

FACULTY AND ACADEMIC STAFF RULES AND PROCEDURES – PART III, ARTICLE FOUR

PERSONNEL POLICIES AND PROCEDURES

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Personnel rules and procedures for faculty and academic staff at the University of Wisconsin-Eau Claire are authorized by and in conformity with policies established at state and System levels. The chief source of personnel policies is the section of the Wisconsin Administrative Code which applies to the University of Wisconsin System.

WISCONSIN ADMINISTRATIVE CODE UNIVERSITY OF WISCONSIN SYSTEM (UWS)

The Wisconsin Administrative Code is a collection of state agency rules developed by the policy-making body of each State of Wisconsin agency under authority provided in the Wisconsin Statutes.

The section of the Wisconsin Administrative Code pertaining to the University of Wisconsin System is officially entitled *Rules of Board of Regents of the University of Wisconsin System* (abbreviated UWS). The following chapters of UWS relate directly to faculty and academic staff:

UWS 1-6	<i>Personnel Rules for Faculty</i>
UWS 8	<i>Faculty/Academic Staff Code of Ethics</i>
UWS 9-13	<i>Academic Staff Rules</i>
UWS 19	<i>Sick Leave</i>

Relevant portions of the text of UWS as published by the Board of Regents are furnished to all faculty and academic staff members at UW-Eau Claire.

Local Implementation of UWS

Board of Regents rules call for the development of local rules to implement UWS at each institution of the System. At UW-Eau Claire, chapters of UWS applying to faculty and those applying to academic staff have been implemented by various actions of the University Senate, recommended to and approved by the Chancellor.

Content and Plan of Chapter Five, *Faculty and Academic Staff Handbook*

Except for a few essential definitions, the text of UWS is not reproduced here; however, reference to the appropriate chapter of UWS precedes all local implementation.

- Local implementation of UWS is identified by the prefix "UWEC."
- Policies which derive from sources other than UWS are assembled under the heading "General Policies and Procedures."
- Most personnel rules, policies, and procedures for faculty and those for academic staff appear separately in the chapter. Policies on Ethics, Sick Leave, and Absence from Duty pertaining to both faculty and academic staff appear after the academic staff personnel policies. The chapter ends with procedures for the selection and evaluation of administrators, emeritus status, commencement, and separation from employment.

Definitions: Faculty and Academic Staff

UWS 1.01 Academic Staff

"Academic Staff" means professional and administrative personnel, other than faculty and classified staff, with duties and types of appointments that are primarily associated with higher education institutions or their administration.

UWS 1.04 Faculty

"Faculty" means persons who hold the rank of professor, associate professor, assistant professor, or instructor in an academic department or its functional equivalent in an institution. The appointment of a member of the academic staff may be converted to a faculty appointment in accordance with UWS 3.01 (1)(c).

UWS 1.05 Faculty Status

By action of the appropriate faculty body and Chancellor of an institution, members of the academic staff may be designated as having "faculty status." Faculty status means a right to participate in faculty governance of an institution in accordance with the rules of the institution. Faculty status does not confer rank or tenure or convert an academic staff appointment into a faculty appointment.

Academic staff with faculty status are defined as University Faculty for purposes of participation in governance (see Chapter 3, Article One: The University Faculty, Section C).

Emeritus Titles

Emeritus faculty and academic staff titles are conferred by the Chancellor of an institution according to criteria established by the institutional faculty and academic staff.

(For UW-Eau Claire policy, see Emeritus Standing on page 89 of Chapter 5.)

Visiting Faculty

The title "visiting professor" (associate, assistant, or instructor) is used for individuals who come from outside the UW System to an institution for temporary academic assignments. Normally such assignments last not longer than one year. Use of these titles is primarily intended for faculty from other educational institutions (as opposed to visitors from, for example, government or industry). Normally, the title given should reflect the comparable rank at the individual's home institution.

Educational Preparation Code

The following educational preparation code was originally established by Res. #3650 and Res. #3668 of the Board of Regents of the former Wisconsin State Universities. It is presently used at UW-Eau Claire in establishing guidelines for starting salaries and for recognizing appropriate educational attainments of continuing instructional staff.

- Code 1** Any of the following three categories qualify for this rating:
- Ph.D.
 - Ed.D.
 - Earned doctor's degrees equivalent to the Ph.D. and Ed.D. requiring the minimum equivalent of three full years of graduate study beyond the baccalaureate.
- Code 2**
- Earned degrees requiring a minimum of three full years beyond the baccalaureate degree.
 - All requirements for the doctorate met with the exception of the completion of the dissertation.
- Code 3**
- A master's degree plus one full year of graduate study as measured by the institution where graduate work is applicable in a degree program.
 - A specialist degree or its equivalent.
 - Two-year Master's degree.
- Code 4**
- Master's degree.

- Code 5** • Bachelor's degree.
- Code 6** • No bachelor's degree.

Day

UWS 1.08 provides the definition of “day” for all actions to be completed within a specified number of days:

- Day shall mean calendar day.
- The first day shall be the day after the event, such as receipt of a notice or conclusion of a hearing.
- Each day after the first day shall be counted, except that a Sunday or legal holiday shall not be counted if it would be the final day of the period.

Faculty Personnel Policies and Procedures

Faculty Personnel Rules

Personnel actions for faculty include recruitment, appointment, periodic review, reappointment, granting tenure, and promotion in rank.

The Department Personnel Committee (DPC) is responsible for establishing criteria and procedures for periodic review, establishing criteria and procedures for evaluating performance, making recommendations on reappointment and granting tenure, and assisting the Department Chair in recruitment. The DPC is also responsible for communicating to faculty the criteria and procedures it currently uses in making these recommendations. Specifically, the DPC provides an opportunity annually for faculty to discuss the criteria and procedures contained in the departmental faculty evaluation plan.

All periodic review reports, evaluations of performance, and recommendations for appointment, reappointment, and granting tenure are forwarded to the Department Chair. The Department Chair is responsible for conducting his/her own periodic review of faculty members and evaluation of performance, and for making recommendations regarding appointment, reappointment, granting tenure, and promotion in rank to the Dean. The Department Chair informs the faculty in writing of the criteria used in the review processes.

Criteria for periodic review and evaluation of performance for purposes of reappointment, granting tenure, and promotion in rank must include, but are not limited to, the General Criteria of teaching effectiveness, academic advising ability, scholarly activity, and service to the University, the profession, and the public. These criteria are provided on page 19 of Chapter 5 of this *Handbook*.

DEPARTMENT PERSONNEL COMMITTEES

Membership

All tenured faculty with an assignment of 50 percent or more in the department, excluding the Department Chair and excluding tenured faculty members on paid or unpaid leave of absence of greater than 50 percent, shall be members of the Department Personnel Committee. A faculty member may hold membership on the Department Personnel Committee in only one department. If a faculty member holds a 50 percent assignment in each of two departments, the department in which he or she will be a member of the Department Personnel Committee shall be determined at the time the tenure appointment is made. Tenured faculty members who are (a) on sabbatical leave or (b) temporarily assigned (i.e., for a period of two years or less) to university duties outside the department or (c) teaching abroad remain members of the Department Personnel Committee and are expected to participate fully in the Department Personnel Committee unless they expressly elect to temporarily suspend their membership during their sabbatical leave, outside appointment or teaching assignment and inform their department chair of their decision. Temporary suspension of membership can affect the ability of the Department Personnel Committee and its subcommittees to formally organize and make recommendations (see below, “Organization” and “Functional Equivalent”). (US 04/09)

Even though the Department Chair is not a member of the Department Personnel Committee or of its subcommittees, the Chair may be invited to attend their meetings. The Department Chair shall call organizational meetings of the Department Personnel Committee as needed. The Department Personnel Committee shall elect a chair and a secretary, each of whom shall sign all official documents and communications from the committee.

Organization

In order to formally organize and make recommendations, a Department Personnel Committee must have three or more members.

Each eligible faculty member has a responsibility to serve on the Department Personnel Committee, and there is no provision for resignation from this committee. An individual must decline to participate in certain decisions of this committee when there is a danger of conflict of interest. If the failure of an individual faculty member to participate in this committee's actions reduces the number of participating members to fewer than three, then for the purpose of those actions, the functional equivalent (see below) shall replace the committee.

Functional Equivalent

If the Department Personnel Committee cannot be formed because of insufficient numbers of eligible members, then, unless the Department Evaluation Plan specifies other procedures for designating the functional equivalent of a Department Personnel Committee in such situations, the Department Chair or Unit Director shall operate as the functional equivalent of the Department Personnel Committee and must formally consult with those faculty eligible for membership on the committee. (US 11/07)

Consultation with the eligible members must be reported to the next administrative level. The Chair or Director shall provide written notification to those eligible members of the recommendation being forwarded, and those members must be provided an opportunity to attach written comments to be included with the recommendations forwarded through the administrative channels.

The functional equivalent shall be treated as the Department Personnel Committee in all respects and must adhere to the normal policies and procedures (including meeting announcement procedures) that govern the operation of the Department Personnel Committee except in those cases where the normal policies and procedures:

1. call for a recommendation to be submitted from the Department Personnel Committee to the Chair or Director. In this situation, the functional equivalent shall operate as the Department Personnel Committee and the recommendation shall be submitted directly to the next administrative level.
2. call for the Department Personnel Committee to assist the Chair or Director with a specific task. In this situation, the Chair or Director shall perform the specific task with assistance from the other members of the functional equivalent.
3. call for the Department Personnel Committee to take a specific action with input from the Chair or Director. In this situation, the functional equivalent shall be responsible for the specific action.
4. call for the Chair or Director to perform an evaluation independent from the evaluation performed by the Department Personnel Committee. In this situation, the functional equivalent shall perform the single evaluation.

In those cases where the Department Chair or Unit Director is the sole member of the functional equivalent, the normal meeting announcement procedures do not apply. (US 1/03)

Procedures

The Department Personnel Committee shall develop and approve written procedures for carrying out its charge. The Committee procedures shall be in harmony with University and UW System policies and procedures, which shall always take precedence.

Voting

All votes pertaining to a personnel action will be conducted by voice, by show of hands, by signed ballot, or by roll call. If any member of the voting body requests a roll call or signed ballot vote, then the vote must be conducted in that manner. In the case of signed ballot or roll call, the name and specific vote cast by each voting member must be recorded, preserved, and be available for public inspection.

In reporting the results of any personnel action requiring a vote, the vote count (votes for, votes against, votes abstaining) will be recorded on the appropriate official personnel form. That form will be provided to the individual under consideration in the personnel action at the same time that it is forwarded to the next appropriate administrative level (Chair, Dean, etc.).

To be considered a positive recommendation (e.g., supportive of reappointment, tenure, or promotion), a simple majority of the voting members must vote for the action (more votes “for” than votes “against”). Any personnel action that does not have a simple majority of the voting members voting for the action (either a tie or more votes “against” than votes “for”) is considered a negative recommendation (e.g., against reappointment, tenure, or promotion).

The right to vote is limited to members of an organization who are present in person or via synchronous discussion at the time the vote is taken at a legal meeting. (US 2/05; 4/05; 5/05)

Subcommittees

The Department Personnel Committee procedures shall provide for subcommittees as specified in the sections on Promotion in Rank and Post-Tenure Review. The Committee procedures may also provide for the delegation of any of the committee functions and responsibilities, other than those specified for the promotion and post-tenure review subcommittees, to one or more subcommittees whose membership must be formed with the membership of the Department Personnel Committee. (US 9/04)

Meetings

The procedures shall provide for at least one meeting of the Department Personnel Committee each academic year at which the Committee procedures and criteria used by the Committee shall be reviewed and may be modified according to the provisions set forth in the procedures.

Charge to the Department Personnel Committee

The Department Personnel Committee shall:

1. Establish criteria and procedures for periodic review of faculty performance as prescribed by University and UW System policies.
2. Establish criteria and procedures for making recommendations concerning the reappointment of probationary faculty, the rehiring of instructional and/or research academic staff, and granting tenure to faculty.
3. Establish criteria and procedures within the limits granted to the department for making salary recommendations.
4. Assist the Department Chair in developing and approving the departmental long-range plan.
5. Assist the Department Chair in the recruitment of faculty and instructional and/or research academic staff.
6. Make recommendations to the Department Chair concerning appointment and reappointment of faculty, hiring and rehiring of instructional and/or research academic staff, granting tenure to faculty, and the granting of faculty status to instructional and/or research academic staff, including a specific statement whether the recommendation is for or against these actions.
7. Implement personnel policies and procedures either delegated to or permitted at the department level.
8. Provide to faculty and instructional and/or research academic staff a copy of the current criteria and procedures used by the Department Personnel Committee, the promotion subcommittees, and any other subcommittees.

9. Annually provide an opportunity for faculty and academic staff to discuss the criteria and procedures used by the Department Personnel Committee and its subcommittees.

Unless otherwise provided, the procedures of the Department Personnel Committee shall be governed by Robert's Rules of Order. (US 12/03)

RECRUITING AND APPOINTMENT FOR FACULTY POSITIONS

Appointments to the faculty of the University of Wisconsin-Eau Claire are made by the Chancellor of the University. Initial appointments are typically for two years. Contracts may be offered for part- or full-time positions which are specifically restricted to one or two semesters.

To ensure compliance with University, State, and Federal rules and regulations, the University shall provide a regular schedule of training for members of Department Personnel Committees, Search Committees, Department Chairs, and Deans.

