the Laboratory of Genetics only if 75% or more of total votes cast are in favor of promotion.

James F Crow Professorship in the Laboratory of Genetics

Approved by the Faculty on 11-30-2018

James Franklin Crow (January 18, 1916 – January 4, 2012) was Professor of Genetics at the University of Wisconsin–Madison and a prominent population geneticist whose career spanned from the classical genetics period to the genomic era. He served both as the Chair of the Laboratory of Genetics and Interim Dean of the School of Medicine and Public Health. His most significant research contributions were on the fitness effects of mutations in *Drosophila* and the implication of this work for mutation in human populations. He wrote an influential introductory textbook on genetics (“Crow’s Notes”) and an advanced text on theoretical population genetics with Motoo Kimura. The list of his graduate and undergraduate students and postdocs includes a “who’s-who” of leading geneticists of the era. He was a dedicated and acclaimed undergraduate instructor, known for both engaging and challenging his students. He served as president of both the Genetics Society of America and the American Society of Human Genetics. He was a member of the National Academy of Sciences, The American Philosophical Society, the World Academy of Art and Science, the National Academy of Medicine, the American Academy of Arts and Sciences, and Foreign Member of the Royal Society. He had a warm, outgoing personality and treated students and colleagues with respect. One of his colleagues said, “He made you happy just to be in the aura he cast.”



[Modified from Wikipedia]

The James F. Crow Professorship will be a highly visible position both on and off campus and draw attention to the cutting-edge research, teaching, and service done by the Laboratory of Genetics. Fitting to Jim’s broad interest in the study of inheritance and his dedication to both undergraduate and graduate education, the Crow Professorship will be bestowed upon a Laboratory of Genetics faculty member who exemplifies both high standing in genetics research and outstanding accomplishment in teaching. The Crow Professor will be a standard bearer for Genetics both off and on campus.

Qualifications:

- An appointment as an Associate or Full Professor in the Laboratory of Genetics (at least 50% position).
- Excellence in research as demonstrated by a strong and consistent record of publication in leading journals, authorship of books, invitations to speak at national/international research conferences, and awards for outstanding contributions to genetics research.
- Excellence in teaching as demonstrated by substantial and highly regarded contributions to classroom instruction in the Laboratory of Genetics undergraduate and/or graduate degree programs or medical student education. Teaching evaluations will be considered when judging excellence.
- A significant contribution to service in the Laboratory of Genetics, College of Agricultural & Life Sciences, and/or School of Medicine & Public Health.
- A record of professionalism in interactions with colleagues, students and staff.

Process for selecting the Crow Professor:

When the Crow Professorship is open for appointment, the LOG Chair will appoint a three-member Crow Professorship Award Committee (CPAC) that will normally consist of the LOG Chair as Committee Chair plus one LOG Executive Committee member and one non-LOG UW Associate or Full Professor. To insure equity in consideration of all eligible faculty for this award, the CPAC will assure that no biases in regard to gender, race, ethnicity, religion, disability or sexual orientation when awarding the Crow Professorship.

The CPAC will review the two most recent annual activity reports, CV and teaching evaluations of all eligible faculty. Based on their review, the CPAC will (1) select up to three as finalists for full review or (2) determine that the Crow Professorship will remain unawarded in which case the LOG Chair will reconvene the committee the following year.

The finalists will be asked to submit (1) a two-page statement emphasizing, but not limited to, their last five years of scholarship (research, teaching, service) and (2) a two-page vision statement for their proposed term as the Crow Professor (“what I want to do, and how I will do it.”) explaining how they will advance the field of genetics as the Crow Professor. The vision statement should encompass both research and teaching.

The CPAC will interview each of the finalists with regard to their vision for their term as the Crow Professor. After the interviews and considering the finalists’ research, teaching and service accomplishments, the CPAC will vote to award the Crow Professorship to one of the finalists or decided to leave the Crow Professorship unawarded in which case the LOG Chair will reconvene the committee the following year.

As an alternative to awarding the Crow Professorship to an internal candidate, the Executive Committee of the LOG by a 75% affirmative vote can also offer the Crow Professorship, when it next becomes available, as a recruitment incentive for new faculty hires. Such an awardee would need to meet the qualifications listed above, recognizing that they have not yet contributed to the LOG teaching and service.

Other Terms:

The Chair of the LOG following the instructions of the Dean(s) will determine the proportions of the income from the Crow Professorship Fund to cover the Crow Professor's salary and flexible funds awarded to the Crow Professor. All salary savings returned by the Dean(s) to the Department will be given as flexible funds to the Crow Professor.

The Crow Professor will demonstrate professionalism in all aspects of their professional activities, including interactions with colleagues, students and staff. If they violate this expectation at any time, the Executive Committee can by a majority vote revoke their appointment as the Crow Professor.

If the Crow Professor takes a Leave of Absence during their term as the Crow Professor, the title of Crow Professor and associated financial support will be suspended during the Leave of Absence.

Crow Professors will only hold the title of James F. Crow Professor during their term of appointment.

If the primary appointment of the Crow Professor shifts to another department or program, the Crow Professorship support and title will be relinquished on the date of the appointment shift.

The Crow Professorship will normally be awarded for five-year term, and it is non-renewable for consecutive terms.

The Crow Professorship cannot be held simultaneously with other LOG named professorships that provides salary or research support.

Laboratory of Genetics Guidelines for Assistant Professor Mentoring, Review and Tenure Committees

(Approved by the Laboratory of Genetics Executive Committee 11-20-2015)

(Modified by the Laboratory of Genetics Executive Committee 04-08-2016)

(Modified by the Laboratory of Genetics Executive Committee 04-21-2017)

“Success in academia means excellence in research and excellence in teaching.” – Larry Sandler, Graduate Advisor to Barry Ganetzky

Introduction

This document was developed as a guide for tenure-track Assistant Professors and their Mentoring, Review and Tenure Committees (MRTCs) with primary appointments in the Laboratory of Genetics (LOG). The information in it is intended to assist MRTC members to do the best possible job of mentoring. In addition to this document, MRTCs are instructed to familiarize themselves with Faculty Policies and Procedures (FPP), chapter 7, which contains rules and procedures relative to the tenure process. There is also a considerable amount of information on mentoring that can be found on UW websites, especially on the website of the Provost. MRTC members and Assistant Professors are encouraged to review these materials (a list of web sites is available from the LOG Departmental Administrator).

In the LOG, the MRTC serves a dual role. First, this committee provides advice to the Assistant Professor on how to succeed as a university professor. In this role, the committee acts to support and guide the Assistant Professor in regard to their research, teaching, service and outreach. Second, the committee serves to evaluate the Assistant Professor. In this role, the committee makes an annual assessment in a written report on the Assistant Professor's progress, and ultimately, the committee makes a recommendation to the Executive Committee on whether the Assistant Professor merits promotion to Associate Professor with tenure.

The faculty of the LOG seek to promote and maintain high standards in how its members conduct research, instruction, service and outreach. The MRTC provides a key channel through which the values of the LOG are communicated to our Assistant Professors.

Composition of MRTCs

Establishing the MRTC: Ideally, the need for the committee should be discussed with the Assistant Professor before they arrive on campus so they can think about its composition. The Department Chair can initiate this discussion when the prospective faculty member visits to look for housing (typically a few months before they arrive). Nothing may be settled at this time, but the Assistant Professor will know about the MRTC and he/she can begin to plan. Candidates for the Chair of the MRTC are identified as soon as possible after the arrival of the new faculty member on campus.

Selection of members: MRTCs typically have three members. The Chair of the MRTC is selected through a discussion between the Department Chair and the Assistant Professor. The person jointly considered the best candidate for Chair of the MRTC is contacted/recruited by the Department Chair. If the best candidate declines to serve, the Department Chair and Assistant

Professor identify the next best choice who the Department Chair will seek to recruit. Once the MRTC Chair is selected, the MRTC Chair and Assistant Professor jointly select the other two members of the committee, and they should verify that these individuals are willing to serve. Then, the MRTC Chair conveys these choices to the Department Chair, who contacts the candidates and formally appoints them to the committee.

Who can serve: All MRTC members must be tenured Associate or Full Professors. With rare exceptions, the MRTC Chair should be a member of the LOG Executive Committee. In all cases, at least two of the members of the MRTC must be members of the LOG Executive Committee. If members are not in the LOG, they should be selected on the basis of appropriateness of their research area or the need to have representation of individuals with diverse backgrounds not adequately represented among the LOG faculty. Outside members are invited to all Executive Committee meetings where the Assistant Professor's progress is discussed, and they are invited to attend and comment when the Assistant Professor is voted on for promotion.

The Department Chair should not serve as a MRTC Chair except in rare circumstances and only then with the approval of the Executive Committee and Assistant Professor.

How many MRTCs can one faculty member serve on? Ideally, a senior faculty member should only chair one committee at a time, but they can serve on multiple committees if they agree to do so. By chairing only one committee at time, the MRTC Chair is more likely to devote adequate time to the Assistant Professor they are mentoring.

Changes in committee membership: Changes are permitted if requested by the Assistant Professor and MRTC Chair or required because a committee member has resigned from the committee. Selection of new members follows the same rules as for selecting the original members as outlined above. Changes may be counterproductive if they are requested late in the game (for example, the year a promotion might be recommended).

Responsibilities of MRTC

MRTCs are required to meet formally once per year (but can meet as often as needed). MRTCs should meet no later than January 31 of each calendar year. The Assistant Professor should contact the committee members to arrange this meeting. Putting the Assistant Professor in charge of arranging this meeting works better than asking the MRTC Chair to arrange the meeting since the Assistant Professor has a strong incentive to arrange the meeting in a timely manner. After the meeting, the MRTC Chair prepares a 1-2 page report focusing on progress and problems. Accomplishments of the past year should be highlighted. Goals for the year ahead should be listed in the report and whether the Assistant Professor needs to focus on grants, publications, teaching, etc.

The first meeting of the MRTC should take place as soon as the committee is formed (typically within the first month or two of arrival). The goal of the first meeting is to convey information to the Assistant Professor about the contents of this document, the tenure process, the tenure clock and the criteria for promotion including research, teaching, and service. The committee should also explain the procedure for obtaining outside letters of review that form part of the tenure packet, and the process leading to consideration for promotion including Executive Committee and Division of Biological Sciences review (see below).