The University of Wisconsin-Eau Claire is an Equal Opportunity employer actively seeking applications from all qualified persons, whatever their sex, marital or parental status, race, color, religion, age, national origin, or handicap. Department Chairs and directors recruit for each position available according to the affirmative action guidelines provided in the UW-Eau Claire Affirmative Action Plan. The recruitment process begins with completion of the "Request to Recruit" form available from the Provost and Vice Chancellor's office. Written records are kept of all recruiting practices. (US 2/05)

UWS 3.01 Types of Appointments

UWEC 3.01

When a vacancy exists in an academic department, the Chair of the Department in consultation with the Department Personnel Committee (DPC) shall prepare a recommendation as to whether the vacancy is to be filled with a faculty appointment or an academic staff appointment. In formulating this recommendation consideration shall be given to, but not limited to, the staffing needs of the department, the tenure density of the department, the source of funding for the position, the responsibilities to be associated with the position, the number of years the position is expected to continue, and the provisions of Unclassified Personnel Guideline #1, Attachment #1, 4 – Instructional Academic Staff. The number of probationary faculty appointments in a department need not be limited to the number of anticipated vacant tenure positions. (FS 11/84)

When an academic department has a vacant probationary faculty position, upon the recommendation of the Department Personnel Committee, the Chair may recommend that the position be offered to one of the instructional and/or research academic staff members in the department without advertising the position. Such recommendation must be supported with documentation giving evidence that no useful purpose would be served by advertising the position, and that the academic staff member has the qualifications sought for the position and could be expected to prevail among the pool of applicants if the position were advertised. Upon approval by the Dean, the Affirmative Action Officer, and the Chancellor, the instructional and/or research academic staff member shall be offered the probationary faculty position. (FS 11/84)

UWS 3.02 Recruiting

UWEC 3.02

Academic departments shall develop a long-range staffing plan that includes a description of curricular needs, a description of the value of a diversified faculty/staff to those curricular needs, and a description of diversity recruitment strategies. The Affirmative Action Office will provide baseline data and information as necessary for this plan. When a vacancy exists in an academic department, the Chair of the Department shall forward a request to fill the vacancy and forward a recruitment plan that includes the department's diversity strategies to the Dean. In consultation with appropriate members of the faculty, the Chair shall develop a description of the position and the qualifications to be sought and forward that for approval to the Dean as well. All recruiting procedures shall be in accordance with the department's long-range staffing plans and with UW-Eau Claire's Affirmative Action Plan. (US 4/94)

Upon review by the Affirmative Action Officer and approval by the Dean of the College and the Provost and Vice Chancellor, the Department Chair shall publicize the vacancy in accord with the current Affirmative Action Plan and in an effort to secure as many qualified applicants as possible. (US 12/99)

The Department Chair shall obtain from the Affirmative Action Office the appropriate forms for recording the recruitment activity and for recording the qualifications of the applicants reviewed.

After the review of applications, the Department Chair in consultation with the faculty of the department shall select the best qualified candidate(s); and after review by the Affirmative Action Officer and approval of the Dean of the College and the Provost and Vice Chancellor, the Dean shall invite the candidate(s) to campus for interviews. If none of the candidates is acceptable, the Department Chair, in consultation with the faculty of the department, shall (1) revisit the pool for additional candidates, (2) readvertise in the same and/or different locations using exactly the same position description and requirements, or (3) close the search, and, *if appropriate*, determine what changes need to be made to either the position or the wording of the advertisement and request permission to begin a new search incorporating the changes. (US 12/03)

While on campus, the candidate or candidates shall be interviewed by members of the faculty, the Department Chair, and normally by the Dean of the College or Colleges in which the candidate will hold appointment, and the Provost and Vice Chancellor.

If the candidate or candidates are not acceptable to the department and/or to the administration, another candidate will be invited for interviews and so on, until an acceptable candidate is found. (FS 10/75)

Guidelines for Employment Interviews

The offices of Human Resources and Affirmative Action have cooperated in producing a set of guidelines, available upon request, to help interviewers formulate questions which will provide information needed to make a responsible decision without jeopardizing the University's equal opportunity commitment.

Reimbursement for Interview Expenses

Prior to inviting a prospective faculty member to the campus, the Dean of the College must secure the approval of the Provost and Vice Chancellor by means of a form provided for this purpose. All prospective candidates invited to campus will be reimbursed for travel, meals, and lodging expenses within the limits cited below.

When prospective candidates are invited to the campus, they must pay their own expenses and will be reimbursed to the extent authorized. Specific instructions for such expenses are:

Air Fare (or other commercial transportation)

Reimbursement will be at the economy tourist class rate. Provide the passenger copy of the ticket (receipts from travel agents or credit card slips are not sufficient for reimbursement).

Personal Car Mileage

Reimbursement will be at the state rate. Total cost may not exceed lowest jet fare. A table of state rates is available from Business Services.

Lodging

Provide the original machine-produced receipt from place of lodging. Reimbursement will be made up to the state limit.

Meals

No receipts are required. When meals are claimed, include departure and arrival times for the round trip. Reimbursement will be made up to the state limit.

After the applicant has made the trip to the campus for interviews, he/she should complete and sign a Travel Expense Report form. This report should be approved by the Department Chair (or functional equivalent) and forwarded to the Provost and Vice Chancellor, accompanied by the supporting evidence of transportation costs and lodging and a copy of the original Request for Authorization form previously signed by the Provost and Vice Chancellor, for processing of the reimbursement.

UWS 3.03 Appointments—General

UWEC 3.03

When an acceptable candidate has been found, the Department Chair on behalf of the department will prepare a recommendation for appointment including rank and salary. After review by the Affirmative Action Officer and upon recommendation of the Dean of the College, the Provost and Vice Chancellor shall prepare an appointment letter for the Chancellor's review and signature detailing the terms and conditions of the appointment, including, but not limited to, duration of the appointment, salary, starting date, ending date, general position responsibilities, probation-tenure status, and the crediting of prior service where appropriate.

The letter of appointment shall reference those portions of the Wisconsin Administrative Code (UWS) which pertain to faculty and the UW-Eau Claire Faculty Personnel Rules and procedures relating to faculty appointment. Copies of these rules will be provided after a contract is accepted.

All faculty and academic staff will be apprised of their governance rights by the department chair at the time of original hire. (US 12/99)

UWS 3.04 Probationary Appointments

UWEC 3.04

Appointment to a faculty position may be made initially with tenure status or probationary status. If a probationary appointment is made, previous full-time service as a ranked member of the faculty of other colleges or universities or comparable instructional service at this university may be included in calculating the probationary period at the University of Wisconsin-Eau Claire. Of the total years of such service, the portion to be included will typically not exceed three years, and may be less, and shall be determined at the time of initial appointment by the Chancellor upon the recommendation of the Department Personnel Committee, the Department Chair, the Dean of the College, and the Provost and Vice Chancellor. (FS 1/80)

The maximum probationary period for full-time faculty appointments shall be seven years of continuous service. The maximum probationary period for part-time positions of at least half-time shall be no more than the mathematical equivalent of seven years of full-time continuous service. For example, for a half-time appointment, the maximum probationary period shall be no more than fourteen years of half-time continuous service.

Leaves of Absence

Leaves of absence, sabbatical leaves, or retraining assignments shall not constitute breaks in continuous service nor shall they be included in the probationary period.

Responsibilities with respect to childbirth or adoption, significant responsibilities with respect to elder or dependent care obligations, disability or chronic illness, or circumstances beyond the control of the faculty member, shall not constitute breaks in continuous service nor shall they be included in the probationary period when those circumstances significantly impede the faculty member's progress toward achieving tenure. It shall be presumed that a request made because of responsibilities with respect to childbirth or adoption shall be approved.

Suspension of Tenure Clock

Requests to "suspend the clock" shall not be initiated once the tenure portfolio has been submitted for review. A request to "suspend the clock" for any of the above listed reasons must be made in writing to the department chair. The approved request must be forwarded along with the approval recommendation in turn to the Dean, Provost and Vice Chancellor, and Chancellor. The Chancellor in consultation with the Department Chair, Dean, and Provost and Vice Chancellor may grant the request. If the request is denied at any level, the denial must be based upon clear and convincing reasons and must be in writing.

More than one request may be granted because of responsibilities with respect to childbirth or adoption. More than one request may be granted to a probationary faculty member but the total, aggregate length of time of all requests, except for a request because of responsibilities with respect to childbirth or adoption,

granted to one probationary faculty member shall be no more than one year. If a faculty member has been in probationary status for more than 7 years because the clock has been "suspended" for one or more of the above reasons, then the person shall be evaluated as if he or she had been in probationary status for 7 years. Tenure is not acquired solely because of years of service. Granting tenure must result from an affirmative recommendation of the department and approval by the administration. (US 5/94)

PERIOD OF EMPLOYMENT AND RELATED POLICIES

General Policies and Procedures

Many of the policies quoted or summarized in this section derive from Academic Planning Statement #4 (abbreviated ACPS-4), entitled "University of Wisconsin System Policy on Academic Year Definition and Assorted Derivatives," approved by the Regents. The full text is available from the Office of the Provost and Vice Chancellor or on the Web at the following url: <http://www.uwsa.edu/acadaff/acps/index.htm>.

ACADEMIC YEAR (ACPS-4:1)

The contractual academic year consists of a full nine months (39 weeks) and includes not fewer than 34 weeks of organized services for students, including classroom instruction, registration, advising, and examining.

PERIOD OF EMPLOYMENT (ACPS-4:3, 4)

Most members of the instructional staff are engaged on an academic year appointment, which extends for the nine-month academic year specified in the UW-Eau Claire calendar as approved by the Board of Regents. The academic year ordinarily begins no earlier than one week before the first day of registration for the fall semester and concludes with the spring Commencement and the submission of all grade reports.

The instructional staff may be employed as needed for the Summer Session. An additional two-ninths of the academic year salary is paid for a full-time summer appointment. Summer employment cannot be guaranteed because it is contingent on enrollment, department needs, and the individual's preparation for available assignments. Preference is given to regular faculty members for Summer Session teaching before seeking off-campus candidates.

The instructional staff may also be employed as needed for the Winterim session and will be paid according to the UW-Extension schedule by rank/title. Employment is contingent on enrollment, department needs, the individual's preparation for available assignments and willingness to teach a three-week course immediately preceding the beginning of the spring semester.

The standard employment period for nonteaching positions is the annual appointment, extending over 12 months with the accrual of vacation at the rate of 22 working days per year. Compensation, sick leave, and vacation for employment periods of less than 12 months are prorated using the 12-month rates as the bases. If an employee is moved from an academic year to an annual appointment, compensation for the annual appointment is ordinarily computed as the academic year base plus two-ninths of the base.

UNANTICIPATED TERMINATION OF APPOINTMENT (ACPS-4:4)

In the event of unanticipated termination of service during the term of an appointment, payment for services shall be terminated or suspended following cessation of services. The final check shall be calculated so that the employee receives full compensation for the portion of the appointment which has been completed. The formulas for computing such compensation are available from the Director of Human Resources.

FULL-TIME TEACHING LOAD

A full-time semester teaching load is generally twelve credits or the equivalent. A full-time summer session load is eight credits. An alternative load measurement for a semester is based upon the number of student credit hours required to meet targets for student credit hour production within the various departments. A teacher who is assigned an overload will be compensated by a reduction in load a following semester. However, such overloads are approved only in very rare instances.

Teaching loads of departmental chairs are approximately nine hours in departments which have five to fifteen members, and six hours in departments which have more than fifteen members.

Faculty assigned to other appropriate professional activities, such as curricular development, student advising, pursuit of external grant support, research projects (generally involving students), coaching, directed or independent study with an individual or small groups of students, other scholarly/creative activities or administrative duties, will have their teaching load reduced. Such arrangements will occur only after careful consideration of the individual faculty member's professional goals and consultation between the faculty member, the Department Chair, and the College Dean. Position descriptions or memoranda of agreement will typically serve as documentation that variances have been approved by the College Dean.

The nonteaching elements of faculty workload for a semester typically include advising; serving on department, school, college, and/or university committees; providing public service; and conducting scholarly or creative activities. These elements are detailed in the annual performance review materials submitted by each faculty member and should also be reported, in summary form, in the departmental annual report as prepared by the Department Chair and forwarded to the College Dean and Provost and Vice Chancellor.

Faculty workload is initially determined by the Department Chair in consultation with the individual faculty member. A recommendation is submitted to the College Dean who reviews the workloads of all faculty in the College. The Provost and Vice Chancellor are ultimately accountable for the determination of faculty workload. (US 5/94)

UNANTICIPATED ASSIGNMENTS FROM UNIVERSITY SOURCES DURING THE PERIOD OF APPOINTMENT

General Policy (see ACPS-4:6a)

The salary received by full-time employees is considered to be full compensation for university activity during their appointment period. Thus, such employees may not receive compensation for an overload activity except through procedures and within standards provided in this policy.

Exceptions are subject to specific advance approval of the Provost and Vice Chancellor as the designee of the Chancellor and must be of an unusual, short-term, or non-recurring nature. Compensation for such exceptions cannot exceed the statutory limitations as defined in Wisconsin Statutes (Section 16.417(2)). This limitation (i.e., \$12,000 within any calendar year) is to be applied to all full-time employees (academic year or fiscal year). Under the statute NO exceptions to this statutory \$12,000 limit are possible.

MINI-SESSIONS DURING THE ACADEMIC YEAR (ACPS-4:6b)

Faculty may receive additional payment for mini-sessions scheduled during the academic year when the addition of a mini-session or inter-session results in a teaching load that exceeds the institution's regular expected teaching load for fall and spring semesters.

SUMMER SESSION AND POST-COMMENCEMENT MINI-SESSIONS (ACPS-4:6c)

For employment during the summer period, compensation received from the University may not in aggregate exceed two-ninths of the faculty member's academic year salary unless an explicit exception is granted by the Provost and Vice Chancellor as the designee of the Chancellor.

INTERINSTITUTIONAL INSTRUCTIONAL, CONSULTING, OR TECHNICAL SERVICES ON AN OVERLOAD BASIS (ACPS-4:6d)

Overload payment for such services may be authorized by the Provost and Vice Chancellor as the designee of the Chancellor if the service falls outside the faculty member's regularly assigned responsibilities, can be provided without adversely affecting performance of regularly assigned responsibilities, and is an activity of unusual, short-term and non-recurring nature. Additional information regarding UW System and UW-Eau Claire policy may be obtained from the Provost and Vice Chancellor.

OFF-CAMPUS CREDIT INSTRUCTION COORDINATED THROUGH UW-EXTENSION (ACPS-4:6e)

When taught by full-time faculty members during their appointment period, such courses are included insofar as possible as part of assigned full-time responsibilities. UW System and UW-Eau Claire policies regarding overload and ad hoc employment may be obtained from the Provost and Vice Chancellor.

UW-EXTENSION CONTINUING EDUCATION AND PUBLIC SERVICE PROGRAMS (ACPS-4:6f)

To the extent that needs can be anticipated, such assignments are included as part of the faculty member's full-time load. UW System policies may be obtained from the Provost and Vice Chancellor.

FUNDING FOR RESEARCH AND OTHER ACTIVITIES (EXTERNAL SOURCES)

(See also Research and Development Funding, Chapter 6)

Research and other activities that involve financial support from agencies external to the University of Wisconsin System play an important part in the growth of the University and in the professional development of its faculty. The following policies and procedures, consistent with Board of Regents policy, govern local university operations.

EXTRAMURAL FUNDS RECEIVED BY UNIVERSITY OF WISCONSIN-EAU CLAIRE

Any grant or contract for extramural funding which will be administered through the University of Wisconsin System must be accepted by the Board of Regents. Grant proposals must be cleared with Department Chairs, related Dean(s) and/or Directors, and the Office of Research and Sponsored Programs as a part of the UW-Eau Claire review/approval process. Assistance in preparing a proposal and arranging for UW-Eau Claire concurrence is available from the Office of Research and Sponsored Programs.

Request for released-time should follow the normal administrative channel from the Department Chair to the Dean of the College to the Provost and Vice Chancellor.

Compensation for those projects which are supported by extramural funds and administered through the UW System must comply with the provisions outlined in ACPS-4. *See Unanticipated Assignments from University Sources during the Period of Appointment* on page 5.16.

EXTERNAL FUNDS AS A DIRECT SOURCE OF COMPENSATION

Faculty receiving compensation directly from agencies external to the University of Wisconsin System must comply with the provisions outlined in UWS 8, Outside Activities, and the corresponding section of the *Faculty and Academic Staff Handbook*.

NON-UNIVERSITY EMPLOYMENT

The acceptance of any employment outside of the contract with the Board of Regents shall be with the concurrence of the Chancellor of the University. Part-time teaching or in-service assignments with any other institution of learning shall be by request of the faculty member and the approval of the Chancellor and the Board of Regents. In any case where remunerative employment is conducted with another agency, assurances must be provided that the Board of Regents has prior claim upon all services.

Non-university employment is subject to the provisions outlined in UWS 8, Outside Activities, and the corresponding section of the *Faculty and Academic Staff Handbook*.

FACULTY LEAVES

Leaves of Absence

Leaves of absence without salary may be granted for up to two years by the Chancellor of the University. These are considered upon the request of the faculty member and the recommendation of the Provost and Vice Chancellor.

Faculty Sabbatical Program (ACPS – 3.3)

The Faculty Sabbatical Program enables recipients to engage in intensive study in order to become more effective teachers and scholars and to enhance their services to the University. Faculty members are considered on the merit of their past academic contributions. They are eligible for sabbatical if they have completed six or more years of full-time service, or the equivalent, in the UW System and have not taken a sabbatical within the UW System during the previous six years of full-time service or equivalent. A faculty

member may take a sabbatical leave for one semester of an academic year at full compensation for that period or a sabbatical leave for an academic year at 65% of full compensation for that period.

The call for faculty sabbatical proposals is issued in March of each year for the academic year beginning 18 months later. A workshop on the sabbatical application procedures is offered in May. Proposals must be submitted to the Assistant Vice Chancellor for Research and Sponsored Programs for distribution to the screening committee. The deadline for submission of proposals, typically October 1, will be announced at the beginning of each fall semester. More complete information on the program is available from the Office of Research and Sponsored Programs.

REVIEW OF PERFORMANCE

General Policies and Procedures

UW SYSTEM POLICIES

On October 4, 1974, the Board of Regents approved policies requiring student evaluation of instruction for the following purposes: (1) improvement of instruction; (2) as information used in actions on promotion, retention, and granting tenure; (3) as information used in actions on salary increases. These requirements have been incorporated into local policies.

The full statement of the Board of Regents policies is available from the Office of the Provost and Vice Chancellor.

Faculty Personnel Rules

UWS 3.05 PERIODIC REVIEW

UWEC 3.05 Purpose

The University of Wisconsin-Eau Claire is committed to a continuous self-evaluation as one means of ensuring the quality of the education it offers students. The periodic review of faculty performance is an integral part of this process. As such, it has as its primary purpose the maintenance and improvement of the quality of instruction provided by the individual faculty member and the quality of programs offered at the departmental or College levels. Recognizing that teaching, research, professional development, and service to the public, the profession, and the University, as well as all other types of scholarly activity, contribute to the quality of educational opportunity available at the University, all faculty shall be evaluated in all aspects of the fulfillment of their professional commitment to the institution.

The Department Chair, the Department Personnel Committee (DPC), the DPC subcommittees, and designated academic administrators participate in one or more of the several phases of periodic review of each faculty member listed below.

Phase	Frequency	Initiated By
Salary Review	Annually	Department Chair
Reappointment Review	Annually through the fifth probationary year	Department Personnel Committee and Department Chair
Tenure Review	Prior to the seventh probationary year	Department Personnel Committee and Department Chair
Promotion Review	After satisfaction of applicable criteria	Department Personnel Committee (Appropriate Promotion Subcommittee) and Department Chair
Post-Tenure Review	During the fifth year following tenure or promotion, whichever is more recent and then during every subsequent fifth year	Department Personnel Committee (Appropriate Subcommittee)

(US 3/04; 9/04)

PROBATIONARY FACULTY

The information gathered through the various phases of periodic review of probationary faculty is used in making personnel decisions as well as in the formulation of plans for the professional development of the faculty member involved. To promote the retention of qualified probationary faculty, the institution encourages departments to assign mentoring teams to the new faculty, to monitor retention goals, and, in conjunction with the administration, work to enhance the intercultural climate. The evaluation policies and procedures shall respect the dignity and the academic freedom of the individual and shall recognize the importance of good staff morale to the achievement of academic excellence.

TENURED FACULTY

The information gathered through the various phases of periodic review of tenured faculty is used to ensure continuing growth and development in professional skills; to encourage faculty to explore new ways to promote academic excellence; and to identify areas for improvement and provide solutions for problem areas.

The periodic review of probationary faculty and of tenured faculty shall follow the same procedures as described below. The reviews may be incorporated into other departmental procedures for salary and other performance reviews at the department level.

CRITERIA FOR PERIODIC REVIEW OF FACULTY PERFORMANCE

1. General Criteria

Each periodic review of faculty must include, but is not limited to, consideration of teaching effectiveness, academic advising ability, scholarly activity, and service to the University, the profession, and the public. These criteria are defined as follows:

- a. Teaching Effectiveness means the success of the instructor in securing interest, effort, and progress on the part of students. The primary consideration is that students are stimulated to better standards of scholarship, to keener interest in learning, to greater professional understanding, and to more effective effort toward self-improvement.
- b. Academic Advising Ability means the effectiveness of the instructor in providing ongoing consultation for the student; in referring students to appropriate sources of assistance when necessary; in assisting the student in the development of a comprehensive, long-range academic and career plan and the selection of each semester's courses; and in monitoring the student's progress towards the fulfillment of all applicable degree requirements.
- c. Scholarly Activity means scholarship of a live and progressive character, manifested by continued study, scholarly interests, research, productive and creative work, and professional participation and performance. The essential test of such growth is the teacher's success in holding the respect and esteem of students and colleagues within his or her special field of study and in maintaining professional standards in keeping with those generally approved by the teaching profession.
- d. Service to the University, the Profession, and the Public means the acceptance and fulfillment of the responsibility to serve the University, the professions, and the public through various activities which take place outside the classroom.
 - 1) Service to the University refers to service on various committees, advisory boards, etc., at either the department, school, college, university, or system level.
 - 2) Service to one's profession refers to active participation in professional organizations at the local, state, national, or international level.
 - 3) Service to the public refers to participation in community movements of an educational nature, or in Continuing Education activities, or to using one's professional expertise in a consulting or advisory capacity to agencies, business, or individuals, or to similar types of activities through which the university achieves greater recognition and prestige in the community, state, and nation.

2. Department Criteria

Each phase of periodic review of faculty performance shall include, but is not limited to, consideration of teaching effectiveness, academic advising ability, scholarly activity, and service to the University, the profession and the public. The Department Personnel Committee (DPC) of each department or functional equivalent with input from the Department Chair shall develop and approve a written evaluation plan that defines each of these general criteria and describes the relative emphasis to be given to each criterion. The emphasis may vary depending on needs of the department, individual interests, and the stage of a faculty member's career. Upon approval by the DPC, the plan shall be submitted to the Department Chair, the Dean, and the Provost and Vice Chancellor who shall review the plan and, if it is determined to be acceptable, approve it in writing. The Department Chair shall distribute the approved plan to department members, thereby informing them of the agreed upon criteria. The Department Personnel Committee, the Department Chair, the Dean, and the Provost and Vice Chancellor shall use the agreed upon criteria in considering performance reviews.

The Department Personnel Committee shall annually review the Department Evaluation Plan and revise the plan as deemed appropriate. Revisions shall be approved in the same manner as the original plan. The Department Chair shall inform the department in writing of any agreed upon revisions in the plan.

If at any point during the development or revision of the plan agreement cannot be reached over any aspect of the plan, the next higher level (Department Chair, Dean, or Provost and Vice Chancellor) shall attempt to informally mediate any differences and to secure agreement so that the plan may move forward. If the Provost and Vice Chancellor's effort at informal mediation fails, the Faculty Complaint and Grievance Committee shall be convened by the Chancellor to examine the issues and to make a recommendation to the Chancellor concerning that portion of the plan for which an agreement could not be reached. The decision of the Chancellor is final. When the Faculty Complaint and Grievance Committee recommendation is supported by three-fourths of those voting, the Committee can expect that its recommendation will be supported except for only the most compelling reasons. (US 12/03)

PROCEDURES FOR PERIODIC REVIEW OF FACULTY PERFORMANCE

1. Procedures for Periodic Review by Department Personnel Committee

The committee or one of its subcommittees shall meet annually with all instructional staff of the department for the purpose of discussing the Department Criteria, the relative emphasis given to each of the criteria in the review of the individual faculty member's performance, and the procedures of the evaluation plan.

In addition to student evaluations, each phase of periodic review shall provide for peer judgments of performance and may be conducted by means of classroom evaluations, information presented by the faculty member, and information gathered by the DPC or its subcommittees. For nonteaching faculty, the plan shall follow the principles reflected in these guidelines with appropriate modifications based on the responsibilities and duties of the individual.

The departmental faculty evaluation plan shall include procedures which:

- a. Conform to the Wisconsin open meetings and records laws, the UW System rules and policies, and UW-Eau Claire policies, all of which shall take precedence.
- b. Provide forms and procedures for administering and analyzing student evaluations and promote the anonymity and integrity of those evaluations.
- c. Provide that the faculty member shall be given copies of all periodic reviews of faculty performance at the same time as such reports are submitted to the Department Chair or other administrators by the Department Personnel Committee or its subcommittees.
 - 1) Provide that each phase of periodic review of probationary faculty be forwarded through administrative channels to the Department Chair, Dean, Provost/Vice Chancellor, and Chancellor in the course of the reappointment process.
 - 2) Provide that each phase of periodic review of tenured faculty be forwarded to the Department Chair. After review the Department Chair will return the review to the faculty member and

acknowledge completion of the process to the Dean. Periodic reviews of tenured faculty for purposes of preparing promotion recommendations will take the place of the post-tenure review and will be forwarded through administrative channels according to the procedures for promotion.

- d. Provide that the faculty member be given an opportunity to examine his or her student evaluations.
 - e. Provide that the faculty member be given an opportunity to respond in writing to the student evaluations and the evaluation reports prepared by the Department Personnel Committee and that such responses are attached to the original documents before the evaluation report is forwarded to the Dean.
 - f. Afford the faculty member opportunities to submit to the Department Personnel Committee or its subcommittees any documents or information relevant to the evaluation of his or her performance, and/or request a meeting with the Committee.
 - g. Recognize that the Department Chair has the responsibility for maintaining the departmental personnel file for each staff member, including a record of the periodic evaluations, personnel decisions, and the information on which they are based.
 - h. Afford the faculty member an opportunity to review and respond to the information in his or her departmental personnel file.
2. Procedures for Periodic Review by Department Chair

In addition to student evaluations, each phase of periodic review by the Department Chair may be conducted by means of classroom observations, information presented by the faculty member, and information gathered by the Department Personnel Committee or its subcommittees. Following the completion of the each phase of periodic review, the Department Chair shall provide the faculty member with a written report on his or her performance. The faculty member shall have the opportunity to respond to this report in writing. This report, the information on which it is based, and the response, shall become a part of the departmental personnel file of the faculty member.

The Department Chair, in consultation with the Department Personnel Committee, will prepare a schedule for the regular (at least every five years) post-tenure review of the tenured faculty. An annual report to the Provost/Vice Chancellor identifying those tenured faculty reviewed during the year will be filed before the end of each academic year. (US 12/03)

Note 1: "Department" also refers to any functional equivalent of an academic department. (FS 3/76, in connection with the Faculty Personnel Rules replaced by this revision.)

Note 2: For purposes of review of faculty performance "peer" shall be defined as the tenured members of the department or functional equivalent, excluding the Chair. (FS 11/77)

SALARY RECOMMENDATIONS

Recommendations for salary adjustments shall be made in accordance with the state-approved pay plan, the pay plan guidelines from UW System, and the UW-Eau Claire Comprehensive Salary Plan developed by the University Senate and approved by the Chancellor. Salary recommendations shall be based on performance of assigned duties and must include consideration of student evaluations.

The Comprehensive Salary Plan shall provide at least two weeks for faculty to respond to all salary recommendations submitted on their behalf. The Comprehensive Salary Plan must also provide a mechanism to be used during those two weeks for hearing and resolving any faculty objection to a salary recommendation.

The Comprehensive Salary Plan shall use the base salary rate of the faculty member in calculating the next year's rate. The base salary rate may be reduced for a change in position with significantly different duties and responsibilities; disciplinary action; or by request of the individual faculty or instructional academic staff member.

The Comprehensive Salary Plan shall include a grandparent clause allowing all departments on "alternative pay plans" as of 01-Oct-2001 and that have not since selected to follow the Comprehensive Salary Plan to

continue to use their existing alternative pay plans for the distribution of all performance-based salary adjustments.

The Office of the Provost and Vice Chancellor shall maintain a copy of the Comprehensive Salary Plan as developed by the University Senate and approved by the Chancellor and shall ensure department compliance. (US 4/02)

REAPPOINTMENT

UWS 3.06 Renewal of Appointments

UWEC 3.06 RENEWAL OF APPOINTMENTS (PROBATIONARY FACULTY MEMBERS)

Recommendations pertaining to reappointment of probationary faculty members proceed through administrative channels from the departmental level to the Chancellor. The Department Personnel Committee is responsible for initiating reappointment or non-reappointment recommendations for all probationary faculty members in the department. These recommendations are forwarded to the Chair of the Department, the Dean(s) of the College(s) in which the probationary faculty member holds an assignment, and the Provost and Vice Chancellor. The Chair of the Department is then responsible for the development of a reappointment recommendation for each probationary faculty member in the department. These recommendations are forwarded to the Dean of the College in which the faculty member has his/her primary assignment, which in turn reviews the recommendations and forwards a recommendation to the Provost and Vice Chancellor, who in turn recommends to the Chancellor.