A fundamental responsibility of the MRTC is to be accessible to the Assistant Professor and to

respond to requests in a timely manner. Typical roles of committee members are to offer advice on grant proposals (including reading the proposals), proposal strategies (how many proposals, how many projects to try to get initially funded), issues related to teaching, time-management, etc. In regard to research, the role of the committee evolves from grant funding, to publications, to methods for gaining national recognition for work (talks at meetings, networking, etc.). The committee should also provide advice on how to be an effective teacher and guide the Assistant Professor to resources on campus to help them improve their teaching skills. Assistant Professor may also seek advice from the committee members on other issues including management of laboratory personnel, mentoring graduate students, how to hire laboratory staff, how to manage their lab budget, and how to manage their time.

Grant preparation: MRTC members are expected to read and comment on all grant proposals prior to submission (including smaller proposals for UW awards). Committee members should offer their expertise regarding the intricacies of funding agencies. In the case of NIH, help should be offered in selecting a study section for review, advice on how to steer a grant application to the appropriate study section, and when and how frequently to contact a program officer. However, Assistant Professors should feel free to ask other individuals outside their committee or outside the LOG to read proposals if it seems appropriate. Regardless of the arrangement, the important point is that input should be sought on initial proposals.

The Assistant Professor is responsible for ensuring that grant proposals are read and critiqued by experienced faculty members. The readers of proposals have their own labs to run and their own proposals to write. It is imperative that Assistant Professors respect the time constraints on everyone by getting proposals to those who will read them well in advance of grant submission deadlines so that the readers are not placed under unrealistic time constraints. If a committee member refuses to read a grant proposal because a deadline is too close and not enough time has been allowed, then the committee member has some justification for the refusal.

Teaching: The MRTC should be proactive in helping the Assistant Professor develop a teaching program that attains the level of excellence and depth required for a successful tenure package. The teaching assignment of each Assistant Professor is different. The MRTC may want to discuss the courses and their content, teaching methodologies, grading, and problems that can arise when interacting with undergraduate and graduate students in courses. It may be appropriate to direct Assistant Professors to resources on campus related to teaching. The MRTC should review teaching evaluations with the Assistant Professor, and discuss these in the committee meetings. Are there areas where improvement can be made?

On the behalf of the Assistant Professor, the MRTC is encouraged to comment on whether the teaching assignment of the Assistant Professor is too heavy for some one just getting started or too light in terms of meeting the requirements for tenure. The Department Chair will exercise flexibility and will, if warranted and if possible, change teaching assignments based on the suggestions of MRTCs. The MRTC should also reinforce departmental policy on the level of teaching expected of all LOG members.

Peer-review of teaching: Concerning peer-review of teaching, the Biological Sciences Divisional Committee's guidelines state:

The exact format of the peer-review process is at the discretion of the department. The peer review should be continuing, beginning in the second year. There should be substantial observation of the candidate.

The committee and candidate should read the Divisional Committee policy on peer-review and discuss its implementation during the Assistant Professor's first year on campus. The requirements are less demanding for cases based on "significant accomplishment" in teaching than for those based on "excellence" in teaching.

In the LOG as a research department, our cases are expected to be based on "significant accomplishment" in teaching, thus our peer reviews have been less detailed than done in some other departments. In the past, review of teaching in the LOG has consisted of a summary of teaching evaluations, description of the courses and course-load, and one or more letters of evaluation from senior UW faculty members who observed the Assistant Professor teaching at least one time. While this approach had been successful, the MRTC is advised to conduct a thorough review that meets the criteria of "continuing" and "substantial observation."

The Department Administrator can provide copies of student evaluations to be used as part of the review of teaching; however, it is the responsibility of the MRTC and Assistant Professor to assure that these reviews are being completed in accordance with LOG policy.

Initiating the tenure review process: The MRTC should meet in the first month of the final year of the probationary appointment on the tenure clock. This meeting is earlier than the regular yearly meeting to allow enough time to obtain all necessary promotion documents. The purpose of this meeting is to review the materials necessary for the Executive Committee to determine whether the record of accomplishment is sufficient to merit solicitation of external letters of evaluation. At this meeting, the MRTC should formulate an explicit recommendation about whether to seek external letters and the MRTC Chair notify the Department Chair of this recommendation in a written report including supporting materials, expediently.

After receiving the recommendation from the MRTC, the Department Chair will schedule an Executive Committee meeting to vote on whether to solicit external letters of evaluation. To arrive at their decision, the Executive Committee will review the MRTC report and supporting materials. Depending on the vote of the Executive Committee, there are two paths from this point:

- (1) If the Executive Committee votes that the case lacks sufficient merit to solicit external letters of evaluation and does not recommend promotion with tenure, then the Department Chair will report to the Dean that the Executive will not be recommending promotion with tenure.
- (2) If the Executive Committee votes that the case has sufficient merit to warrant solicitation of external letters of evaluation, then the MRTC begins working with the Assistant Professor to assemble the initial promotion packet. As part of this process, they should construct a list of potential external reviewers following the procedures outlined below, and create a list of collaborators and past mentors who will be excluded as letter writers. The complete requirements for the promotion packet are on the web site of the Divisional Committee and available from the Department Administrator.

MRTC recommendation: After the tenure packet is assembled, the final responsibility of the MRTC is to make a recommendation to the Executive Committee on whether (or not) the Assistant Professor merits promotion to Associate Professor with tenure. This recommendation is made after the committee has heard the Assistant Professor's promotion seminar, and received

the final tenure documents including the external and internal letters of review solicited by the Department Chair. The MRTC considers all these aspects of the candidate's credentials and formulates their recommendation. Then, the Department Chair calls a meeting of the Executive Committee to discuss the MRTC's report and recommendation, and to vote on promotion. At this meeting, the case for promotion is presented by the MRTC Chair.

Duties of the Executive Committee and the Department Chair

In February/March of each year, the Executive Committee meets for the annual evaluation of Assistant Professors as required by the FPP. The Chair of the MRTC presents the committee report. The Executive Committee discusses the report in depth. The Executive Committee may request that changes to the report be made by the MRTC Chair. Following the Executive Committee meeting, the LOG Chair writes a summary of the Executive Committee discussion. This summary is appended to the final MRTC report. Signature lines are included indicating that the LOG Chair and the Assistant Professor have read and understand the report and summary. The LOG Chair meets in person with the Assistant Professor to discuss the report. A copy of the written and signed Mentoring Report/Executive Committee Summary is provided to the Assistant Professor. The Assistant Professor may submit a written statement explaining any disagreements they have with the content of the MRTC report to the Department Chair who will distribute the statement to the Executive Committee.

The Department Chair is ultimately responsible for ensuring that the MRTCs are functioning at an optimal level. The process itself makes some of the monitoring automatic. However, the Department Chair should check with the Assistant Professor periodically in between annual reports to see how things are going and to ask if the MRTC is providing the support and guidance that is needed.

While the MRTC is the first and primary source of advice for the Assistant Professor, he/she should feel free to consult the Department Chair at any time. It might be appropriate to discuss events in the personal life of the Assistant Professor if events impact work performance. The Assistant Professor can inform the Department Chair if an accommodation is desired because of any circumstances that arise such as a death in the family, an illness in the family, the birth of a child, etc. Some accommodations (e.g. reduction in committee assignments) can be made by the Chair, while others require the approval of the Executive Committee. Extensions to the tenure clock require multiple approvals from the level of the department to the Provost (see below). The Department Chair is responsible for implementing a plan for the accommodation that helps the Assistant Professor without causing due harm to the department as a whole.

Sometimes the MRTC members offer conflicting advice or they offer advice that the Assistant Professor doesn't readily accept (and sometimes shouldn't accept). In any situation like this, the Assistant Professor can consult with the Department Chair for another opinion. The office of the Department Chair is always open to Assistant Professors who want advice. The office is also always open to MRTC members.

The Department Chair should be attuned to the full diversity of backgrounds represented among the Assistant Professors and provide appropriate support.

Responsibilities of Assistant Professor

The Assistant Professor should be assertive in requesting advice when needed. The Assistant Professor is responsible for scheduling the annual meeting of the MRTC in January/February of

each year. The Assistant Professor is responsible for making sure that grant proposals are read and critiqued by experienced faculty members. The Assistant Professor is responsible for keeping track of all of their activities. Neither the MRTC nor the departmental office nor the Department Chair will perform this function. The Assistant Professor should be attuned to their success and challenges as an instructor and seek guidance as needed to achieve a high standard of success as an instructor.

The Assistant Professor is also responsible to maintain detailed records of their activities as required for the promotion packet to be forwarded by the Department Chair to the Dean. So that they submit complete information for the promotion packet, the Assistant Professor should keep a contemporaneous log of all activities in which he/she engages, such as seminars given at other universities, talks at meetings, posters, service on national committees or study sections, etc. No one else keeps track of these activities. This is equivalent to keeping a CV up to date. Trying to remember these activities after several years have passed is not the best approach. (These activities should also be reported yearly in the faculty member's annual activity report.) In addition, the role and percent effort of the Assistant Professor for each publication in their CV must be described. The Assistant Professor is also responsible for assuring that student teaching evaluations for all courses are being completed in accordance with LOG policy on teaching evaluations.

It is highly recommended that the Assistant Professor view a recent successful tenure packet (without the Chair's cover letter and internal/external letters of evaluation), ideally from the LOG but otherwise from a similar department on campus.

Probationary appointments

Faculty offer letters always state that the initial appointment as an assistant professor is for three years. This is required by university policy, but can be a source of confusion to new faculty members some of whom think it means their appointment ends after three years. What it really means is that the Executive Committee must vote to extend the appointment for another three years prior to consideration for tenure. It is not necessary for Assistant Professors to request an extension. The Chair automatically asks the Executive Committee to vote on an extension at the appropriate time.

The tenure process

Consideration of promotion to Associate Professor with tenure is first evaluated by the MRTC. The Assistant Professor compiles their promotion CV in the required format, teaching and research statements, and sample publications (pdfs), and provides these documents to the MRTC. The Department Chair provides copies of the external and internal letters of evaluation to the MRTC. The LOG Department Administrator provides copies of teaching evaluations to the MRTC. The MRTC combines these documents for their review. After their analysis of these documents and listening to the Assistant Professor's promotion seminar, the MRTC makes a recommendation to the LOG Executive Committee on whether or not the Assistant Professor merits promotion to Associate Professor with tenure.

After hearing the MRTC report and recommendation, the Executive Committee of the LOG votes on whether or not to promote the Assistant Professor to Associate Professor with tenure. Promotion at the departmental level requires a 75% majority vote (this rule was passed by the Executive Committee). The Department Chair, who becomes the primary advocate of the

Assistant Professor after a favorable vote, puts together the final promotion packet and writes a cover letter addressed to the appropriate Dean(s). The Chair's cover letter is critical because it summarizes the case for promotion. The promotion packet is forwarded to the Dean, who acts on the request for promotion, and if it is approved by the Dean, the request for promotion is forwarded to the Divisional Committee for Biological Sciences for a recommendation. The Dean considers the recommendation of the Divisional Committee and makes a decision on whether or not to grant tenure. The Dean has the authority to decide contrary to the recommendation of the Divisional Committee. The Dean's decision is transmitted to the Provost, Vice Chancellor for Academic Affairs, Chancellor, President of the UW System and ultimately the Board of Regents, each of whom can reverse decisions made at lower levels. The Board of Regents has the final authority. The appeal process at each level is described in the FPP. Promotion or termination must occur by the seventh year (except when extensions of the tenure clock have been approved through a formal process described below).

Tenure clock extensions: One important piece of information in regard to the tenure clock is that extensions of the tenure clock can be requested for reasons such as illness, having a child during the period before or after the appointment begins, having to move the Assistant Professor's laboratory, or delays in setting up the Assistant Professor's laboratory. For tenure clock extension with respect to childbirth or adoption, the request is submitted in writing directly from the faculty member to the Vice Chancellor for Academic Affairs and Provost. Tenure clock extensions for other reasons (including significant and substantial change in duties, significant responsibilities with respect to elder or dependent care obligations, disability or chronic illness, or circumstances beyond the control of the faculty member) require Departmental Executive Committee and Dean approval before being submitted in writing to the Vice Chancellor for Academic Affairs and Provost. Extensions must be in accordance with FPP Chapter 7.04. The Assistant Professor should consult with the Department Chair as soon as possible if they think a case should be made for an extension of their tenure clock.

Letters of Evaluation

Potential reviewers are asked to write letters of evaluation by the Department Chair after the Department Chair confers with the MRTC Chair. Reviewers are selected from a list compiled by the MRTC by the following process. *First*, the Assistant Professor provides the committee a list of individuals with whom he/she has any conflict of interest (i.e. individuals that are not arm's length as defined by the Divisional Committee) or they feel would not provide an unbiased evaluation. *Second*, the MRTC compiles a list of potential external reviewers, excluding any individuals that the Assistant Professor identified as having a conflict. The MRTC assembles this list without consulting the Assistant Professor. The names on this list will not be disclosed to nor discussed with the Assistant Professor. If the committee feels they lack adequate background to compile an appropriate list, they can consult other senior faculty in the department, other UW departments, or other institutions, while requiring confidentiality from anyone they consult. *Third*, the Assistant Professor should compile his/her own independent list of potential outside reviewers and provide this list to the committee. *Fourth*, the MRTC combines these two lists of potential reviewers and indicates which reviewers were suggested solely by the Assistant Professor, which solely by the committee, and which were on both the Assistant Professor's and committee's lists. Neither the MRTC nor the Assistant Professor should contact any potential reviewers about the review process. The final list will not be disclosed to the Assistant Professor. The Department Chair may only solicit letters from individuals on the final list prepared by the committee. If the list is longer than necessary, the Department Chair and the

Committee Chair jointly decided which individuals are to be asked to write letters. If the list is shorter than necessary, the MRTC will be asked to add additional names to the list.

When compiling their list of potential reviewers, the Assistant Professor might consider the following. Senior researchers who have invited you to give talks at national conferences, who have invited you to give talks at their institution, or who have invited you to author a review article in a major journal, all have demonstrated that they have a knowledge of and appreciation for your research. Similarly, senior researchers who cite your publications substantively and favorably may be good choices.

In accordance with Divisional Committee policy, the Department Chair will contact potential reviewers asking if they would be willing to provide a letter and if they decline to state why they are declining. The Chair will report to the Divisional Committee the names of all potential reviewers that were contacted by the Chair. The Chair will report to the Divisional Committee the reasons given by the individuals who declined to provide a letter.

Five of the six (minimum number) letters of evaluation must be from outside the UW, but the sixth letter can be from within UW although outside the LOG. Most or all of the external letters should address research accomplishments. Internal letters evaluating teaching must also be requested as part of the peer-review of teaching (above). One of these letters can count toward the six required letters of evaluation if it is from outside the LOG. Letters for teaching evaluation may be requested from tenured faculty outside the LOG, from LOG tenured faculty or from an LOG instructional faculty associate who has a substantial knowledge of the Assistant Professor's teaching. Letters from faculty are apt to carry more weight with the Divisional Committee than those from faculty associates.

The Department Chair (and not the MRTC Chair) requests the external/internal letters of evaluation. These requests include a copy of the initial promotion packet (CV, research/teaching statements, teaching assignments, teaching evaluations, and sample publications). The Department Chair gives a deadline to the letter writers, and contacts the letter writers if letters are not received in a timely manner. In the final tenure packet prepared by the Department Chair, it is required that all letters received are included (critical letters cannot be discarded) and it is also required that a list of all individuals who failed to provide a letter upon request is included (this is a Divisional Committee rule) along with their reason for declining. For this reason, every effort should be made to obtain all requested letters.

Assembly of the Packet for Promotion to Associate Professor with tenure

The promotion packet is very detailed. The final promotion packet is assembled by the Department Chair and not the MRTC nor the Assistant Professor. The requirements for the promotion packet are on the web site of the Divisional Committee and available from the Department Administrator. The promotion packet contains the Department Chair's cover letter, Assistant Professor's CV in required format, research statement, teaching statement, summary of teaching evaluations, MRTC final report, external letters of evaluation, internal letters of evaluation, two or more representative publications and other documents.

Administrative structure of the Laboratory of Genetics

The Laboratory of Genetics (LOG) is an umbrella name for two departments that are merged for administrative purposes: the Department of Genetics in the College of Agricultural and Life Sciences (CALS) and the Department of Medical Genetics in the UW Medical School. Some

faculty members have appointments in both departments whereas others are exclusively in one of the other of the two departments. All tenured faculty in either department are automatically members of the Executive Committee which governs the LOG. All power vested in the Chair is granted to the Chair by the Executive Committee. The Chair's mission is to carry out the wishes of the Executive Committee.

Mentoring and Promotion timeline

Annually: MRTC meetings (December or January)

Annually: MRTC Reports to the Executive Committee (February or March)

The initial appointment for an Assistant Professors is for 3 years. Assistant professors are reviewed for a second 3-year contract renewal at end of their second year by the Executive Committee.

In the final year of their probationary appointment, the process to evaluate the Assistant Professor for tenure and promotion occurs. This process must be completed by the end of the 6th year unless a tenure clock extension was approved in accordance with FPP 7.04. If promotion is not approved, the appointment is terminated at the end of the 7th year.

Deadlines for the completion of the evaluation for promotion are shown below: *

- A MRTC meeting occurs during the first month of the final year of the Assistant Professor's probationary period to begin evaluation for promotion. At this meeting, the committee reviews the Assistant Professor's record and then recommends to the Executive Committee if the case has sufficient merit to the solicitation of external letters of evaluation following the steps outlined above.
- Vote by the Executive Committee on whether the case has sufficient merit to request external letters of evaluation.
- If a determination has been made to proceed with the solicitation of outside letters of evaluation, the MRTC instructs the Assistant Professor to submit a properly formatted CV, research/teaching statements, publication pdfs and lists of potential and excluded external/internal letter writers to the committee.
- Within two weeks of this MRTC meeting, the Assistant Professor submits a properly formatted CV, research/teaching statements, publication pdfs and lists of potential and excluded external/internal letter writers to the committee. The MRTC also obtains teaching evaluations for the Assistant Professor from the Department Administrator at this same time.
- Within the first month of the final year of the Assistant Professor's probationary period, the MRTC assembles the documents provided by the Assistant Professor and Department Administrator into the initial promotion packet. The committee provides this initial promotion packet and the lists of potential external/internal letter writers to the Department Chair at the end of the first month of the final year of the Assistant Professor's probationary period.
- The Department Chair schedules the Executive Committee Meeting to vote on tenure. This meeting must occur at least 2 weeks before the CALS/SMPH deadline for tenure recommendation at the latest.
- The Department Chair request letters of external/internal review at least two months before the Executive Committee meeting. **

- The MRTC Chair schedules a meeting of the MRTC to evaluate the Assistant Professor for promotion. This meeting must take place sufficiently before the Executive Committee Meeting to vote on tenure so that the Executive Committee has at least two days to read the MRTC report and recommendation.
- The Assistant Professor's promotion seminar is presented at least 1 day before the MRTC Meeting to evaluate the Assistant Professor.
- The Department Chair provides the external/internal letters of evaluation to the MRTC at least 1 day before the MRTC Meeting to evaluate the Assistant Professor.
- The Executive Committee meeting to hear the report of the MRTC and vote on whether or not to recommend promotion takes place at least 2 weeks before School/College deadline.
- Department Chair assembles the final promotion packet and submits it to the Dean(s) on, or before the School/College deadline.

** All of these time points are relative to the CALS/SMPPH deadlines which in turn are relative to specific divisional committee deadlines.*

*** Letter writers are given about two months to respond, which allows the MRTC and then the Executive Committee to come to a decision in December or January, leaving ample time for the Department Chair to write the cover letter and to forward the dossier to the dean(s).*

Laboratory of Genetics (LOG)
Procedures for Post-Tenure (5-Year) Reviews

Approved by the Faculty on 10-07-2016

Revision approved by the Faculty 8-2-2019

Post-tenure review of LOG faculty is required starting five years after promotion to tenure and must be performed at least once every five years thereafter. Each post-tenure review will be conducted by a *designated* Post-Tenure Review Committee (DPTRC) of three LOG tenured faculty: one *ad hoc* member, and two members of the *standing* LOG Post-Tenure Review Committee (SPTRC). The SPTRC will be composed of three LOG tenured faculty serving staggered 3-year terms (appointed such committee members rotate off when coming up for their own PTR). For each post-tenure review, the LOG Chair will assign two members from the SPTRC and one *ad hoc* appointee to form a DPTRC responsible for that review. Prior to such assignment, the LOG chair will ask the faculty member being reviewed for names of any faculty that she/he would not accept as an assigned reviewer. The LOG Chair will then assign the DPTRC excluding anyone unacceptable to the reviewee. DPTRC assignments will rotate among SPTRC members from one post-tenure review to another. SPTRC and DPTRC appointments will be made by the LOG Chair in consultation with the Chair's Advisory Committee. SPTRC members may be reappointed immediately at the end of their term. Appointments to the SPTRC and DPTRC will be made with due consideration for diversity representation. Each DPTRC will be chaired by the committee member with the longest consecutive SPTRC service. The LOG Chair will be notified by the Department Administrator each year as to which faculty members are due for a Post-Tenure review, and will then notify the faculty members who are to be reviewed at least three months before the review is conducted, and ask each to provide names of any LOG tenured faculty to be excluded from the DPTRC that will conduct their review. If the reviewee has a split appointment with another department, the DPTRC Chair will contact the Chair of the other department and establish a joint review process. The joint review must meet the conditions outlined below and those specified in UW FPP 7.17 and by CALS and/or SMPH Post-tenure review policy. Copies of these policy documents will be provided to the faculty member being reviewed.