The Department Personnel Committee shall give the faculty member at least 20 days' advance written notice of the departmental review. This notice will inform the faculty member whether the review is to be conducted to determine a reappointment recommendation only or to determine a recommendation for tenure. This notice will also inform the faculty member of his/her right to present to the committee written information related to the criteria on which it will base its recommendation and of his/her right to request an opportunity to appear before the committee to explain the information presented.

The Department Personnel Committee shall forward to the Department Chair its recommendation, the reasons supporting that recommendation, and the number of votes for and against reappointment within 10 days of the time of the committee's vote. It shall at the same time inform the faculty member of its recommendation in writing. The faculty member shall not receive the reasons for the recommendation at this time.

Whenever a reappointment recommendation differing from that of the Department Personnel Committee's recommendation is sent forward, the Department Personnel Committee will be informed and an opportunity for consultation provided.

OTHER ADMINISTRATIVE RESPONSIBILITIES

The Department Chair shall meet with each probationary faculty member of the department for the purpose of communicating to him/her the judgment and suggestions regarding the faculty member's teaching and other academic responsibilities and to discuss his/her progress toward tenure.

The Department Chair shall make a recommendation and forward it, along with the Department Personnel Committee's recommendation and reasons, to the appropriate Dean within 20 days of the Department Personnel Committee's vote, at the same time informing the faculty member in writing of the recommendation.

The Dean shall make a recommendation and forward it, along with those previously made, to the Provost and Vice Chancellor within a reasonable time. He/she shall inform the faculty member in writing of his/her recommendation within 20 days of making it.

The Provost and Vice Chancellor shall make a recommendation and forward it, along with those previously made, to the Chancellor within a reasonable time. He/she shall inform the faculty member in writing of his/her recommendation within 20 days of making it.

Where the Department Personnel Committee recommendation is supported by 3/4 of those voting, the committee may expect that its recommendation will be supported by the Chair of the

department, the Dean, the Provost and Vice Chancellor, and the Chancellor, except for only the most compelling reasons. In such case, those compelling reasons will be communicated by the administrative officer making a recommendation different from that of the Department Personnel Committee to the Chair of the Department Personnel Committee for distribution to the tenured members of the department. (FS 3/75)

The providing of reasons upon request of a faculty member and the communicating of "compelling reasons" for reversing the recommendation of a Department Personnel Committee are separate actions. Reasons for non-reappointment shall be placed in the faculty member's official file (located in the Chancellor's office) only when the faculty member has requested them. When reasons for reversal are communicated to the Department Personnel Committee, they shall be accompanied by a statement limiting access to the reasons to the tenured members of the appropriate department. (FS 5/81; amended 10/81)

NONRENEWAL OF PROBATIONARY APPOINTMENTS

UWS 3.07 Nonrenewal of Probationary Appointments

UWEC 3.07(a) RULES AND PROCEDURES

If the decision of the Chancellor is to deny reappointment, the faculty member, within 20 days of being notified of the decision, may request from the Chancellor the reasons for the non-reappointment in writing. The Chancellor shall forward the request to the official or body making the initial negative recommendation. Within 10 days of the faculty member's request, that official or body shall supply the faculty member with all reasons given in support of its recommendation in writing. A copy of the reasons and notification shall be forwarded to the Chancellor and placed in the faculty member's official file. (FS 3/75)

UWEC 3.07(b) RECONSIDERATION

The faculty member, after receiving the reasons, may within 10 days request a reconsideration from the official or body making the initial recommendation not to renew. The faculty member must be given at least 10 days' advance written notice of the time of the reconsideration. The faculty member shall have an opportunity to respond to the written reasons and to present any written or oral arguments or evidence relevant to the decision. Reconsideration shall take place within 20 days of the faculty member's request.

The official or body reconsidering a negative recommendation shall forward its conclusion directly to the Chancellor within 5 days, at the same time notifying the faculty member of its recommendation in writing. If the new recommendation reverses the earlier recommendation for nonrenewal, the Chancellor, in consultation with the intervening levels of consideration, shall determine whether to reaffirm or reverse the previous decision, notifying the faculty member of the decision in writing within 10 days of the reconsideration. (FS 3/75)

UWS 3.08 Appeal of a Nonrenewal Decision

UWEC 3.08(a) APPEAL OF A NONRENEWAL DECISION

If the Chancellor reaffirms the nonrenewal decision following reconsideration, the faculty member may within 20 days (25 days if notice is by first-class mail and publication) request in writing that the Chancellor convene an appeals committee to consider evidence that the nonrenewal decision was based on prejudicial factors outlined in UWS 3.08. The Chancellor shall convene all members of the standing Faculty Termination Review Committee who have not been involved in the decision-making process. This group will select a Chair and a co-Chair who will select the five members to serve on the five-member Appeals Committee(s), which will function as outlined in UWS 3.08. Each Appeals Committee will select a Chair and a co-Chair from among its members. (US 12/94)

UWEC 3.08(b) APPEAL OF A DENIAL OF TENURE DECISION

If the Appeals Committee from the Faculty Termination Review Committee (FTRC) finds that a nonrenewal decision which results from a tenure denial during the probationary period was based in any significant degree upon impermissible factors, as defined in UWS 3.08, with material prejudice to the individual faculty member, and elects not to remand the case back to the department under UWS 3.08(c)(3) because it would serve no useful purpose, the Faculty Termination Review Committee shall appoint an ad hoc committee as follows:

1. Five or seven tenured members of the UW-Eau Claire faculty from substantially related fields who are not members of the probationary faculty member's academic department(s) or of any committee which has been involved in the nonrenewal appeal process for that faculty member.
2. With the assistance of the Office of the Provost and Vice Chancellor and the Dean of the College, a nonvoting consultant in the probationary faculty member's academic discipline, but from another college or university.
3. The FTRC shall make its appointments by a simple majority vote of the full FTRC.

The ad hoc review committee shall conduct a de novo review of the candidate's record with reference to the criteria for tenure contained in the University of Wisconsin-Eau Claire *Faculty and Academic Staff Handbook* and in the probationary faculty member's Department Personnel Committee Evaluation Plan. Both written records and verbal testimony may be used to review the record.

The Chancellor may recommend to the Board of Regents that a tenure appointment be granted without the concurrence of the appropriate department personnel committee or its functional equivalent if the ad hoc committee, following the customary decision rules of the department or its functional equivalent, has recommended that tenure be granted. The ad hoc committee's recommendation shall proceed through the same administrative channels as the DPC's recommendation.

If the ad hoc committee's decision is adverse, the faculty member may request a statement of reasons and a reconsideration by that committee. An adverse decision by the ad hoc committee, following such reconsideration, shall be final. (US 9/92)

UWS 3.09 Notice of Nonrenewal

A faculty member who is employed on probationary appointment pursuant to s.36.13, Stats., shall be given written notice of reappointment or nonreappointment for another academic year in advance of the expiration of the current appointment as follows:

1. When the appointment expires at the end of an academic year, not later than March 1 of the first academic year and not later than December 15 of the second consecutive academic year of service;
2. If the initial appointment expires during an academic year, at least three months prior to its expiration; if a second consecutive appointment terminates during the academic year, at least six months prior to its expiration;
3. After two or more years of continuous service at an institution of the University of Wisconsin System, such notice shall be given at least 12 months before the expiration of the appointment.

GRANTING TENURE

General Policies and Procedures

TENURE DECISIONS

The maximum probationary period in a full-time position is seven years. Therefore a tenure decision is made no later than the sixth year of a probationary faculty member's full-time service to the University. The procedure to be followed is that used in periodic review of faculty (UWEC 3.05), and must include, but is not limited to, a review of teaching effectiveness, academic advising ability, scholarly activity, service to the

University, the profession, and the public, and departmental needs. In reviewing teaching, departments must consider, among other factors, student evaluations.

If the decision is to grant tenure, it will become effective at the beginning of the academic year following the decision. If a decision not to grant tenure is made in the sixth year of service, the faculty member's service will be terminated with the completion of the seventh year. An appeal of a negative tenure decision can be made by the affected faculty member under the provisions of UWEC 3.08, Appeal of a Nonrenewal Decision.

DOCTORAL DEGREES AND TENURE

When a Department Personnel Committee deems an earned doctorate or other special preparation essential, probationary faculty members will be expected to have these qualifications before consideration for tenure will be given. The Department Personnel Committee shall inform the probationary faculty member of these expectations. In instances where no Department Personnel Committee exists, the Department Chair shall perform these functions.

GRANTING TENURE AND PROMOTION IN RANK

Granting tenure and promotion in rank result from separate recommendations. An individual may be promoted before obtaining tenure and may be granted tenure without promotion in rank. (US 12/91)

Faculty Personnel Rules

UWS 3.06 RENEWAL OF APPOINTMENTS AND GRANTING TENURE

UWEC 3.06 Granting Tenure

Granting tenure shall result from an affirmative recommendation of the department and approval by the administration. Such recommendation shall proceed in the same manner as a recommendation for reappointment. (FS 11/75)

(See *Charge to the Department Personnel Committees* on page 5.11 for the role of these committees in recommending the granting of tenure.)

PROMOTION IN RANK

General Policies and Procedures—Faculty

PROMOTION SUBCOMMITTEES

Membership

Promotion subcommittees shall consist of those members of the Department Personnel Committee who hold rank higher than those being considered for promotion to a particular rank.

Organization

There normally will be three such subcommittees in each department, to be known as (department name) Professorship Subcommittee, (department name) Associate Professorship Subcommittee, and (department name) Assistant Professorship Subcommittee. In order to formally organize and make recommendations, a promotion subcommittee must have three or more members.

Each eligible faculty member has a responsibility to serve on the appropriate promotion subcommittee. Moreover, there is no provision for resignation from this committee. An individual must decline to participate in certain decisions of this committee when there is a danger of conflict of interest. If the failure of an individual faculty member to participate in this committee's actions reduces the number of participating members to fewer than three, then for the purpose of those actions, the functional equivalent (see below) shall replace the committee.

Functional Equivalent

If any of the promotion subcommittees cannot be formed because of insufficient numbers of eligible members, then, unless the Department Evaluation Plan specifies other procedures for designating the functional equivalent of a Promotion Subcommittee in such situations, the Department Chair or Unit Director shall operate as the functional equivalent of the promotion subcommittee and must formally consult with those faculty eligible for membership on the subcommittee. Consultation with the eligible members must be reported to the next administrative level. The Chair or Director shall provide written notification to those eligible members of the recommendation being forwarded, and those members must be provided an opportunity to attach written comments to be included with the recommendations forwarded through the administrative channels. (US 11/07)

The functional equivalent shall be treated as the promotion subcommittee in all respects and must adhere to the normal policies and procedures (including meeting announcement procedures) that govern the operation of the promotion subcommittee except that recommendations for promotion shall be initiated by the functional equivalent and shall be submitted directly to the next administrative level.

In those cases where the Department Chair or Unit Director is the sole member of the functional equivalent, the normal meeting announcement procedures do not apply. (US 01/03)

Procedures

Initially, and as necessary thereafter, the Department Chair shall call meetings of the appropriate tenured members of the department for the purpose of organizing the promotion subcommittees. Only promotion subcommittees with three or more members will formally organize and make recommendations. Each promotion subcommittee shall elect a chair and a secretary, each of whom shall sign all official documents and communications from the subcommittee.

The promotion subcommittees shall operate autonomously in making their promotion recommendations. They shall use the criteria in the Department Evaluation Plan for arriving at their recommendations.

MINIMUM DEGREE AND EXPERIENCE REQUIREMENTS FOR PROMOTION

Promotion in rank shall not be automatic based solely on years at rank. These policies govern promotion in rank, not initial appointment to a rank at the time of hiring.

Credit for full-time years of experience at a rank shall be established at the time of hire.

Minimum years of full-time experience must be completed by the time of application and do not include the year in which the promotion evaluation occurs.

PROFESSOR:

1. Earned terminal degree, as specified by the professional teaching societies which represent the different disciplines (e.g., MFA is the earned terminal degree required for promotion within the art & design department in studio areas). Faculty members holding such degrees shall not be discriminated against by reason of their not holding a doctorate.
2. A minimum of 5 years of full-time equivalent (FTE) experience at the rank of Associate Professor of which at least two years are at the University of Wisconsin – Eau Claire. (US 4/07)

ASSOCIATE PROFESSOR:

1. Earned terminal degree (same as above).
2. A minimum of 5 years of full-time equivalent (FTE) experience at the rank of Assistant Professor of which at least two years are at the University of Wisconsin – Eau Claire. (US 4/07)

ASSISTANT PROFESSOR:

Earned terminal degree (same as above) or earned master's degree plus completion of coursework for the terminal degree and evidence of active progress toward the completion of the terminal degree.

EXCEPTIONS:

Exceptions to these minimum requirements may be made when it is believed that the faculty member's performance and contributions merit promotion.

CRITERIA FOR PROMOTION IN RANK

The criteria to be followed in determining promotion in rank are provided in the Department Evaluation Plan (see UWEC 3.05, Periodic Review). Peer judgments of faculty performance and student evaluations shall be considered by the promotion subcommittee in making promotion recommendations. Promotions from one rank in the schedule to another shall not follow automatically when a faculty member shall have raised his or her qualifications to meet the requirements of the rank above.

PROMOTION IN RANK AND GRANTING TENURE

Granting tenure and promotion in rank result from separate recommendations. An individual may be promoted before obtaining tenure and may be granted tenure without promotion in rank. (US 12/91)

CHARGE TO THE PROMOTION SUBCOMMITTEE

The (department name) Professorship Subcommittee, the (department name) Associate Professorship Subcommittee, and the (department name) Assistant Professorship Subcommittee shall recommend promotions within the department to the rank of professor, associate professor, and assistant professor respectively.

The appropriate promotion subcommittees of the Department Personnel Committee shall initiate recommendations for promotion which shall be forwarded to the Chancellor through the following review levels: the Chair of the department or functional equivalent, the Dean of the College, and the Provost and Vice Chancellor.