The DPTRC Chair will contact the faculty member to be reviewed and ask for an updated CV (to include a list of all publications) and a brief summary (1-2 pages) of future plans for research, teaching, and service. The DPTRC Chair will also request that the Department Administrator provide copies of annually filed Faculty Activity Reports from previous years, a list of grant applications, and teaching evaluations or summaries for each class taught over the last five years.

The DPTRC Chair assigns a primary reviewer from among the committee members. All materials are distributed to each DPTRC member. Reviews will be based on the faculty member's activities and performance as they relate to the LOG Mission (as described in more detail below in the section on **Criteria for Post-tenure Review**). This includes running an externally funded research program, training of graduate students and postdoctoral scientists, participating in undergraduate, graduate, and/or medical student classroom teaching, and actively contributing to Faculty governance through participation in LOG, College and/or University-level committees or other governance/administrative bodies. The DPTRC will judge whether the faculty member's activities and performance meet expectations as defined by the Executive

Committee. Exceptional performance in one area may compensate for reduced effort in another. The DPTRC may consult with the LOG Chair, as needed, in conducting its review and in arriving at recommendations in its report to the Executive Committee.

The primary reviewer will provide DPTRC members with a summary review and the committee will then will meet to discuss the reviewee's accomplishments and any concerns. At its discretion, or at the request of the faculty member being reviewed, the DPTRC may meet with the reviewee to discuss his or her contributions to the department, the university, and the profession.

The DPTRC Chair will then draft a report that is circulated to DPTRC members for edits. If deficiencies are noted, the report will include specific recommendations on ways of improving performance, and/or suggest alternative approaches to compensate for perceived weaknesses in one of the three areas (research, teaching, and service) by increasing participation in another area, in consultation with the Chair of the LOG.¹ The report must reach one of these three assessments in research, teaching, and service, separately, as well as an overall assessment:

- Professor X meets expectations.
- Professor X exceeds expectations.
- Professor X does not meet expectations.

If the report concludes that the faculty member “does not meet expectations” in any area or overall, the report should describe the deficiencies. It is the responsibility of the Executive Committee to develop a remedial plan in accordance with FPP 7.17 and Regent Policy Document 20-9.

The report is presented in closed session at the Department's Executive Committee meeting. The full dossier of the reviewee and the final report will be available to members of the Executive Committee in the LOG departmental administrator's office at least two weeks prior to the Executive Committee meeting for review. Executive Committee members may request a paper copy of the final report from the Department Administrator². If an Executive Committee member is unable to come into the building, the Department Administrator can send them an electronic copy. Copies of past LOG post-tenure reviews are also available for review by Executive Committee members. The Executive Committee will vote on whether to accept the final report as finished and complete. Acceptance of the report will be based on a simple majority vote of the Executive Committee faculty present at the meeting. If the report is not accepted, the DPTRC will prepare a revised report for reconsideration by the Executive Committee.

After acceptance of the report by the full executive committee, the report will be given to the faculty member for comment. The faculty member shall have the right to prepare a written response to the report within 30 days after receipt. The comments of the faculty member will be considered by the executive committee.

Once accepted as complete, a copy of the final report is **provided to the LOG Chair** and filed in the reviewee's personnel file, **along with** all documents that played a substantive role in the review (other than documents such as publications that are readily accessible elsewhere), and a record of any action taken as a result of the review. The LOG Chair will forward the report to the office of the

Dean(s). The reviewee as well as any member of the Executive Committee has the opportunity to provide written comments on the final report. Such comment documents will be included in the permanent personnel file and will be forwarded to the office of the Dean(s) along with the final report.

The procedure for conducting the Post-Tenure Review of the Chair of the LOG will be the same as outlined in this document except that all actions and responsibilities assigned to the LOG Chair in this document will instead be assigned to the Vice-Chair of the LOG.

Criteria for Post-tenure Review

The basic standard for review shall be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with the faculty member's position, e.g. research, teaching, and service extension. Faculty will be judged based on the totality of their contributions across these areas. Exceptional performance in one area may compensate for reduced effort in another. However, if contributions in one area are reduced compared to the last review period (e.g. funded researcher or publication rate) then it is expected that the faculty will compensate for that with additional contributions to other areas (e.g. teaching and service)". In addition to meeting specific levels of performance in designated areas of faculty responsibility, the reviewee must also have exhibited professionalism and integrity in the conduct of their work, treat other faculty, staff and students with respect, and support a diverse and inclusive work environment.

1. Research

Evidence of research performance includes (1) peer reviewed scholarly books, monographs, chapters and other relevant scholarly products; (2) articles published or accepted for publication in scholarly or professional peer-reviewed journals; (3) extension/outreach publications and exemplary materials; (4) citation of the work, along with norms for the field or subfield; (5) research awards, grants, and proposals; (6) papers presented at professional meetings, invited lectures at other universities and learned societies, invitations to participate in professional meetings, editorial positions with major professional journals, testimony before governmental committees, and professional honors, awards and consultations, and (7) patents or evidence of intellectual property.

2. Teaching

The following should be assessed in the review report: commitment to teaching, success in communication of material, and stimulation of learner interest. Because continual improvement of courses is part of good instruction, evidence of these achievements should be furnished if available. Some faculty may have made significant, innovative developments in instructional techniques and materials which affect academic programs in Genetics. Procedures adopted by colleagues within and outside of the LOG should be documented. Other noteworthy contributions include teaching beyond regular duties, collaborative efforts, and interdisciplinary instructional activities.

Evaluation of teaching ability and performance must take into account the wide range of approaches to teaching within the Laboratory of Genetics. Besides the variations attributable to individual personality and style, there are distinctions among types of teaching situations. These include lectures, discussion sections, seminars, supervising undergraduate research, and undergraduate and graduate advising. No faculty is expected to be equally proficient in all teaching situations; the report may focus in those teaching situations most appropriate to the faculty's teaching mission and responsibilities.

3. Service

Departmental and University. The effective operation of the department and the university requires a high degree of faculty participation and, at times, intensive activity in faculty government, departmental and university committees, administrative roles, advisory functions, and similar tasks. All faculty must share in this task, but the Executive Committee recognizes that a heavier burden may and should fall on the shoulders of more senior (and already tenured) faculty members.

Professional. Service to one's profession or academic discipline may occur at local, state, national or international levels. Appropriate activities include service as an officer, member of a board, committee, or task force of a professional group, on-site visits, reviewing research proposals or manuscripts, and organizing and participating in professional and technical meetings such as training institutes, workshops, conferences, and continuing professional education.

Based on the above criteria, the post-tenure review will assemble a *summary* of the teaching evaluations (narrative or tabular) and describe the quality of teaching. In the area of research, the post tenure committee will summarize data demonstrating research productivity. The committee will gather similar evaluative evidence on service activities and write a summary report to be presented to the Executive Committee.

Timeline

July of year 4 following previous PTR (or promotion) – LOG Chair notifies faculty member of upcoming PTR and ask for names of any faculty to be excluded from the review committee.

August – DPTRC appointed; DPTRC Chair obtains materials needed for review, provides these to the committee and assigns a primary reviewer.

September – DPTRC meets to discuss primary reviewer's Summary Report. DPTRC meets with reviewee at her/his request or at discretion of the DPTRC.

October – LOG Executive Committee votes on acceptance of DPTRC PTR Report. Reviewee has 30 days to submit written response.

November/December - DPTRC Chair submits Final PTR Report to LOG Chair; transmitted to Dean

¹ If a faculty member is performing unsatisfactorily in the judgement of the Executive Committee, a remediation plan will be developed by the Executive Committee in accordance with FPP 7.17 and Regent Policy Document 20-9. The faculty member will be reviewed annually until he/she performs satisfactorily.

²As confidential employee documents, Post-tenure Reviews distributed to the members of the Executive Committee are not to be copied or further distributed.

LABORATORY OF GENETICS

Policy on Promotion from Associate to Full Professor

Approved by the Faculty on 2-16-2018

Promotion to Professor (aka Full Professor) can take place when a strong case is apparent, typically 6 years after promotion to Associate Professor. Emphasis in consideration of promotion to Professor will be placed on the candidate's scholarly contributions and achievements since the time of promotion to Associate Professor.

TYPES OF CASES

Excellence in one area with significant accomplishment in a second area

In this case, the rank of Professor should be awarded to those faculty members who show an ability to sustain high quality research and/or teaching and/or academic leadership that is widely recognized by their peers. Primary emphasis will be placed on research and/or teaching and/or academic leadership and program development integrating scholarship. For promotion to Professor, the candidate should excel in at least one of these areas and demonstrate significant accomplishment in another, for which professional service may also be taken into consideration.

Integrated cases

In some cases, the most valid means of evaluating a candidate's activities may be through assessment of the impact of accomplishments that were only achievable through the integration of several areas of activity. Cases of this type allow demonstration of excellence in instances where three areas of achievement are so closely integrated that it is impossible to document and assign accomplishments to specific areas. In such cases, the Department Chair's letter to the dean should explain why an integrated case is being submitted.

Criteria for Excellence or Significant Accomplishment in Specific Areas

Research: Authorities in the candidate's field should provide clear evidence that the candidate's scholarly activities are highly significant. The individual's national or international reputation should be described. The candidate's peer-reviewed publication record and extramural funding should be carefully considered.

Teaching: Documentation should be provided of teaching contributions, with summaries of the quality and quantity of teaching and teaching leadership activities. Teaching awards, invitations to present at other institutions and at national meetings, and publications related to the candidate's area of expertise should be carefully considered.

Academic Leadership and/or Program Development: Academic leadership and/or program development integrating scholarship in an administrative or service capacity should be described. Documentation of the quantity and quality of the leadership activities and/or programs should be provided. National reputation should be assessed through external peer review. If academic leadership and/or program development is the primary basis for promotion, the candidate should demonstrate significant secondary accomplishment in teaching or research as opposed to service/outreach.

Service and/or Outreach: Service or outreach contributions to the Department (including its undergraduate and graduate programs), CALS, SMPH, University, and beyond can be

included as a secondary basis for promotion (Significant Accomplishment) when research or teaching accomplishment is the primary area (Excellence). If service/outreach is the primary area of excellence, then the quantity and quality of service/outreach needs to be fully documented including external letters of evaluation.

Integrated: Promotion can be awarded based on the overall impact of a faculty member's work where three areas of achievement (research; teaching; and either academic leadership/program development or service/ outreach) may be so closely integrated that it is not feasible to clearly separate one area from another. In an integrated case, it is expected that the faculty activities are synergistic and, when viewed as a whole, have reached an overall level of excellence with substantial impact. In an integrated case, the relative contributions of the three areas may vary but there should be evidence of excellence within each area and synergy among them.

PROCEDURE

One year prior to the anticipated date of promotion, the Department Chair confers with the Associate Professor to determine whether to go forward with review for promotion at that time. The typical time to start the promotion process is five years after promotion from Assistant to Associate Professor such that promotion, if approved, will occur six years after promotion to Assistant Professor. If the Associate Professor wishes to be considered for promotion, then the Department Chair convenes a meeting of the Committee of Professors (all Full Professors on the Executive Committee) who must vote on whether or not to proceed with the review for promotion. If the Committee of Professors approve the request by a 75% affirmative vote, then the full review will go forward.

To initiate the review, the Department Chair appoints a Promotion Committee consisting of three Laboratory of Genetics Full Professors, one of whom is appointed as committee chair. The Department Chair should confer with the Associate Professor on potential members of the committee, excluding anyone with a conflict. At the Department Chair's discretion, an additional full professor from another department may be appointed either as a voting or non-voting member.

Once the committee is appointed, the Committee Chair will contact the associate professor and convene a meeting of the Promotion Committee and candidate. At this meeting, the committee will go over the review process and timeline, and to discuss any questions or concerns. At this meeting, the candidate and committee should finalize the selection of the areas for which the candidate will be evaluated for Excellence (primary area) and for Significant Accomplishment (secondary area).

Promotion Committee's initial responsibilities:

- Scheduling a promotion seminar by the candidate.
- Obtain copies of teaching evaluations for each class taught by the candidate over the last five years from the Department Administrator.
- Obtain the candidate's updated full CV and statements summarizing their post-tenure accomplishments and future plans in research, teaching, and service.
- Compile lists of potential external letter writers (reviewers) following the procedure outlined below and provide the lists to the Department Chair.

- Compile a list of potential internal (UW) letter writers (reviewers) and provide this list to the Department Chair.
- In coordination with the candidate, assemble the initial promotion dossier for distribution to the external letter writers, and provide this dossier to the Department Chair. This version of the dossier includes the Associate Professor's CV in required format, research statement, teaching statement, service statement, summary of teaching evaluations, and pdfs of two publications.

Promotion Committee's final responsibilities:

- Attend the candidate's promotion seminar (or review the recorded video)
- Obtain copies of the external and internal letters of review from the Department Chair.
- Evaluate the candidate's record of accomplishments during his/her time as an Associate Professor. This evaluation will be based on the faculty member's performance as they relate to the chosen areas for Excellence and Significant Accomplishment.
- Meet to discuss/evaluate the case for promotion and prepare/finalize the report and recommendation for consideration by the Committee of Professors.
- Submit the Promotion Committee report to the Department Chair and Department Administrator.

Promotion to professor review is a special case within the campus-mandated post tenure review process, and thus can be used as the post-tenure review document provided it complies with [FP&P 7.17](#) and Laboratory of Genetics Policy for post-tenure review.

Second Meeting of the Committee of Professors:

Once the Department Chair has received the committee report, he/she will distribute the report, the initial dossier and the letters of evaluation to the Committee of Professors. The Department Chair will schedule a meeting of the Committee of Professors to discuss the case for promotion and vote to approve/disapprove promotion. The Promotion Committee's final report is presented by the Promotion Committee Chair in closed session at this meeting of the Committee of Professors meeting. For this meeting:

- Eligible voters include tenured faculty who (i) are members of the Executive Committee of the Laboratory of Genetics and (ii) hold a faculty rank of Full Professor.
- Greater than 50% of eligible voters must be present at the meeting to constitute a quorum.
- Voting will occur by secret ballot, and all voters must be present (either physically or by phone/internet connection) at the meeting. Absentee ballots are not allowed. The tally of votes cast will be communicated to the appropriate Dean(s) (CALS, SMPH, or both).
- Promotions are approved by the Laboratory of Genetics only if 75% or more of total votes cast are in favor of promotion.

Procedure for Obtaining Letters of Evaluation

Potential reviewers are asked to write letters of evaluation by the Department Chair after the

Department Chair confers with the Promotion Committee Chair. Reviewers are selected from a list compiled by the Promotion Committee by the following process. *First*, the Associate Professor provides the committee a list of individuals with whom he/she has any conflict of interest (i.e., for external letters, individuals that are not arm's length) or they feel would not provide an unbiased evaluation. *Second*, the Promotion Committee compiles a list of potential internal and external reviewers, excluding any individuals that the Associate Professor identified as having a conflict. The Promotion Committee assembles this list without consulting the Associate Professor. The names on this list will not be disclosed to nor discussed with the Associate Professor. If the committee feels they lack adequate background to compile an appropriate list, they can consult other senior faculty in the department, other UW departments, or other institutions, while requiring confidentiality from anyone they consult. *Third*, the Associate Professor should compile his/her own independent list of potential internal and outside reviewers and provide this list to the committee. *Fourth*, the Promotion Committee combines these two lists of potential reviewers and indicates which reviewers were suggested solely by the Associate Professor, which solely by the Promotion Committee, and which were on both the Associate Professor's and committee's lists. Neither the Promotion Committee nor the Associate Professor should contact any potential reviewers about the review process. The final list will not be disclosed to the Associate Professor. The Department Chair may only solicit letters from individuals on the final list prepared by the Promotion Committee. If the list is longer than necessary, the Department Chair may consult with the Promotion Committee Chair to decide which individuals are to be asked to write letters. If the list is shorter than necessary, the Promotion Committee will be asked to add additional names to the list.

The Department Chair will contact potential reviewers asking if they would be willing to provide a letter and, if they decline, to state why they are declining. The Chair will report to the Dean(s) and/or the SMPH Promotions Committee the names of all potential reviewers that were contacted by the Chair, along with the reasons given by the individuals who declined to provide a letter.

A minimum of five letters of evaluation must be arm's length from outside UW-Madison and a minimum of two letters must be from colleagues at UW-Madison (by definition, not arm's length) although outside the department. The letters should address the areas being reviewed for Excellence (primary) and Significant Accomplishment (secondary).

The Department Chair requests the external/internal letters of evaluation. These requests include a copy of the initial promotion dossier (CV, research/teaching/service statements, teaching assignments, teaching evaluations, and sample publications). The Department Chair gives a deadline to the letter writers, and contacts the letter writers if letters are not received in a timely manner. In the final promotion dossier prepared by the Department Chair, it is required that all letters received are included (critical letters cannot be discarded) and it is also required that a list of all individuals who failed to provide a letter upon request is included (this is an SMPH Promotions Committee rule) along with their reason for declining. For this reason, every effort should be made to obtain all requested letters.

Assembly of the final dossier for Promotion to Full Professor

The final promotion dossier for transmission to the Dean(s) is very detailed. The final promotion dossier is assembled by the Department Chair and not the Promotion Committee nor the Associate Professor. The promotion dossier requirements align with the promotion policies of CALS and SMPH, and are available from the Department Administrator. The promotion dossier contains the Department Chair's cover letter, Associate Professor's CV in required format, research statement, teaching statement, service statement, summary of teaching evaluations, Promotion Committee final report, external letters of evaluation, internal letters of evaluation, two or more representative publications and any other relevant documents.

Policy on Promotion from Associate to Full Professor

Approved by the Faculty on 12-15-2017

Promotion from Associate to Full Professor requires an affirmative vote by 75% or more of the Full Professors in the Department aka “Committee of Professors”.

Genetics Teaching Assignment Guidelines

Approved by the Faculty – April 28, 2017

The responsibility for assigning individual faculty (and faculty associates) to teach specific courses resides with the Full Faculty¹ (FF) of the Laboratory of Genetics (LOG). The LOG Chair oversees and administers teaching assignments, although ultimate authority regarding these assignments resides with the FF. The Chair or individual faculty can bring any concerns surround teaching assignments to the FF when there is a need for FF input.

Fundamentals:

- The top priority for determining teaching assignments is the needs of the Genetics undergraduate and graduate degree programs. The needs of programs other than Genetics are a secondary consideration.
- While faculty may (and often do) teach in courses outside of the Genetics degree programs, such teaching does not fulfill faculty teaching responsibilities in the LOG unless approved to do so by the Chair acting in his/her capacity as the representative of the FF.
- Faculty to not self-determine their teaching assignments, although they have the freedom to teach other courses in addition to their assigned courses.
- It is the responsibility of the Chair to assign faculty to specific Genetics department courses. Faculty may not recruit others to teach their courses for them. While the instructors assigned by the Chair to a course can, and as often needed, invite others to give guest lectures, only the names of faculty assigned by the Chair may appear in the University timetable. The assigned instructors and TAs are responsible for administering exams and assigning grades and they may not delegate that responsibility to others.
- New courses including any new special topics courses (such as Gen 375, 677 and 875) must be approved by either the Undergraduate Curriculum Committee or the Graduate Program Committee, or both committees for courses intended to fulfill both undergraduate and graduate level requirements.
- As a **guideline** for making teaching assigning, the LOG **base-line expectation** is that individual faculty are typically expected to teach one full 3-credit course per academic year or portions of multiple courses that sum to a 3-credit course equivalent (e.g. 50% responsibility for each of two 3-credit courses), although this expectation will be adjusted based on the size of a faculty's research program and other contributions (see below).
- All course assignments are not equivalent. The relative importance of a course to the LOG depends on whether the course fulfills a curricular need in Genetics and on enrollment size, which measures how many students the course enables to fulfill their degree requirements. Faculty are expected to cooperate so that our most important courses are staffed. With the ebb-and-flow of retirements and recruitments, faculty should expect at times to have a change in their teaching assignments so that our most important courses are staffed.

- Writing lectures and developing course materials and exercises for the first offering of a course by a faculty member is much more time consuming than teaching the same course subsequently. Accordingly, when a faculty member is developing a new course, other teaching responsibilities may need to be reduced.
- The Chair of the LOG will circulate a list of faculty teaching assignments annually.
- Many faculty give guest lectures in courses or contribute single lectures in medical student education. Such guest lectures are encouraged but they are not a part of faculty teaching assignments unless approved to fulfill a teaching assignment because they are substantial and involve evaluating students and assigning grades.