The process begins at the departmental subcommittee level with a formal nomination or request for promotion. Faculty members may request that they be considered by means of an application procedure developed at the departmental level. Nominations may be made by a member of the promotion subcommittee, the Department Chair, or other academic administrator. All requests for consideration or nominations should be submitted to the Chair of the appropriate promotion subcommittee with a copy sent to the Department Chair.

Departmental promotion subcommittees shall be responsible for giving formal consideration to all applications and nominations for promotion and for submitting a written recommendation for each application or nomination receiving a majority of affirmative votes. The subcommittees shall also inform each applicant or nominee in writing as to whether or not a recommendation supporting promotion has been forwarded to the Department Chair. The active status of all applications or nominations terminates with the academic year. Faculty may avail themselves of the appeal procedure (below) should they wish to question the decision of the promotion subcommittee. (FS 5/85)

All recommendations supporting a promotion in rank must be forwarded to the Chair of the department (or functional equivalent) not later than December 1 and shall include the number of votes for and against and an appropriate justification for the recommendation.

Recommendations shall be supported by documentation of the nominee's qualifications for the promotion and the record of the subcommittee's vote. The subcommittee's documentation and recommendation shall be forwarded through each successive level of administrative review along with the recommendation of the reviewing official. The Chancellor shall inform the candidate for promotion of his/her recommendation prior to or at the time the promotion recommendations are forwarded to System Administration. Thus, the recommendations made by the department promotion subcommittees will be considered at all administrative levels in the review process. Members of the faculty not recommended for promotion by the department promotion subcommittee shall not be considered at any other review level. (See Appeal Procedures, below.)(Amended FS 5/85)

If a department promotion subcommittee's recommendation for promotion is not supported at any successive level of review, the official responsible for the decision not to support the recommendation will, in a timely

manner, provide the promotion subcommittee chair and lower levels of administrative review with a written explanation of the decision not to support the recommendation. The subcommittee chair will share this communication with subcommittee members and the nominee, and if requested will call a meeting of the subcommittee to consider a response. (FS 11/79, amended 5/85)

Those faculty whose recommendations for promotion were not approved at administrative levels subsequent to the promotion subcommittee must have their request or nomination for promotion reactivated by the appropriate subcommittee should they desire to be considered for promotion during a subsequent year. The active status of all applications or nominations terminates with the academic year. (FS 5/85)

APPEALS OF DENIALS OF PROMOTION

Upon receiving written notice of a decision to deny promotion, a faculty member who meets the minimum degree and experience requirements for promotion to the rank sought may within 10 days formally appeal the negative decision to the next highest administrative level not involved in the contested decision. The faculty member's appeal shall be heard within 20 days of its initiation. It is the faculty member's obligation to provide good reasons why the negative decision should be overturned. After reviewing the relevant facts, the reviewer shall, within 5 days of hearing the appeal, decide the appeal and shall promptly inform the faculty member and all previous levels of review in writing of his or her decision and the reasons for it. If the reviewer reaffirms the negative decision, the faculty member may not appeal it. If the reviewer reverses the negative decision, the application for promotion shall be forwarded to the next higher administrative level, if any, though the faculty member may not appeal any subsequent negative decision of the current application for promotion. (US 4/08)

POST-TENURE REVIEW (US 9/04)

Post-Tenure Review Subcommittee of the Department Personnel Committee

MEMBERSHIP

Each post-tenure review subcommittee shall consist of members of the Department Personnel Committee that hold the same or higher rank as those being reviewed.

ORGANIZATION

Initially, and as necessary thereafter, the Department Chair shall call meetings of the appropriate tenured members of the department for the purpose of organizing the necessary post-tenure review subcommittees. For all assistant professors scheduled for a post-tenure review, a post-tenure review subcommittee shall be formed from all remaining members of the DPC holding a rank of Assistant Professor or higher. For all associate professors scheduled for a post-tenure review, a post-tenure review subcommittee shall be formed from all remaining members of the DPC holding a rank of Associate Professor or higher. For all professors scheduled for a post-tenure review, a post-tenure review subcommittee shall be formed from all remaining members of the DPC holding the rank of Professor. In no case shall a member of the DPC serve on a post-tenure review subcommittee during the same year in which he/she is also undergoing a post-tenure review.

In order to formally organize and perform a review, a post-tenure subcommittee must have two or more members. Each eligible faculty member has a responsibility to serve on all appropriate post-tenure review subcommittees. Moreover, there is no provision for resignation from these subcommittees. An individual must decline to participate in actions of the subcommittee when there is a real or perceived conflict of interest. If the failure of an individual faculty member to participate in the subcommittee's actions reduces the number of participating members to fewer than three, then for the purpose of those actions, the functional equivalent (see below) shall replace the committee.

FUNCTIONAL EQUIVALENT

If any of the post-tenure review subcommittees cannot be formed because of insufficient numbers of eligible members, then, unless the Department Evaluation Plan specifies other procedures for designating the functional equivalent of a Post-Tenure Review Subcommittee in such situations, the Department Chair in

conjunction with the faculty eligible for membership on the appropriate post-tenure review subcommittee shall operate as the functional equivalent of the post-tenure review subcommittee. (US 11/07)

The functional equivalent shall be treated as the post-tenure review subcommittee in all respects and must adhere to the normal policies and procedures (including meeting announcement procedures) that govern the operation of the post-tenure review subcommittee.

In those cases where the Department Chair is the sole member of the functional equivalent, the normal meeting announcement procedures do not apply.

CHARGE TO THE COMMITTEES

Each post-tenure review subcommittee shall be responsible for conducting a review of those faculty members who are scheduled for post-tenure reviews and who hold a rank no higher than that of any member of the subcommittee. Each review shall be both summative and formative in nature with the express purpose of both evaluating past performance and facilitating improvement in future performance. Each subcommittee shall develop a written evaluation for its assigned faculty members. For faculty below the rank of Professor, the evaluation must include explicit discussion of the faculty member's progress toward promotion to the next rank; subcommittee members at the same rank as the faculty member being reviewed shall be excluded from this specific discussion. For faculty at the rank of Professor, the evaluation must include explicit discussion of the faculty member's growth and professional development. The written evaluation shall not contain any recommendations as to administrative action to be taken as a result of the review. (US 5/08)

PROCEDURES

Each post-tenure review subcommittee shall give the faculty member at least 20 days advance written notice of the start of the post-tenure review process. This notice will inform the faculty member of his/her right to present to the committee written information related to the faculty member's performance and of his/her right to request an opportunity to appear before the committee to explain the information presented and to provide input to focus the formative portion of the evaluation. At the time the reviewing subcommittee forwards its written evaluation to the Department Chair, written notice must be given to the faculty member indicating that the review has been completed and that the written evaluation has been submitted. This notice shall include a copy of the written report and shall inform the faculty member of his/her right to discuss the report with the Department Chair and of his/her right to submit to the Department Chair a written response to the report within 5 days of the notice. After reviewing the submitted materials, the Department Chair may attach an additional written response to the subcommittee report. The Department Chair shall then return the evaluation and any responses to the faculty member and acknowledge completion of the process to the Dean.

POST-TENURE REVIEW OF THE DEPARTMENT CHAIR

The post-tenure review of the Department Chair shall adhere to the normal policies and procedures that govern all post-tenure reviews except that the most senior member of the post-tenure review subcommittee shall fulfill those responsibilities normally associated with the Department Chair. As with all post-tenure reviews, the evaluation of the Department Chair shall be conducted relative to the faculty performance criteria outlined in Department Evaluation Plan of the Chair's department. In particular, the Department Chair is to be evaluated against criteria for teaching, scholarship, service and advising. In those cases where there are no eligible faculty to serve on the post-tenure review subcommittee for the Department Chair, the Dean in consultation with the Department Chair, shall select three tenured faculty at or above the rank of the Department Chair and from disciplines similar to that of the Department Chair to serve as the post-tenure review committee. This committee shall be explicitly instructed to limit their review to the policies outlined in the Department Evaluation Plan of the Chair's department. The Dean shall appoint one member of the post-tenure review committee to assume the responsibilities normally delegated to the Department Chair in the post-tenure review process.

DISMISSAL FOR CAUSE

Faculty Personnel Rules

UWS 4 PROCEDURES FOR DISMISSAL (US 6/05)

UWEC 4.01 Dismissal for Cause

Any faculty member having tenure may be dismissed only by the board and for just cause and only after due notice and hearing. Any faculty member having a probationary appointment may be dismissed prior to the end of his/her term of appointment only by the board and for just cause and only after due notice.

A decision not to renew a probationary appointment or not to grant tenure does not constitute a dismissal (UWEC 3.07 and UWEC 3.08). Grievances alleging discrimination on the basis of sex, race, color, national origin, religion, handicap, or age shall be filed with the Affirmative Action Officer, according to procedures outlined in Chapter 4 Revisions.

Members of the faculty are entitled to enjoy and exercise all rights of a United States citizen and the rights and privileges of academic freedom as they are generally understood in the academic community. This policy shall be observed in determining whether or not just cause for dismissal exists. The burden of proof of the existence of just cause for a dismissal is on the administration.

UWEC 4.02 Responsibility for Charges

See UWS 4.02: Responsibility for Charges.

UWEC 4.03 Standing Faculty Committee

The faculty committee to operate as a hearing agent under UWS 4 shall be a committee of five faculty selected from the standing Faculty Termination Review Committee as follows:

The Chair of the Faculty Termination Review Committee shall call a meeting of the full committee and conduct the meeting at which the five-member Hearing Committee is selected. Those members of the Faculty Termination Review Committee who are not qualified to serve on the Hearing Committee as provided by UWS 4.06(b) shall first be disqualified. Then five members from those remaining shall be selected by lot to constitute the Hearing Committee. The Hearing Committee shall then elect a chair and proceed to conduct its business.

If replacements are needed because of further disqualifications under UWS 4.06(d) or because of official leaves, they shall be selected by lot from those qualified members of the Termination Review Committee not originally selected by lot to serve on the Hearing Committee. If further replacements are needed, they shall be selected by lot from eligible members of the Faculty Complaint and Grievance Committee. In those rare cases where further replacements are still needed, they shall be selected by the University Senate Executive Committee from eligible members of the faculty at large.

This committee shall operate as the hearing agent for the board pursuant to s. 277.59 Stats. and conduct the hearing, make a verbatim record of the hearing, prepare a summary of the evidence and transmit such record and summary along with its recommended findings of law and decision to the board according to s. UWS 4.07.

UWEC 4.04 Hearing Procedures for Dismissal Appeals

1. If a faculty member requests a hearing within twenty calendar days from the service of the statement of specific charges (25 calendar days if notice is by first class mail and publication), such hearing shall be convened no later than 20 calendar days after the request, except that this time limit may be extended by mutual consent of the parties or by order of the Hearing Committee.
2. The request for a hearing must be submitted in writing to the chair of the Faculty Termination Review Committee.
3. Within five working days of receipt of the hearing request, the Faculty Termination Review Committee Chair shall acknowledge, in writing, receipt of the request and shall provide a copy of the acknowledgement to the petitioner's dean or director. In the acknowledgement the chair shall ask the petitioner to submit a clear written statement of the reasons for the hearing request and any relevant documentation. The chair shall request, in writing, that the dean or director provide a copy of the statement of charges and any other relevant documentation. Such documentation may include (but is not limited to) information regarding the sequence of events leading to the charge(s), correspondence regarding pertinent events in the case, names of individuals with direct knowledge of those events, and

commentary regarding the nature of their knowledge. All documentation must be submitted to the Hearing Committee chair by the date set at the Pre-Hearing Conference (see UWEC 4.04, par. 5 and 6). Documents from the petitioner and from the dean or director will be exchanged on the date set at the Pre-Hearing Conference. Documents shall not be shared by the committee with either party prior to this date.

4. Hearing Procedures for Dismissal Cases

a. The Hearing Committee shall conduct a Pre-Hearing Conference within ten calendar days of receipt of the original hearing request. The Pre-Hearing Conference shall be held with all parties involved to:

- 1) confirm the names and official mailing addresses of all parties involved,
- 2) confirm that there is a dismissal appeal to be heard,
- 3) identify the applicable UWS and UWEC rules having jurisdiction over the matter,
- 4) state clearly the charge(s), the petitioner's interest in the matter, the remedy being sought,
- 5) hear any opening statements, pre-hearing motions, or closing statements made by the parties,
- 6) decide whether the hearing will be open or closed,
- 7) stipulate facts agreed upon, and
- 8) determine a timetable for the exchange of witness lists and documents.

A written summary of the Pre-Hearing Conference shall be distributed to all parties involved within one working day of the conclusion of the Pre-Hearing Conference.

b. The Hearing Committee subsequently shall convene to hear the appeal. The hearing shall proceed according to UWS and UWEC 4.04, 4.05, and 4.06. In consultation with the Hearing Committee, the chair shall be responsible for maintaining the decorum of the hearing and determining the relevance of the questions asked. It is recommended that the Hearing Committee pursue the following order of business:

- 1) The chair shall summarize the purpose of the hearing and the issues involved.
- 2) The chair shall ask both parties (the institution or its representative first and the petitioner second) whether they have any questions before the hearing proceeds. This order of presentation should be maintained consistently throughout the hearing.
- 3) The chair shall ask whether each party wishes to make an opening statement.
- 4) Each party shall have the opportunity to present documents and witnesses to support the case. Each party may pose questions to the witnesses.
- 5) The chair shall ask whether each party wishes to make a closing statement.
- 6) The chair shall inquire if there are any final questions and shall close the hearing.

c. Notwithstanding UWS 4.06(1)(b), the final deliberation of the Hearing Committee in the formulation of its recommendation(s) shall be in closed meeting as provided by Subchapter V, Chapter 19, Wis. Stats. The Hearing Committee shall allow for a minority report in all of its recommendations. The Hearing Committee's recommendations and the consideration thereof will proceed as specified in the UWS and UWEC 4.07.

5. The Hearing Committee is authorized to develop additional procedures not inconsistent with the provisions of Chapters UWS 4 and UWEC 4.

6. The timelines for hearings cited in UWS or UWEC rules may be extended by mutual consent of the parties involved or by order of the Hearing Committee.

UWEC 4.05 Adequate Due Process

See UWS 4.05: Adequate Due Process.

UWEC 4.06 Procedural Guidelines

See UWS 4.06: Procedural Guidelines.

UWEC 4.07 Recommendation to the Chancellor; to the Regents

1. The faculty hearing committee shall send to the Chancellor and to the faculty member concerned, as soon as practicable after conclusion of the hearing, a verbatim record of the testimony and a written copy of its report, finding, and recommendations. The report shall include:
 - a. the names and official mailing addresses of all parties involved,
 - b. a statement of the petitioner's request and the UWS and UWEC chapters and sections under which it was filed,
 - c. the Hearing Committee's findings of fact,
 - d. the Hearing Committee's conclusions of law, i.e., its rationale as to whether the alleged charges are valid or not, and
 - e. the Hearing Committee's recommendations to the Chancellor to
 - 1) dismiss the faculty member,
 - 2) impose a lesser disciplinary action, or
 - 3) find in favor of the faculty member, dismiss the charges against the faculty member, and remove any record of the charges from the faculty member's personnel file.
2. Within 20 calendar days after receipt of this material the Chancellor shall review it and afford the faculty member an opportunity to discuss it. The Chancellor shall prepare a written recommendation with 20 calendar days following the meeting with the faculty member, unless his/her proposed recommendation differs substantially from that of the committee. If the Chancellor's proposed recommendation differs substantially from those of the faculty hearing committee, the Chancellor shall promptly consult the faculty hearing committee and provide the committee with a reasonable opportunity for a written response prior to forwarding his/her recommendation. If the recommendation is for dismissal, the recommendation shall be submitted through the president of the system to the board. A copy of the faculty hearing committee's report and recommendations shall be forwarded through the president of the system to the board along with the Chancellor's recommendation. A copy of the Chancellor's recommendation shall also be sent to the faculty member concerned and to the faculty committee.
3. Disciplinary action other than dismissal may be taken by the Chancellor, after affording the faculty member an opportunity to be heard on the record. Upon written request by the faculty member, such action shall be submitted as a recommendation through the president to the board, with a copy of the faculty hearing committee's report and recommendation.

UWEC 4.08 Board of Review

See UWS 4.08: Board of Review.

UWEC 4.09 Suspension from Duties

See UWS 4.09: Suspension from Duties.

UWEC 4.10 Date of Dismissal

See UWS 4.10: Date of Dismissal.

LAYOFF AND TERMINATION

Faculty Personnel Rules

UWS 5 LAYOFF AND TERMINATION FOR REASONS OF FINANCIAL EMERGENCY

UWEC 5.04 Faculty Consultative Committee

The standing faculty committee to advise the Chancellor concerning fiscal emergency shall consist of the University Faculty members of the University Senate Executive Committee and the University Faculty Chairs (or elected University Faculty Representative) of the University Senate Academic Policies Committee, University Senate Faculty Personnel Committee and the University Senate Budget Committee. All members of this Committee shall have voting privileges. The Committee shall carry out the charges as detailed in UWS 5.05 and 5.06.

UWEC 5.08 Seniority

[The form of seniority to be followed is] without regard to rank, with seniority established by total years of service in the institution. (US 2/05)

1. Designation for reassignment or layoff shall follow the order of seniority according to years of service at the institution.
2. Seniority shall be determined by the date upon which the faculty members' duties began at the University of Wisconsin-Eau Claire and by the years of full-time service at the institution. Part-time service shall be counted for a corresponding percentage of time toward seniority. Service during the summer session, however, shall not count toward seniority. All leaves, TIA's and reassignments granted prior to 1 July 1976 shall be counted in determining seniority. All leaves and reassignments granted after 1 July 1976 shall be counted toward seniority, except that no more than two consecutive years of leave shall be counted.

For a faculty member holding a joint or split appointment, total seniority shall be calculated on the basis of time of service in the institution.

3. A faculty member who transfers to UW-Eau Claire shall not be allowed to count his/her years at the former institution as time toward seniority on the UW-Eau Claire campus.
4. When it is necessary to select from among persons of identical seniority:
 - a. Persons of lower rank shall be reassigned or laid off before persons of higher rank.
 - b. Among persons of identical seniority and rank, those not holding the earned doctorate or terminal degree normal for the discipline shall be reassigned or laid off first.
 - c. Among persons of identical seniority, rank and educational preparation, persons with fewer years in rank shall be reassigned or laid off first.
 - d. Among persons of identical seniority, rank, educational preparation and time in rank, other academic credentials shall be considered: teaching effectiveness, contributions to the discipline, scholarly development, professional affiliation and activity, and contribution to department or University. (FS 3/76)

UWEC 5.11 Faculty Hearing Committee

The Faculty Hearing Committee for purposes of UWS 5 shall be a committee of five faculty selected from the Faculty Termination Review Committee as follows:

The chair of the Faculty Termination Review Committee shall call a meeting of the full committee and conduct the meeting at which the five-member Hearing Committee is selected. Those members of the Faculty Termination Review Committee who are not qualified to serve because they participated in the lay-off decision or who will be material witnesses in the hearing shall disqualify themselves. Five members from those remaining shall be selected by lot to constitute the Hearing Committee. The committee shall then elect a chair and proceed to conduct its business. (FS 4/75)

UWEC 5.13 Hearing Procedure

The first order of business shall be consideration of a request for legal counsel, as provided by UWS 5.13(1), either from the Office of General Counsel, UW System, or from the Attorney General's office.

If replacements are needed because of further disqualification for cause according to 5.13(2), they shall be selected by the remaining members of the Hearing Committee from qualified members of the Termination Review Committee not originally selected by lot to serve on the Hearing Committee. If further replacements are needed, they shall be selected by the Hearing Committee from the eligible members of the faculty at large. (FS 4/75)

UWEC 5.18 Reappointment Rights

Where layoff or termination occurs for reasons of financial emergency, no person may be employed within three years to perform reasonably comparable duties to those of the faculty member laid off or terminated, unless the laid-off or terminated faculty member is first offered reappointment without loss of tenure, seniority, and other rights. The 3-year period shall be computed from the effective date of layoff as specified in the original notice. (FS 11/75)

UWEC 5.20 Rights of Faculty Members on Layoff

1. Faculty on layoff whose layoff status involves involuntary reduction of service but not indefinite suspension of service shall continue to have use of campus facilities and shall continue to participate in departmental and university activities on the same basis as faculty not on layoff.
2. Faculty on layoff whose layoff status involves indefinite suspension of service shall have the following rights to use university facilities and participate in departmental and university activities:
 - a. Faculty members on layoff shall continue to hold faculty identification cards and have access to those campus-wide facilities available to holders of faculty identification cards.
 - b. Faculty members on layoff may be provided personal office space and related facilities at the discretion of the appropriate department or administrative officer if such use can be shown to be productive of any one of the following: professional development, scholarly research, curriculum development, or public service.
 - c. Faculty members on layoff shall have the same rights to participate in university social and cultural activities as faculty members not on layoff.
 - d. Faculty members on layoff shall not participate in regular shared governance activities of the University, except that they may serve on ad hoc shared governance bodies specifically created to deal with issues involving layoff. (FS 3/76)

COMPLAINTS AND GRIEVANCES

Faculty Personnel Rules

UWS 6 COMPLAINTS AND GRIEVANCES

UWEC 6.01 and 6.02 Faculty Complaint and Grievance Committee

The local standing committee to act as a hearing agent for UWS 6.01 and 6.02 shall be the Faculty Complaint and Grievance Committee which shall consist of fifteen tenured faculty members elected by the faculty. Each member shall be elected for a three-year term with five terms expiring each year. The committee shall meet and elect a chair at the beginning of each academic year.

Any member of the Complaint and Grievance Committee shall be disqualified from serving on the committee during the consideration of a particular complaint or grievance in which the member is involved in the substance of the complaint or grievance. This would include, but is not limited to, cases in which a member makes the complaint or grievance or is the object of a complaint or grievance. Any question of disqualification shall be resolved by a majority vote of the committee members voting.

Five members from those remaining shall be selected by lot to consider the particular complaint or grievance in question. If more than ten members of the Complaint and Grievance Committee are disqualified from or, because of an official leave, are unable to participate in the consideration of a particular complaint or grievance, the committee shall be increased to five members for consideration of the particular complaint or grievance in question. The additional members shall be selected by lot from eligible members of the Faculty

Termination Review Committee. In those rare cases where further members are still needed, they shall be selected by the University Senate Executive Committee from eligible members of the faculty at large. (US 11/03)

UWEC 6.01 Complaints

All complaints alleging that conduct by a faculty member violates university rules or policies or adversely affects the faculty member's performance of his/her obligation to the University shall be made in writing to an appropriate university official.

The official receiving the complaint shall review the complaint and act on it within twenty days. He/she may dismiss the complaint, refer the complaint to the next administrative level, or, after notifying the faculty member involved and consulting with him or her, he/she may take disciplinary action. If the complaint is referred to the next administrative level, the same procedures and options shall exist except that at the level of Chancellor the action to refer the complaint to the Complaint and Grievance Committee is an additional option.

If disciplinary action is taken against the faculty member at any administrative level, the faculty member shall have a right to a hearing before the Complaint and Grievance Committee. Within twenty days after a request for a hearing, the committee shall meet and initiate action to evaluate the complaint and review the appropriateness of the administrative action. Within thirty days of its initial meeting, the committee shall issue a report that includes an evaluation of the complaint and a recommendation to the Chancellor to:

1. Dismiss the complaint and rescind disciplinary action—and remove any record of the complaint from the faculty member's personnel record, [or]
2. Affirm the disciplinary action, [or]
3. Rescind the disciplinary action and substitute action recommended by the committee.

A copy of this report shall be sent to the faculty member involved. The Chancellor shall act on the report and notify the committee of his/her action within twenty days of receiving the report.

The Chancellor also has the right to refer any complaint to the committee before any final administrative disposition of the complaint. The time limitation on committee action and the Chancellor's response shall be the same for complaints referred by a faculty member.

GENERAL PROCEDURES FOR COMMITTEE HEARINGS

The committee shall notify the faculty member of the specific charges in the complaint at least ten days before the initial hearing. These charges shall not include any charges that have been part of a previous complaint. The notice shall also inform the faculty member of his/her right to request an open hearing and/or to present a written statement answering the charges. The faculty member may also select witnesses to appear before the committee on his/her behalf. The hearing shall be restricted to consideration of the charges specified in the notification to the faculty member. (FS 10/75, amended 4/76)

UWEC 6.02 Grievances¹

A grievance is a personnel problem involving a faculty member's assertion of unfair treatment or of dissatisfaction with any aspect of his/her university rank, salary, or working conditions.

To the extent practical, all grievances should be settled through informal discussions at the lowest possible administrative level and may be discussed with progressively higher administrators in a mutually sincere effort to reach an acceptable settlement. (FS 11/86)

Any faculty member having a grievance that has not been resolved through regular university procedures may submit a written statement of his/her grievance to the chair of the Faculty Complaint and Grievance Committee. The committee will then determine whether it wishes to take formal action on the grievance or appoint a member or members of the committee to attempt informally to resolve the grievance in

¹ Appeals concerning promotion in rank follow the procedure described on p. 28, Chapter 5.

Appeals concerning nonrenewal of faculty members follow the procedure described on p. 23, Chapter 5.

consultation with the parties involved. If the grievance is not resolved to the satisfaction of the faculty member involved, the faculty member may request a formal hearing. The committee shall then meet as a formal body, conduct hearings, consider the validity of the grievance, and compile a final report.

The hearing shall be conducted as follows:

The committee shall notify the parties involved of the specific contents of the written statement of the grievance as submitted to the chair of the Faculty Complaint and Grievance Committee by the faculty member bringing the grievance. The notice shall also inform each of the parties involved of his/her right to request an open hearing and/or to present a written statement for consideration by the committee. Each of the parties involved may also select witnesses to appear before the committee on his/her behalf. The hearing shall be restricted to consideration of the issue(s) identified in the initial written statement of the grievance.

The final report shall evaluate the grievance and recommend appropriate administrative action. The report shall be sent to the Chancellor with a copy to the faculty member making the request. If the committee makes recommendations to the Chancellor, the Chancellor shall act on the recommendations within 30 days. The decision by the Chancellor on the recommendation of the committee, or on the grievance in the absence of committee recommendation, shall be final except that the Board of Regents, upon petition of a grievant or the committee, may grant a review on the record. (US 4/89)

Equal Opportunity/Affirmative Action Complaints or Grievances

Complaints or grievances having to do with discrimination or harassment based on race, religion, creed, color, sex, gender identity or expression, ancestry, national origin, age, marital status, sexual orientation, disability, veteran's status, membership in the military forces, arrest or conviction record, political affiliation, and all categories protected by law are handled through the Affirmative Action Office. See Chapter 4, EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION POLICIES.

Academic Staff Personnel Policies and Procedures

Academic Staff Personnel Rules

UWEC 9.04 UNIT ACADEMIC STAFF COMMITTEES

Membership

All administrative and/or professional academic staff with an assignment of 50 percent or more in the department or unit, including the unit director or functional equivalent, shall be members of the Unit Academic Staff Committee.

Charge to the Unit Academic Staff Committee

The Unit Academic Staff Committee shall:

1. Establish written criteria and procedures for review of academic staff performance as prescribed by the University and UW System policies;
2. Establish written criteria and procedures for making recommendations concerning the reappointment of fixed term and probationary academic staff, and the granting of indefinite status;
3. Establish written criteria and procedures within the limits granted to the unit for making salary recommendations;
4. Assist the unit administrator in developing the unit's long-range plan, including long-range staffing plans to meet diversity goals, and approve the unit long-range plan;
5. Participate in recruitment training and assist the unit administrator in the recruitment of academic staff;
6. Periodically provide an opportunity for academic staff to discuss the criteria and procedures relevant to promotion and reappointment. (US 4/94)

Unit Director's Responsibilities

The unit director shall call meetings of the Unit Academic Staff Committee as needed or upon the request of a member of the committee, and shall serve as the committee's chair. The unit director shall call a meeting of the Unit Academic Staff Committee early in the academic year for the purpose of reviewing the committee's charge and reviewing the written criteria and procedures mentioned in that charge. (US 11/88)

Merger of Unit—Procedures

1. When a merger is being considered, consultation with the Unit Academic Staff Committees from the affected units should begin. Discussions should include, but are not limited to:
 - a. the rationale and the advantages/disadvantages of the merger;
 - b. a review of the current organizational structure of the units affected, discussion of the potential impact of merger on the proposed unit's duties and responsibilities and the potential impact on current and future positions;
 - c. a method for receiving feedback from unclassified staff once they have had an opportunity to review and contemplate the proposed merger.
2. If the unit merger is to take place, the appropriate Vice Chancellor or Associate Vice Chancellor shall provide written notice to the unclassified staff of the units affected that a merger is to take place. He/she shall meet with the unclassified staff of the units to discuss the proposed merger and to receive their input. Discussions should include, but are not limited to:
 - a. the mission of the merged unit;
 - b. a review of the unit's duties and responsibilities to determine which positions will be restructured;

- c. the guidelines to be used to restructure the duties and responsibilities of the individuals affected;
 - d. a procedure to convene a meeting of the merged Unit Academic Staff Committee so that they can begin their charge.
3. Guidelines for recruitment and/or titling of positions when a merger occurs:
- a. When a merger results in the creation of new positions (additional money to appoint), *UWEC 10.02(1)(a) "Recruitment of Administrative and/or Professional Academic Staff in Units"* on page 5.39 should be followed.
 - b. When there are no new positions yet merger requires restructuring positions such that new titles are necessary within the merged unit, *UWEC 10.02(1)* recruitment guidelines should be followed except all candidates shall come from within the merged unit. (US 5/92)

RECRUITING AND APPOINTMENTS FOR ACADEMIC STAFF POSITIONS

Appointments to the academic staff of the University of Wisconsin-Eau Claire are made by the Chancellor of the University. Initial appointments are typically for one year. Contracts may be offered for part- or full-time positions which are specifically restricted to one or two semesters.