Teaching assignments can be greater than or less than the base-line expectation depending on an individual faculty member's career stage and contributions in other areas. Guidelines for adjusting teaching assignments relative to the base-line expectation include:

Career Stage:

When possible, assistant professors should be relieved of all teaching during the first year of their appointment. They should have a record of substantial accomplishment in teaching as required for a successful tenure packet.

Research:

- Faculty who have moderate-sized and externally funded research programs with at least one external grant and involving the administration of a laboratory group including 3 to 6 full-time personnel (graduate students, postdoctoral associates, technicians, scientists) should meet the expectation of teaching one 3-credit course per academic year.
- Faculty who have large, well-funded research program with multiple external grants and involving the administration of a laboratory group including 7 or more full-time personnel (graduate students, postdoctoral associates, technicians, scientists) can request a reduced teaching assignment such as 50% of one 3-credit course per academic year.
- Faculty who have minimal research programs with little or no external grant funding and who administer laboratory groups including only 1 to 2 full-time personnel (graduate students, postdoctoral associates, technicians, scientists) can be asked to teach a more than one 3-credit course per academic year.
- Faculty who have little or no externally funded research and who do not oversee any full-time research personnel (graduate students, postdoctoral associates, technicians, scientists) can be asked to teach two 3-credit courses per semester or four per academic year unless they are contributing beyond normal expectations in service and/or administration. "Normal expectations" are determined by the Full Faculty.

Service:

All faculty are expected to perform some service (committee assignments, faculty senator, etc.). Service is not normally expected to justify a reduction in teaching, however, exceptional service can be considered when making teaching assignments.

Administrative appointments:

Administrative appointments do not normally allow a reduction below the LOG base-line teaching expectation unless approved by the FF.

Buying out of teaching:

Associate and Full professors can request to “buy-out” of teaching (partially or fully) by having salary for the academic year in grants to compensate the department. Given the diversity of appointment types, setting guidelines for buy-outs is complicated. Buy-outs should be negotiated by the Chair and approved by the Advisory Committee.

Priorities for staffing courses:

First, individual courses required for the Genetics undergraduate degree (e.g. Gen 467) or graduate degree (e.g. Gen 701) are a top priority.

Second, courses that are genetics electives or fulfill the capstone requirement for undergraduates are a second priority. There are multiple capstones and elective courses that can fulfill the needs of students. For this reason, if there is a surplus of electives and capstones course offerings, the department may need to shift effort from electives/capstones to strictly required courses. For capstone and elective courses, enrollment size needs to be considered. To enable our students to complete their degrees in a timely fashion, electives and capstone courses with larger enrollments may have priority for staffing because larger enrollment course enable more of our students to complete their degrees.

Third, course enrollment size *per se* is also a factor to be considered as it directly effects the department SMPH budget. It also affects the number of TAs awarded to the department by CALS.

Faculty are encouraged to teach courses on any topic that they desire, even if outside the field of genetics. We recognize the importance of small enrollment courses in education. However, as outlined above, our priorities mean that all faculty can be asked to teach in the courses that fit the most pressing needs of our degree programs, and teaching of other courses may need to be done as an addition to the departmental base-line teaching.

¹ Full Faculty signifies all faculty with voting rights including assistant, associate and full professors.

Policy on Undergraduate Genetics Degree Program Administration and Genetics Courses

Approved by the Faculty on 12-01-2017

Undergraduate Genetics Degree Program and all Genetics Courses are subject to frequent updates and changes. The policy below defines who has authority to make a variety of common decisions.

1. The Faculty of the Laboratory of Genetics (LOG) has sole authority to approve new permanent courses with a Genetics prefix and number including on-line courses, however the Undergraduate Curriculum Committee (UGCC) will screen and recommend/not-recommend all new course proposals.
2. The UGCC and/or Graduate Program Committee (GPC) has the authority to approve new special topics courses such as Gen 375, Gen 677 or Gen 875. If a course is intended to satisfy both graduate and undergraduate degree requirements, then it needs approval from both the UGCC and GPC.
3. Course Instructors with input from the Chair, Student Services Coordinator, and the UGCC and/or GPC sets the class sizes for individual courses.
4. The UGCC determines which undergraduate courses are approved for either subset 1 or 2 (both Genetics or non-genetics courses).
5. The UGCC determines which courses are authorized as a Capstone Course.
6. The Faculty of the LOG determines whether our courses are cross-listed with another department or courses in other departments are granted cross-listing in Genetics.
7. The Faculty of the LOG reviews and approves Learning Goals as required by campus or federal agencies.
8. Course Instructors, the Student Services Coordinator, and the UGCC and/or GPC reviews and approves assessment reporting required by campus or federal agencies.
9. The Chair of the LOG in consultation with Course Instructors determines which courses are assigned a TA.
10. Once a course is authorized to have a TA by the Chair, the Course Instructors and the Student Services Coordinator assign individual students to fill those TA slots.
11. The UGCC and/or GPC (with opportunity for input from the Faculty) writes and reviews any materials developed to market either our graduate or undergraduate degree programs.
12. The Faculty of the LOG has sole authority to approve requests from other programs such as Biocore to have their courses fulfill degree requirements in Genetics.
13. The Faculty of the LOG has sole authority to approve any permanent changes to the undergraduate degree such as degree requirements.
14. The Faculty of the LOG has sole authority to approve the addition of new certificates or other programs to the Genetics curriculum.
13. The Student Services Coordinator and Undergraduate Advisors (in consultation with appropriate Faculty if needed) have authority to grant one-time exceptions to undergraduate degree requirements such as allowing a course to fulfill a Genetics requirement it would not normally fulfill.

Policy on use of Genetics Department funds for Graduate Student Rotations

Approved by the Faculty on 6-29-2018

On June 29, 2019, the Genetics Executive Committee passed the following motion:

The use of Genetics Department Funds, other than Graduate School funds (135 accounts), to support graduate student rotations or to fund students in labs outside the Genetics Department requires the approval of the Genetics Executive Committee.

Vice Chair – Executive Committee Approved on July 1, 2008

Vice Chair position approval:

In keeping with the mechanism used by most other departments, The Vice Chair will be selected by the Chair. However, the selection must be approved by a vote of the faculty as a whole. The same rules should apply as those adopted for other personnel decisions (75% majority required).

Compensation:

Receive a 5% temporary base adjustment (associated with the position itself).

Vice Chair Duties:

- Consultant to the Chair on all issues both internal and external
- Communications with the faculty in consultation with the Chair, including:
 - preparation of the annual alumni newsletter
 - oversight on committee assignments and annual committee reports to the faculty
 - preparing annual reports on operations as deemed appropriate by the Chair
 - any other matter of communication with the faculty
- Assist with internal operations, including issues related to:
 - Facilities
 - Writing of reports and proposals
 - Departmental and program reviews
 - Teaching assignments
 - Financial decisions
 - Recruitment, hiring, and review of departmental personnel
 - Organization of departmental staff
- Assist with external relations, including:
 - Interactions and meetings with Deans
 - Serving as an alternative to attend meetings to represent the department as needed
 - Sign documents that require the Chair's signature in the Chair's absence

Serve in any other capacity as the need arises

Policy for Faculty Voting Rights during a Leave of Absence

(Approved by the Executive Committee on August 24, 2016)

The Executive Committee of the Laboratory of Genetics adopted the policy that faculty members who are on a leave of absence relinquish their voting rights on the Faculty and the Executive Committee during the course of their leave of absence unless the Executive Committee votes specifically to award voting rights to the faculty member during the period of their leave. Additionally, a faculty member on leave of absence without voting rights does not count towards the quorum requirement.

SMPH Gap Funding Program

The SMPH has established a program to help address the growing challenge of lapses in extramural funding. The funding for this program is limited, and will not be able to meet all, or even most, of the needs. Thus, the available funds will be offered on a competitive basis.

Priorities:

The primary focus for SMPH gap funding are those faculty who have previously had extramural grant support but are experiencing short-term difficulty in renewing the grant. Eligibility is restricted to those faculty members with a primary appointment of at least 50% in the SMPH; priority will be given to early to mid-career investigators. Awards will be decided by the Senior Associate Dean for Basic Research, Biotechnology and Graduate Studies, who may consult content experts in the applicant's research field as well as with the chair of the mentoring committee for an early career applicant

Criteria for awarding gap funding:

SMPH Gap Funding will be awarded based upon evaluation of several criteria.

- likelihood that an applicant will regain extramural funding, determined by a review of productivity, funding history and critiques of recent extramural grant applications.
- amount of time and effort support from extramural grants that the PI has obtained in the past 5 years, as well as current extramural time and effort support.
- alternative sources of funding available to the PI.

Application process:

Applications may be sent via the department chair to the Senior Associate Dean (RLMoss@wisc.edu) at any time, preferably in electronic format, with the following items:

- a cover letter requesting Gap Funding, explaining the circumstances that necessitate such funding for the proposed project, and describing the department's matching support.
- one page describing the specific aims of the project.
- proposed budget and budget justification, including all funds available for this and other projects in the Principal Investigator's laboratory.
- critiques of the most recently reviewed application for extramural support of the project.

[OVER]

- the Principal Investigator's current curriculum vitae or NIH Biosketch, including funding history for the past five years (specifying the amount of salary recovery from extramural funding sources).

Budget:

Awards of up to \$100,000 will be made, the amount varying based upon an analysis of need and the availability of funds.

There is an expectation that matching funds will be provided from the home department of the applicant.

PI salary support should not be included in the budget.

Faculty receiving gap support will be expected to refrain from accepting any new graduate students or post-doctoral fellows until they have "closed the gap" by regaining their extramural support.

Initiated by the UW School of Medicine and Public Health, July 1, 2013; revised December 1, 2013.

Chair's Policy on Bridge Funding

(Adopted August 1, 2016 after consultation with the Advisory Committee; revised June 26, 2019)

The Chair recognizes how challenging it is to maintain an externally funded research program. If a lab closes entirely during a gap in external funding, the closure may create insurmountable obstacles to restarting the research program and thereby damage the Department's research portfolio. Accordingly, the Chair will assist faculty in obtaining Bridge Funds from CALS or SMPH, following policies established by the colleges. In addition, the Chair may use departmental resources for Bridge Funds as a last resort after consultation with the Advisory Committee, following the policy articulated in this document. The Department will not normally provide Bridge Funds more than \$100,000 from departmental resources and the amount is apt to be much smaller. Furthermore, several conditions must be met before bridge funding can be awarded, to make sure the available resources are equitably distributed. Bridge funding is never guaranteed, but it is awarded on the basis of contributions to the Departmental mission and future promise of an externally funded research program.