To ensure compliance with University, State, and Federal rules and regulations, the University shall provide a regular schedule of training for members of Unit Academic Staff Committees, Department Personnel Committees, Search Committees, Directors, Department Chairs, and Deans.

The University of Wisconsin-Eau Claire is an Equal Opportunity Employer actively seeking applications from all qualified persons, whatever their sex, marital or parental status, race, color, religion, age, national origin, or handicap. Department Chairs and directors recruit for each position available according to the affirmative action guidelines provided in the UW-Eau Claire Affirmative Action Plan. The recruitment process begins with completion of the "Request to Recruit" form available from the Provost and Vice Chancellor's office. Written records are kept of all recruiting practices.

UWS 10.01 Academic Staff Appointments

UWEC 10.01(1) TYPES OF APPOINTMENTS

Academic staff appointments may be fixed term, probationary, or indefinite under UWS 10.01. Fixed term appointments shall be limited to academic staff members whose positions fit the specifications set forth in UWEC 10.03(1). All other academic staff appointments shall be probationary or indefinite within the operational unit.

UWEC 10.01(2) COMPOSITION OF ACADEMIC STAFF

Academic staff appointments shall include the following categories: (a) administrative and professional academic staff, which includes employees involved in policy development or execution, or in directing, organizing, or supervising activities in the administration of a college, school, division, department (or functional equivalent) or unit; or involved in the support of students and/or research, teaching, or public service primarily associated with institutions of higher education and (b) instructional and/or research academic staff.

UWEC 10.01(3) EDUCATIONAL PREPARATION

1. Instructional and/or Research Academic Staff
A minimum of a Master's Degree is required. Exceptions to this policy may be made under rare circumstances as agreed upon by the department, the Dean, and the Provost/Vice Chancellor. An operational unit may require additional educational preparation.
2. Administrative and/or Professional
A minimum of a Bachelor's Degree is required. Exceptions to this policy may be made for short-term, non-continuing positions. An operational unit may require additional educational preparation. (US 3/94)

UWEC 10.01(4) OPERATIONAL AREA

An academic staff appointment shall be limited to an operational area specified at the time of the appointment and shall not carry rights beyond the limitation. The operational area of any academic staff appointment is the College, School, division, department (or functional equivalent), or specified research or program unit of UW-Eau Claire indicated in the letter of appointment. When an academic staff appointment has been apportioned to more than a single operational area, the majority operational area shall be responsible for personnel recommendations and the appointee's records. When no particular operational area has the majority designation, the appointee shall choose the area which shall be responsible for personnel recommendations and the appointee's records. The director or Chair responsible for the personnel recommendation shall consult with the director or Chair of the other operational area to which the appointee is assigned prior to making the recommendation.

UWEC 10.01(5) LEAVES OF ABSENCE

Academic staff members may request and may be offered a leave of absence without jeopardizing their subsequent employment at the University. In such a case, prior to the beginning of the leave, the individual shall be offered a contract for the year following the leave.

UWS 10.02 Recruitment and Letter of Appointment

UWEC 10.02(1)(a) RECRUITMENT OF ADMINISTRATIVE AND/OR PROFESSIONAL ACADEMIC STAFF IN UNITS

Recruitment to fill an administrative or professional academic staff position in a unit, whether it is newly created or becomes available through an established position being vacated, shall follow these procedures: the administrator (Director, Assistant/Associate/Vice Chancellor, or Provost/Vice Chancellor) shall seek the advice of the unit's academic staff in defining the position and conducting the search. The administrator shall oversee the development of a position description detailing the duties and responsibilities of the position and the qualifications to be sought. All recruiting procedures shall be in accordance with UW-Eau Claire's Affirmative Action Plan.

Upon review by the Affirmative Action Officer and approval of the appropriate Assistant/Associate/Vice Chancellor and the Provost and Vice Chancellor, the position shall be publicized in accord with the principles of affirmative action and in an effort to secure as many qualified applicants as possible. Internal and external candidates shall be given equal consideration.

After the closing date for applications, the administrator shall seek the advice of the screening committee in determining which candidate(s) to interview. The best qualified candidate(s) shall be identified and, after review by the Affirmative Action Officer and approval of the appropriate Assistant/Associate/Vice Chancellor and the Provost/Vice Chancellor, the candidate(s) shall be invited to the campus for interviews.

When an acceptable candidate has been identified, the administrator will prepare a recommendation for appointment. After review by the Affirmative Action Officer, and upon recommendation of the appropriate Assistant/Associate/Vice Chancellor, the Provost/Vice Chancellor shall prepare an appointment letter for the Chancellor's review.

If none of the candidates is acceptable, the administrator in consultation with the screening committee shall (1) revisit the pool for additional candidates, or (2) readvertise in the same and/or different locations using exactly the same position requirements and description, or (3) close the search, and if appropriate, determine what changes need to be made to either the position or the wording of the advertisement and request permission to begin a new search incorporating changes. (US 5/04)

UWEC 10.02(1)(b) RECRUITMENT OF ADMINISTRATIVE AND/OR PROFESSIONAL ACADEMIC STAFF POSITIONS IN DEPARTMENTS OR AREAS OTHER THAN UNITS

Recruitment to fill an administrative or professional academic staff position in a department, whether it is newly created or becomes available through an established position being vacated, shall follow these procedures: the department chair shall develop a position description detailing the duties and responsibilities of the position and the qualifications to be sought, identify appropriate means of publicizing the vacancy, and determine procedures for screening the applicants. All recruiting procedures shall be in accordance with the UW-Eau Claire's Affirmative Action Plan.

Upon review by the Affirmative Action Officer and approval of the appropriate Dean and the Provost/Vice Chancellor, the position shall be publicized in accord with the principles of affirmative action and in an effort to secure as many qualified applicants as possible. Internal and external candidates shall be given equal consideration.

After the closing date for applications, the department chair, in accordance with the screening procedure described on the Request to Recruit, shall determine which candidate(s) to interview. The best-qualified candidate(s) shall be identified and, after review by the Affirmative Action Officer and approval of the appropriate Dean and the Provost/Vice Chancellor, the candidate(s) shall be invited to the campus for interviews.

When an acceptable candidate has been identified, the department chair will prepare a recommendation for appointment. After review by the Affirmative Action Officer, and upon recommendation of the appropriate Dean, the Provost/Vice Chancellor shall prepare an appointment letter for the Chancellor's review.

If none of the candidates is acceptable, the department chair shall (1) revisit the pool for additional candidates, or (2) readvertise in the same and/or different locations using exactly the same position requirements and description, or (3) close the search, and if appropriate, determine what changes need to be made in either the position or the wording of the advertisement and request permission to begin a new search incorporating changes.

In the recruitment to fill an administrative or professional academic staff position in an area other than a unit or department, the immediate supervisor shall develop a position description, follow the above procedures, and forward recommendations through the appropriate university channels. (US 5/04)

GUIDELINES FOR EMPLOYMENT INTERVIEWS

The Human Resources Office and the Affirmative Action Office have cooperated in producing a set of guidelines, available upon request, to help interviewers formulate questions which will provide information needed to make a responsible decision without jeopardizing the university's equal opportunity commitment.

REIMBURSEMENT FOR INTERVIEW EXPENSES

Prior to inviting a prospective academic staff member to the campus, the Dean or Vice Chancellor must secure the approval of the Provost and Vice Chancellor by means of a form provided for this purpose. All prospective candidates invited to campus will be reimbursed for travel, meals, and lodging expenses within the limits cited below.

When prospective candidates are invited to the campus, they must pay their own expenses and will be reimbursed to the extent authorized. Specific instructions for such expenses are:

Air Fare (or other commercial transportation)

Reimbursement will be at the economy tourist class rate. Provide the passenger copy of the ticket (receipts from travel agents or credit card slips are not sufficient for reimbursement).

Personal Car Mileage

Reimbursement will be at the state rate. Total cost may not exceed lowest jet fare. A table of state rates is available from the Controller.

Lodging

Provide the original machine-produced receipt from place of lodging. Reimbursement will be made up to the state limit.

Meals

No receipts are required. When meals are claimed, include departure and arrival times for the round trip. Reimbursement will be made up to the state limit.

After the applicant has made the trip to the campus for interviews, he/she should complete and sign a Travel Expense Report form. This report should be approved by the Director or Department Chair and forwarded to the Provost and Vice Chancellor, accompanied by the supporting evidence of transportation costs and lodging and a copy of the original Request for Authorization form previously signed by the Provost and Vice Chancellor, for processing of the reimbursement.

UWEC 10.02(2) LETTER OF APPOINTMENT TO ACADEMIC STAFF

The terms and conditions of the appointment of an academic staff member shall be specified in a written letter of appointment signed by the Chancellor or an official of the University of Wisconsin-Eau Claire authorized by him or her. The letter of appointment must contain: (a) designation of type of appointment as fixed term, probationary, or indefinite; (b) duration of the appointment, including starting and ending dates; (c) salary; (d) general position responsibilities; (e) definition of operational area; (f) length of the probationary period, if appropriate, and recognition of credit for prior service as part of the probationary period, if appropriate; and (g) reference to institutional and system regulations, rules, and procedures relating to academic staff appointments. If the appointment is subject to the approval of the Board of Regents, a statement to this effect must be included in the letter.

An amended letter of appointment shall be sent to an academic staff appointee whose position responsibility is to undergo significant change, and a copy of the amended letter shall be sent to the chair of the standing Academic Staff Personnel Committee at the same time.

A *Faculty and Academic Staff Handbook* will be provided after the initial contract is accepted. All academic staff shall be apprised of their governance rights by the unit director or department chair at the time of original hire. (US 5/04)

UWEC 10.02(3) OFFICIAL PERSONNEL FILE

The Office of the Chancellor shall maintain the official personnel file for each academic staff member. The contents and uses of such personnel files are governed by the current UW-Eau Claire statement on the confidentiality of personnel records.

UWS 10.03 Appointments Policies

UWEC 10.03(1) FIXED TERM APPOINTMENTS—INSTRUCTIONAL OR ADMINISTRATIVE AND/OR PROFESSIONAL

Fixed Term appointments shall be for a fixed term to be specified in the letter of appointment, renewable solely at the option of the University and carrying no expectation of re-employment beyond the stated term, regardless of how many times renewed.

Fixed term appointments may be offered as one year, multiple year, or rolling horizon appointments, unless otherwise specified in the letter of appointment, and are subject to the following conditions: (US 4/92)

1. Fixed term appointments may be used for an administrative and/or professional academic staff position only if (1) the position is temporary (temporary classification includes positions such as those under temporary funding and positions filling a leave of absence) or (2) the position is less than 50 percent appointment. When an established non-temporary position is divided and reduced to less than 50 percent and included in the academic staff fixed term category, this action is to be reported to the standing Academic Staff Personnel Committee. (US 11/88)

2. All instructional and/or research academic staff appointments shall be fixed term appointments.

Probationary faculty appointments are to be made whenever possible to limit excessive dependence upon academic staff to perform teaching responsibilities. Individuals holding instructional and/or research academic staff appointments may apply and be considered for probationary faculty positions. Refer to UPG 2.06 for guidance in choosing whether to hire teaching academic staff or probationary faculty. (US 5/05; US 4/10)

The instructional and/or research academic staff member may be offered a fixed term contract which specifies that the responsibilities are more limited than those of a probationary faculty appointment. In addition to teaching, the instructional and/or research academic staff member's assigned responsibilities may include student advising and participation in departmental and institutional governance. The instructional and/or research academic staff member is to be evaluated only on his or her assigned responsibilities. (US 4/10)

UWEC 10.03(2) Indefinite and Probationary Academic Staff Appointments

1. Probationary Academic Staff Appointment

A probationary academic staff appointment is one leading to review for indefinite appointments.

The following conditions shall apply:

- a. Prior service may be counted in the probationary period at the discretion of the appointing officer, and the letter of appointment must clearly state the amount of prior service to be counted.
- b. A probationary appointment must be at least 50% or more.
- c. The probationary period at UW-Eau Claire shall not exceed seven continuous years.
- d. A leave of absence shall not constitute a break in continuous service, nor shall it be included in the probationary period. A request for a leave of absence shall be initiated in writing by the academic staff member to the supervisor. Approved requests shall be forwarded through administrative channels to the Provost and Vice Chancellor. After consultation with the academic staff member's supervisor, the Provost and Vice Chancellor shall make a recommendation to the Chancellor. The Chancellor is authorized to grant requests and specify the length of time for which the requests are granted. A denial of a request at any level shall be in writing and shall be based upon clear and convincing reasons. More than one request may be granted because of responsibilities with respect to childbirth or adoption. More than one request may be granted to a probationary academic staff member but the total, aggregate length of time of all requests, except for a request because of responsibilities with respect to childbirth or adoption, granted to one probationary academic staff member ordinarily shall be no more than one year. A leave of absence shall not constitute a break in continuous service nor shall it be included in the probationary period, for probationary academic staff members. Circumstances that do not constitute a break in a continuous service and that shall not be included in the seven-year period include responsibilities with respect to childbirth or adoption, significant responsibilities with respect to elder or dependent care obligations, disability or chronic illness, or circumstances beyond the control of the academic staff member, when those circumstances significantly impede the academic staff member's progress toward achieving indefinite status. It shall be presumed that a request made because of responsibilities with respect to childbirth and adoption shall be approved. A request shall be made before an indefinite status review commences under UWS 10.03(2)(a)1. If any academic staff member has been in probationary status for more than seven years because of an approved leave of absence, the academic staff member shall be evaluated as if he or she had been on probationary status for seven years. (US 5/94)
- e. Subject to review, the probationary appointment shall be renewable annually.
- f. A probationary academic staff appointment cannot be converted to a fixed term appointment without the express approval of the individual involved.