Faculty are expected to actively monitor their laboratory budgets to assure that they do not overspend their available funds. When facing a funding crisis, faculty are expected to reduce their expenditures and when necessary lay-off personnel for whom they lack funding. Faculty should not be recruiting new graduate students or postdoctoral associates at times when they are applying for Bridge Funds. Faculty are expected to cooperate with the Department Administrator to keep their lab budgets from going into a deficit.

Expectations of applicants for Bridge Funding:

- The applicant should have a solid record of applying for external funding within the year prior to the request for bridge money.
- The applicant should have additional proposals in preparation with specified agencies and deadlines. Failure to meet submission deadlines might impact availability of Bridge Funds.
- Support for graduate students is a Departmental priority when awarding Bridge Funds, and applicants are expected to prioritize funding their graduate students.
- The applicant is expected to apply for the Grad School Fall Competition for Bridge funding (if applicable) or to have applied in the prior year.

Application materials:

- A one-page memo describing the financial need and scientific rationale for bridge support as well as how it will enable you to obtain new external funding.
- List of your recent grant submissions that were not funded or are pending.
- List of your currently planned grant submissions with the agency and submission deadlines.
- List and amounts of any discretionary funds available to you.
- A proposed budget for the gap period including how you will use your discretionary funds.
- A brief statement explaining how you will contribute to the mission of the Department in the event that you are unable to maintain an externally funded research program.

Conditions:

- Bridge Funds will be awarded over a maximum of two years. Here, the intention is to make it clear that the Department will not provide longer term funding to faculty who are not actively seeking external funding or have prolonged inability to get external funding.
- Bridge Funds must be expended within a two year period or they revert to the Department.
- If Bridge Funds are granted for two years, then only part will be provided in the first year. Before the second part is awarded for the second year, the applicant's progress toward completing grant applications will be reviewed and the awarding of the second part of the Bridge Funds re-evaluated.
- At the time that Bridge Funding is awarded, the applicant becomes ineligible for additional Bridge Funds for a four year period. They must also have received significant external funding during the intervening period.
- As soon as external funding is obtained, any remaining Bridge Funds are returned to the Department.
- Once a faculty member receiving Bridge Funds has a successfully funded grant, they may not receive return of F&A for 3 years or until their Departmental Bridge Funds have been repaid from the F&A that their new grant has earned.

Decisions on requests for bridge funding will be made by the Department Chair in consultation with the Advisory Committee. In making these decisions, the Chair and Committee will review the current funding in the lab, grant application history, funding history, and the faculty members contributions to Departmental teaching and service.

Genetics Colloquium during the Academic Year

March 31, 2016

The colloquium is a forum that brings together the faculty and students of the Laboratory of Genetics (LOG) and the broader UW genetics community. It is a forum for graduate student education via the roundtable course during the Spring semester. The LOG faculty should assure that the Colloquium meets these multiple objectives.

Colloquium Committee:

In any academic year, the Colloquium Committee (CC) consists of the CC Chair to be appointed by the Department Chair plus the instructors in either Gen 707 or Gen 708, whichever of these courses is being taught that academic year. The committee's principal duty is to oversee colloquium speaker selection as outlined below.

Speaker Selection:

During the academic year, there are typically 28 slots for speakers (14 per semester).

A. Graduate Student and Postdoc speaker choices:

One slot is reserved for the choice of the genetics graduate students. One slot is reserved for the choice of postdoctoral associates in LOG laboratories. The CC is directed to work with the Student Services Coordinator to solicit the speaker choices from the graduate students and postdoctoral associates.

B. Speaker slots are often needed for faculty interviews and trainer interviews. It is also desirable just to invite our UW colleagues to speak at the Genetics Colloquium even if not as an interview.

The exact number will vary year to year, but the number of internal UW speakers is often about 6 per year. The CC is directed to work with the Genetics DGS to allot speaker slots for trainer interviews, and the Department Chair to allot speaker slots for faculty interviews. [There is also the option of scheduling interview talks at times other than the weekly colloquium.] If fewer than 6 slots are used for these purposes, the committee is directed to work with the entire UW Genetics community to fill any remaining slots with UW faculty speakers and postdoctoral associates in LOG who desire an opportunity to offer a colloquium as they prepare to enter the job market. Suggestions for UW postdocs and faculty speakers will be solicited via an on-line form. If more suggestions are made than are needed, the CC will choose speakers that add appropriate balance to the yearly schedule.

C. The remaining 20 speaker slots per year are for external speakers. These slots will be filled by a two-stage process.

Internal LOG Faculty choices: All faculty with their tenure home in the LOG are entitled to select one external speaker per academic year. The CC Chair will solicit these choices early during the Fall semester (September) of the academic year for the following academic year. A deadline for choices should be set by the CC. If more than 20 nominations are received, the CC will choose the 20. In choosing the 20, preference should be given to Assistant Professor's choices, the needs of Genetics 707/708, gender balance and diversity. Assistant professors are encouraged to use their choice to host a senior researcher with whom they seek to develop professional relationship and who

may someday be suggested as a potential person to provide an external letter of evaluation during the tenure process.

LOG Faculty-Trainer nominations: If fewer than 20 nominations are made by LOG faculty in Stage 1, the remaining slots will be filled by a *nomination-election* process that involves all trainers in the Genetics Graduate Program. In October, the CC will solicit nominations for external speakers from both LOG faculty and non-LOG Genetics Trainers. Each faculty/trainer may make up to three nominations. The LOG IT specialist (currently Isaac Knoflicek) will set up a web form for nominations to be submitted (sample attached). After the nomination process is complete, the CC should screen the list to consider removing any nominees who have spoken at UW recently and any who are already selected to speak to another UW series in the year ahead. The LOG IT specialist will then set up a web ballot of the nominees (sample attached). LOG faculty and non-LOG Trainers will vote separately on the nominees. The number of votes per faculty/trainer might be set equal to the number of available speaker slots (e.g. 10 if there are 10 slots left to fill).

When the voting is complete, the LOG IT specialist will forward the vote counts to the CC Chair (sample attached). The CC will select external speakers to fill the remainder of the 20 slots based on the number of votes a nominee received, the needs of Genetics 707/708, an appropriate balance of different areas of genetics, gender balance and diversity. The CC should use its judgment when there are vote ties or small differences in vote tallies that are deemed insignificant.

Once the final list is constructed, the CC will notify the hosts that they can invite their nominee. Invitations should be made during the Fall semester for the following academic year. The LOG IT specialist can set up a web page showing available colloquium dates and update this list as speakers choose their dates. A link to this list of dates could be provided to the invitees when the host emails them.

Some of the selected nominees will likely decline the invitation. The host of a nominee who declines should inform the committee Chair as soon as possible when this happens. If the declining nominee was from the *internal* process, the nominator can make a replacement nomination. If the declining nominee was from the *nomination-election* process, the CC should select the replacement from the list of remaining nominees on the ballot.

At the beginning of the speaker selection process, the CC needs to check with the Department Chair concerning the number of external speakers for which funds are available. The 20 external speaker slots are subject to availability of funds to support their travel. Currently, the Genetics Training Grant supports 16 speakers per year. The LOG has other flexible funds that can be used to support 4 additional speakers. Currently, these include Human Genetics, Cancer Genetics, and the J. F. Crow speakers funds. Nominations for speakers in these areas is encouraged.

Cancellations/Rescheduling: If a speaker cancels, the host can work with the CC to reschedule the speaker either later in the same year or in the next academic year. Before rescheduling, hosts are asked to gauge whether the speaker is genuinely interested in coming to UW so we can avoid serial cancellations by the same person, which has unfortunately been a problem.



Genetics Colloquium – Spring 2016

We are soliciting suggested speakers (External or UW) for the Genetics Colloquium for Spring 2016. Please enter your suggestions below. By making a suggestion, you are agreeing to act as the host should they be selected and come to present a seminar. The speakers will participate in our Genetics Round Table course (Genetics 708).

On April 21, the Genetics Department will begin reviewing the list of suggested speakers and make selections. We will aim to select speakers with broad appeal within the genetics community on campus.

You can suggest multiple people. After completing the form, click on the red ">>" button, and you will have the option of entering additional suggestions.

Your name:

Name and university of suggested speaker:

Likely talk topic:

One sentence justification:

>>

Please choose the 10 speakers you would most like to come to the Fall Colloquium

Andrew Dillin-University of California Berkeley

Role of mitochondria and protein control in aging.

Andy has done outstanding genetic work in this area employing multiple model organisms. He is an outstanding speaker.

Praveen Sethupathy

Long non-coding RNAs in humans

Praveen did his postdoc with Francis Collins at NIH, and is an expert on long, noncoding RNAs, which is a topic that's very hot right now; he is in the Human Genetics dept. at UNC-CHape Hill.

Ivan Moskowitz, University of Chicago

Genes involved in heart development.

Ivan was a graduate student with Joel Rothman here in Madison and has done some elegant ENU mutation screens in mice, leading to the identification of novel genes involved in heart development.

Gloria M. Coruzzi, New York University

Plant Systems Biology. Her goal is to identify gene regulatory networks in plants using a combination of genetic, genomic, bioinformatic, and systems biological approaches. She has two main areas of inquiry: 1. A systems approach to nitrogen networks & the Virtual Plant; 2. Comparative Genomics of Seed Evolution.

Dr. Coruzzi is one of the leaders in plant evolution and systems biology.

David Stern, Janelia Research Campus

Molecular basis of behavior evolution in Drosophila

David Stern would engage evolutionary geneticists, Drosophila geneticists, neurogeneticists, and those who study gene regulation (and he has already expressed interest in visiting us).

Dan Gottschling, Calico

Dan has had many high profile papers on aging in yeast. He does pioneering work deciphering the mechanisms through which mothers cells age yet buds that become daughters are born anew. Several recent Nature papers on the topic.

Dan is a leader in the aging field, using yeast as a model. He gives exceptional talks, is a proponent and defender of model organisms, and all around awesome guy.

Andy Fraser, U. Toronto

Andy works on the function and evolution of genetic networks, primarily in C. elegans but also through comparative genomics across species. He had a recent Cell paper looking at natural variation in gene-knockdown phenotypes in two different C. elegans lines which he nicely linked to natural variation in disease susceptibility. Likely to be a good talk targeted at a broad genetic audience.

Good speaker, broadly interesting topic that is likely of interest to many folks on campus.

Joanna Wysocka

Chromatin and transcription dynamics during development

She is an outstanding investigator who gives great talks. The topic is of broad interest to many investigators at UW.

Speaker	Trainers Votes	Faculty Votes	Nominator
David Stern	13	9	John Pool
David Reich	11	9	John Pool
Stan Fields	12	8	Chris Hittinger
Feng Zhang	12	8	Rupa Sridharan
Andrew Dillin	7	9	Tomas Prolla
Ellie Heckscher	9	7	Kate Oconner-Giles
Craig Pikaard	13	5	Xuehua Zhong
Dan Gottschling	7	6	Audrey Gasch
Gloria M. Coruzzi	6	6	Jean-Michel Ane
Joe Thornton	6	6	Chris Hittinger
Qiufu Ma	6	6	Xin Sun
Chris Doe	11	4	Ahna Skop
Andy Fraser	7	5	Audrey Gasch
Carole Ober	6	5	Xin Sun
David Walker	5	5	David Wassarman
Richard Kolodner	4	5	Jue D. (Jade) Wang, Ph.D.
Xinnian Dong	7	4	Xuehua Zhong
Ben Blackman	5	4	Rick Amasino
Wendy Chung	4	4	Xin Sun
Jean Cook	6	3	Catherine Fox
Michael A. Savageau	6	2	Laurence Loewe
Daniel McKay	6	2	Melissa Harrison
Anjana Rao	2	3	Rupa Sridharan
Doris Wagner	8	1	Xuehua Zhong
William Greenleaf	3	2	Rupa Sridharan
Ivan Moskowitz	6	1	Alan Attie
Praveen Sethupathy	6	1	Jeff Hardin

Course Evaluation Policies and Procedures

Purpose

A course evaluation is required for every course taught by faculty with appointments in the Laboratory of Genetics. This helps our faculty continue to develop as teachers and mentors and provides critical information for promotions and awards.

All Laboratory of genetics courses must be done electronically to assure compliance, improve consistency, and reduce the administrative burden on faculty.

Content

A standard course evaluation has been created with feedback from department faculty. This course evaluation will be used by default, though if a faculty member wishes they can include additional, course specific questions.

For courses taught by multiple instructors each question will have a response line for each instructor.

For teaching assistants there is a separate template where students can select the TA they worked with most during that semester and all responses will be associated with that one chosen TA.

Administration

Three weeks before the last class Genetics IT will pull a list of all Genetics and Medical Genetics course rosters. This course will be vetted by the department Student Services Coordinator and Vice-Chair to ensure all classes are accounted for.

Approximately two weeks before the last class Genetics IT will use the campus funded Qualtrics Survey software to create an instance of the course evaluation survey for each class being taught that semester by a Laboratory of Genetics faculty. Any customized questions must be submitted to support@genetics.wisc.edu at least one week prior to the start of the last week of class.

On the Monday of the last week of class each student will receive an email with a unique link to the course evaluation survey, this will enable us to send additional notifications to students who have not completed the survey. Students who have not completed the survey will receive an additional notifications one week later.

Results

Surveys will be closed on the day grades are due and Genetics IT will compile the responses into anonymized reports for each class. One copy will be emailed to the instructor as soon as possible, and another will be saved to an administrative location on the departmental file server.

Important Dates

Surveys finalized - One week before distribution

Distribution – The Monday of the last week of class

Reminder – One week after distribution

Surveys close/Results - Two weeks after last class

Isaac Knoflicek and John Doebley – April 22, 2015

Deep Thought
June 19, 2018

Policy on use of and access to Deep Thought and other IT resources:

1. Genetics Department Faculty and students/staff in Genetics Department Faculty labs can use Deep Thought and have an account on it.
2. Non-Genetics Department personnel on campus (including Genetics Trainers in departments other than Genetics) are **not** allowed use of Deep Thought
3. If non-Genetics personnel want to use Deep Thought, Isaac should refer them to the Department Chair who will take their request to the Advisory Committee. *The Chair and the Advisory Committee should consult the principal users in the department before granting access to non-departmental users. The needs of users in the department are paramount.* However, Genetics discourages use by non-Genetics personnel. We don't want to make Genetics Department people compete with non-Genetics people for time on Deep Thought.

Deep Thought is an important tool for several labs in Genetics. The cost of administering it is shouldered by the faculty/staff of Genetics. It is not a campus resource.

F&A Return 2019

The department will return a portion of F&A to the labs that generate it. These are flexible funds that can be used for equipment, supplies, travel, and other costs.

Rules:

1. F&A return is only for faculty who are the instructor of record for at least $\frac{1}{2}$ of a 3-credit course per year as measured in terms of classroom contact hours averaged over the current and prior academic year. Guest lectures do not count. An exception to the teaching requirement may be made for assistant professors.
2. F&A return is not given to faculty on bridge funding within the last year.
3. A threshold of \$600 must be reached to receive a return.
4. If a lab requests bridge funding within the coming year, the amount returned as part of this exercise will be considered part of their bridge funds.

Formula

Each year, Central Administration returns about 20% of F&A in grants to colleges/schools. The percentage changes a little from year-to-year. Currently, CALS returns ~40% of their 20% to departments, and SMPH returns ~50% of their 20% to departments.

The amount returned by the Department to our PIs is based on the amount returned to us by their Dean. Before calculating the amount returned, a \$2000 Chair's Tax was applied to support the Genetics Colloquium, the Departmental Computer Servers/Deep Thought and shared equipment. These are items that benefit all faculty in the department. F&A from the training grant is also retained, as F&A is used to support the graduate program. For the current year, 34% of the amount that the Deans returned to the Department will go to qualifying PIs. This leaves a comfortable reserve to cover costs the Department expects to incur.

Formula for F&A returned to individual labs:

T = amount of F&A returned by the Dean (CALS=\$47,457; SMPH=\$75,528).

F = amount of F&A derived from an individual faculty member's grants.

$L = 60\%[F - \$2000]$ = amount returned to a lab.

Lab	Amount
Lab_1	14,309
Lab_2	10,546
Lab_3	5,793
Lab_4	4,349
Lab_5	3,197
Lab_6	2,697
Lab_7	1,129

Chair's Policy on Facilities and Space Assignments

August 8, 2019

To help assure consistency and clarity in use of Genetics Department facilities and space, the principles below serve as a guide to how decisions on space and facilities are made.

- **Genetics Laboratory Space** includes all laboratory space in the portion of the Genetics Biotechnology Building assigned to the Laboratory of Genetics (LOG). This space includes laboratories, common equipment rooms, autoclave-dishwasher rooms, the seed storage room, cold rooms, walk-in incubators, fish, fly and plant growth chambers and rooms.
- **Genetics Office Space** includes all offices in the portion of the Genetics Biotechnology Building assigned to the Laboratory of Genetics (LOG).
- **Genetics Resident Faculty and Staff** is a faculty or staff member whose laboratory and/or office space is located in the Genetics portion of the Genetics/Biotechnology Building and thus whose grants are administered by the LOG.
- Faculty should be assured of stability and reliability regarding the use of office and laboratory space.
- Meeting rooms and classrooms in the Genetics portion of the Genetics/Biotechnology Building are for the use of all faculty with appointments in the Laboratory of Genetics (LOG).
- Genetics Office and laboratory space is for the use of Genetics Resident Faculty and Staff.
- Both Genetics Office and Laboratory space can be reassigned by the Executive Committee or the Department Chair acting on behalf of the Executive Committee.
- Faculty do not have the right to reassign or loan either their office or laboratory space to others whether members of the LOG or not.
- The Executive Committee or the Department Chair acting on behalf of the Executive Committee may assign laboratory or office space to non-resident faculty, however such assignments should be done only if the space is not needed by a resident. When space is assigned to a non-resident, the Chair should arrange to recover funds for the rental of the space by (1) charging rent at the campus rental rates for laboratory and office space or (2) recovering indirect funds (F&A) from the non-resident occupant's grants.

GENETICS POLICY for HOSTED MEALS REIMBURSEMENT
August 24, 2015

Meal	Number of people reimbursed	Individual Participant	Max Amount Allowable	Includes	Note
BREAKFAST	2	Host & Speaker	\$25 (\$12.50/per person)	meal, tax, & tip	All others pay own
LUNCH 1	2	Host & Speaker	\$40 (\$20/per person)	meal, tax, & tip	All others pay own
OR					
LUNCH 2	Class	Students/ Speaker	\$12/person	Pizza, tax, & tip	
DINNER-Tuesday	2	Host & Speaker	\$75 (\$37.50 per person)	meal, tax, & tip	All others pay own No alcohol
DINNER-Wednesday	4	Host/Speaker/ 2 Guests	\$180 (\$45.00 per person)	meal, tax, & tip	All others pay own No alcohol

- Host pays for speaker and covered guest(s) (Wed. dinner) and turns in only one itemized, original receipt with name of restaurant and date on it.
- Wine/alcohol costs will not be reimbursed.
- Tax and tips (15% limit) included in the maximum allowable amount.
- Must provide complete first & last names, title, and department or affiliation (if not UW*) for all attendees.
- On some occasions such as hosting potential donors to the Department, different limits may be set at the discretion of the Chair.
- The amount reimbursed can not exceed the number of people times the per-person rate. For example, if only three people attend the Wednesday dinner, then the maximum is \$135.00.

University Guidelines
<http://www.bussvc.wisc.edu/acct/policy/travel/meals.html>

GENETICS POLICY for HOSTED MEALS REIMBURSEMENT

Faculty Interview Visit

Approved December 22, 2016

Meal	Number of people reimbursed	Individual Participant	Max Amount Allowable	Includes	Note
BREAKFAST	3	Host/Candidate / 1 Guest	<u>\$12.50/person</u>	Meal & tip (tax exempt # ES40706)	All others pay own
LUNCH	3	Host/Candidate/ 1 Guest	<u>\$20/person</u>	Meal & tip (tax exempt # ES40706)	All others pay own
DINNER	4	Host/Candidate/ 2 Guests	<u>\$55/person</u>	Meal, \$10 alcohol/person & tip (tax exempt # ES40706)	All others pay own; \$10 alcohol/person

- If requesting more than the above, you need to send your request in writing to the Department Chair for **prior approval**.
- **Wine/alcohol for Dinner: \$10/person.**
- **Tax Exempt # ES40706:** Let the waiter or cashier know that you are on University of Wisconsin business -- laminated card available in mailroom.
- Tips (15% limit) included in the maximum allowable amount.
- Host pays for candidate and covered guest(s) and turns in **only one** itemized, original receipt with name of restaurant and date on it.
- Must provide complete first & last names, title, and department or affiliation (if not UW*) for all attendees.
- Food must be purchased from a licensed vendor.
 - **Raw food cannot be purchased and prepared** by non-licensed vendors (like the host or other staff/faculty).

University Guidelines

<http://www.bussvc.wisc.edu/acct/policy/travel/meals.html>,

<http://www.bussvc.wisc.edu/purch/ppp10.html>