2. Indefinite Appointment

An indefinite appointment is an appointment with permanent status and for an unlimited term granted by the Chancellor to a member of the academic staff. An indefinite appointment is not acquired solely by years of service but is the result of an affirmative review process described in UWEC 10.03(5).

The following conditions shall apply:

- a. An indefinite appointment may be granted to a member of the academic staff who holds or will hold a half-time appointment or more. The time, whether full-time or proportionate, provided for in the initial indefinite appointment may not be diminished or increased without the mutual consent of the academic staff member and the appointing official.
- b. Academic staff members on indefinite appointment will be evaluated annually for merit and salary before February 15.
- c. An indefinite appointment shall be effective upon receipt of the appointment letter from the Chancellor. An indefinite appointment is terminable only for cause under UWS 11 and UWEC 11 or for reasons of budget or program under UWS 12 and UWEC 12.

PERIOD OF EMPLOYMENT AND RELATED POLICIES

General Policies and Procedures

Many of the policies quoted or summarized in this section derive from Academic Planning Statement #4 (abbreviated ACPS-4), entitled "University of Wisconsin System Policy on Academic Year Definition and Assorted Derivatives," approved by the Regents and revised July 11, 1980. The full text is available from the Office of the Provost and Vice Chancellor.

ACADEMIC YEAR (ACPS-4:1)

The contractual academic year consists of a full nine months (39 weeks) and includes not fewer than 34 weeks of organized services for students, including classroom instruction, registration, advising, and examining.

PERIOD OF EMPLOYMENT (ACPS-4:3a,b)

Most members of the instructional staff are engaged on an academic year appointment, which extends for the nine-month academic year specified in the UW-Eau Claire calendar as approved by the Board of Regents. The academic year ordinarily begins no earlier than one week before the first day of registration for the fall semester and concludes with the spring Commencement and the submission of all grade reports.

The instructional staff may be employed as needed for the Summer Session. An additional two-ninths of the academic year salary is paid for a full-time summer appointment. Summer employment cannot be guaranteed, however, as it is contingent on enrollment, department needs, and the individual's preparation for available assignments. Preference is given to regular faculty members for Summer Session teaching before seeking off-campus candidates.

The instructional staff may also be employed as needed for the Winterim session and will be paid according to the UW-Extension schedule by rank. Employment is contingent on enrollment, department needs, the individual's preparation for available assignments and willingness to teach a three-week course immediately preceding the beginning of the spring semester.

The standard employment period for nonteaching positions is the annual appointment, extending over 12 months with the accrual of vacation at the rate of 22 working days per year. Compensation, sick leave, and vacation for employment periods of less than 12 months are prorated using the 12-month rates as the bases. If an employee is moved from an academic year to an annual appointment, compensation for the annual appointment is ordinarily computed as the academic year base plus two-ninths of the base.

UNANTICIPATED TERMINATION OF APPOINTMENT (ACPS-4:4)

In the event of unanticipated termination of service during the term of an appointment, payment for services shall be terminated or suspended following cessation of services. The final check shall be calculated so that the employee receives full compensation for the portion of the appointment which has been completed. The formulas for computing such compensation are available from the Director of Human Resources.

FULL-TIME TEACHING LOAD – INSTRUCTIONAL ACADEMIC STAFF (IAS)

A full-time semester teaching load is generally fifteen credits, or the equivalent. IAS responsibilities are more limited than those of a probationary faculty and are generally limited to teaching duties. However, those assigned responsibilities in addition to teaching such as advising will have a reduced teaching load. Such arrangements will occur only after careful consideration of the individual staff member's responsibilities and after consultation with the IAS member, the department chair, the college dean, and the Provost or designee. Such assignments will be stipulated in a letter of appointment.

A full-time summer session load is eight credits. Instructional academic staff who are assigned an overload are generally compensated through an overload payment; however, instructional academic staff may be compensated by a reduction in load a following semester.

The Provost and Vice Chancellor are ultimately accountable for the determination of IAS workload. (US 10/03)

UNANTICIPATED ASSIGNMENTS FROM UNIVERSITY SOURCES DURING THE PERIOD OF APPOINTMENT

General Policy (ACPS-4:6a)

"It is generally assumed that the salary received by full-time faculty members fully compensates them for university activities during their appointment period. Thus, such faculty members may not receive compensation, for an overload activity, from any funds administered within the University System, regardless of source, except through procedures and within standards provided in this policy."

Exceptions to this policy are subject to specific advance approval of the Provost and Vice Chancellor as the designee of the Chancellor and must be of an unusual, short-term and non-recurring nature. "Compensation for such exceptions cannot exceed the statutory limitations as defined in the Wisconsin Statutes (Sec. 19.45(9)(m). This limitation (i.e., \$12,000 per year) is to be applied to all full-time employees (academic or annual)."

MINI-SESSIONS DURING THE ACADEMIC YEAR (ACPS-4:6b)

Academic Staff may receive additional payment for mini-sessions scheduled during the academic year when the addition of a mini-session or inter-session results in a teaching load that exceeds the institution's regular expected teaching load for fall and spring semesters.

SUMMER SESSION AND POST-COMMENCEMENT MINI-SESSIONS (ACPS-4:6c)

For employment during the summer period, compensation received from the University may not in aggregate exceed two-ninths of the academic staff member's academic year salary unless an explicit exception is granted by the Provost and Vice Chancellor as the designee of the Chancellor.

INTERINSTITUTIONAL INSTRUCTIONAL, CONSULTING, OR TECHNICAL SERVICES ON AN OVERLOAD BASIS (ACPS-4:6d)

Overload payment for such services may be authorized by the Provost and Vice Chancellor as the designee of the Chancellor if the service falls outside the faculty member's regularly assigned responsibilities, can be provided without adversely affecting performance of regularly assigned responsibilities, and is an activity of unusual, short-term and non-recurring nature. Additional information regarding UW System and UW-Eau Claire policy may be obtained from the Provost and Vice Chancellor.

OFF-CAMPUS CREDIT INSTRUCTION COORDINATED THROUGH UW-EXTENSION (ACPS-4:6e)

When taught by full-time faculty members during their appointment period, such courses are included insofar as possible as part of assigned full-time responsibilities. UW System and UW-Eau Claire policies regarding overload and ad hoc employment may be obtained from the Provost and Vice Chancellor.

UW-EXTENSION CONTINUING EDUCATION AND PUBLIC SERVICE PROGRAMS (ACPS-4:6f)

To the extent that needs can be anticipated, such assignments are included as part of the faculty member's full-time load. UW System policies may be obtained from the Provost and Vice Chancellor.

FUNDING FOR RESEARCH AND OTHER ACTIVITIES (EXTERNAL SOURCES)

(See also Research and Development Funding in Chapter 6.)

Research and other activities that involve financial support from agencies external to the University of Wisconsin System play an important part in the growth of the University and in the professional development of its faculty. The following policies and procedures, consistent with Board of Regents policy, govern local university operations.

EXTRAMURAL FUNDS RECEIVED BY THE UNIVERSITY OF WISCONSIN-EAU CLAIRE

Any grant or contract for extramural funding which will be administered through the University of Wisconsin System must be accepted by the Board of Regents. Grant proposals must be cleared with related Dean(s) and/or Directors and the Office of Research and Sponsored Programs as a part of the UW-Eau Claire review/approval process. Assistance in preparing a proposal and arranging for UW-Eau Claire concurrence is available from the Office of Research and Sponsored Programs.

Request for released-time should follow the normal administrative channel from the Department Chair to the Dean of the College to the Provost and Vice Chancellor.

Compensation for those projects which are supported by extramural funds and administered through the UW System must comply with the provisions outlined in ACPS-4. (See Unanticipated Assignments from University Sources during the Period of Appointment.)

EXTERNAL FUNDS AS A DIRECT SOURCE OF COMPENSATION

Faculty receiving compensation directly from agencies external to the University of Wisconsin System must comply with the provisions outlined in UWS 8, Outside Activities, and the corresponding section of the *Faculty and Academic Staff Handbook* entitled *Outside Activities—Faculty and Academic Staff* on page 5.67.

NON-UNIVERSITY EMPLOYMENT

The acceptance of any employment outside of the contract with the Board of Regents shall be with the concurrence of the Chancellor of the University. Part-time teaching or in-service assignments with any other institution of learning shall be by request of the faculty member and the approval of the Chancellor and The Board of Regents. In any case where remunerative employment is conducted with another agency, assurances must be provided that the Board of Regents has prior claim upon all services.

Non-university employment is subject to the provisions outlined in UWS 8, Outside Activities, and the corresponding section of the *Faculty and Academic Staff Handbook*.

LEAVE OF ABSENCE

Leaves of absence without salary may be granted for up to two years by the Chancellor of the University. These are considered upon the request of the faculty member or academic staff member and the recommendation of the Provost and Vice Chancellor.

REVIEW OF PERFORMANCE

UWEC 10.03(3) Review of Performance (US 6/05)

1. Fixed Term-Instructional and/or Research Academic Staff (IRAS)

a. Performance Review

The performance review of instructional and/or research academic staff will follow procedures outlined in the departmental evaluation plan including the consideration of student evaluations. The Departmental Personnel Committee will conduct a review of performance and forward a report to the Department Chair.

The performance evaluation by the Department Chair, including the Departmental Personnel Committee's report, will be given to the staff member in writing at the same time the report is forwarded to the appropriate Dean. The staff member shall have the right to comment on the evaluation in writing within ten calendar days of receipt of the departmental evaluation. To make appropriate personnel decisions and to support the individual's personnel record, the Department Chair's performance evaluation and the academic staff member's comments, if any, shall be filed in the staff member's personnel file.

The Department Chair's performance evaluation is to be forwarded to the Dean prior to January 15 in the staff member's first two years of service; prior to October 15 of the third through sixth years of service; and prior to February 15 for appointment to the seventh and subsequent years of service.

b. Areas of Evaluation

The performance review for instructional and/or research academic staff shall be based on contractual responsibilities. At the written request of the staff member, the evaluation may include professional growth and appropriate service to the department, the university, the profession, and the public.

For a staff member whose contract indicates there is no intent to renew/rehire, the department may conduct a more limited review as outlined in the departmental evaluation plan.

2. Fixed Term—Administrative and/or Professional Academic Staff (APAS)

a. Performance Review

Within the first month of each contract period, the immediate supervisor shall call a meeting with the academic staff member to review and explain work assignments and performance expectations for the period. Performance expectations shall be determined in the context of the areas of evaluation specified below. The performance evaluation process shall be completed by January 15 in the first two years; by October 15 in the third through sixth years of service; and by February 15 for appointment to the seventh and subsequent years of service.

The supervisor shall give results of the performance evaluation to the academic staff member in writing at the same time they are forwarded to the appropriate official. The academic staff member shall have the right to comment on the evaluation in writing within ten calendar days of the receipt of the supervisor's evaluation. To make appropriate personnel decisions and to support the individual's personnel record, the supervisor's evaluation and the academic staff member's comments, if any, shall be filed in the academic staff member's personnel file.

b. Areas of Evaluation

Administrative and/or professional academic staff shall be evaluated on their contributions to the development and strengthening of their respective areas of responsibility. Professional growth and effectiveness in dealing with people in employment capacities, as well as appropriate service to the unit/department, the university, the profession, and the public shall be considered in the evaluation.

c. For a staff member whose contract indicates there is no intent to renew/rehire, the supervisor may conduct a more limited review based only on contractual responsibilities.

3. Probationary Administrative and/or Professional Academic Staff

a. Performance Review

Within the first month of each contract period, the immediate supervisor shall call a meeting with the

academic staff member to review and explain work assignments and performance expectations for the period. Performance expectations shall be determined in the context of the areas of evaluation specified below. Performance evaluation process shall be completed by January 15 in the first year of service, by October 15 in the second year of service, and by February 15 thereafter.

The supervisor shall give results of the performance evaluation to the academic staff member in writing at the same time they are forwarded to the appropriate official. The academic staff member shall have the right to comment on the evaluation in writing within ten calendar days of the receipt of the supervisor's evaluation. To make appropriate personnel decisions and to support the individual's personnel record, the supervisor's evaluation and the academic staff member's comments, if any, shall be filed in the academic staff member's personnel file.

An affirmative review process resulting in change of status from probationary to indefinite appointment may take place at any time during the probationary period.

b. **Areas of Evaluation**

Probationary academic staff members shall be evaluated on their contributions to the development and strengthening of their respective areas of responsibility. Professional growth and effectiveness in dealing with people in employment capacities, as well as appropriate contributions to the unit/department, the University, the profession, and the public, shall be considered in the evaluation.

4. **Indefinite Administrative and/or Professional Academic Staff**

a. **Performance Evaluation**

Annually, by February 15 the supervisor and academic staff member on indefinite appointment shall meet and review the performance of the academic staff member. The result of the evaluation shall be considered in making appropriate personnel decisions.

The supervisor shall give results of the performance evaluation to the academic staff member in writing at the same time they are forwarded to the appropriate official. The academic staff member shall have the right to comment on the evaluation in writing within ten calendar days of the receipt of the supervisor's evaluation. To make appropriate personnel decisions and to support the individual's personnel record, the supervisor's evaluation and the academic staff member's comments, if any, shall be filed in the academic staff member's personnel file.

b. **Areas of Evaluation**

Members of the academic staff on indefinite appointment shall be evaluated on their contributions to the development and strengthening of their respective areas of responsibility. Professional growth and effectiveness in dealing with people in employment capacities, as well as appropriate contributions to the unit/department, the University, the profession, and the public, shall be considered in the evaluation.

SALARY RECOMMENDATIONS

Recommendations for salary adjustments recognizing merit are initiated annually by the immediate supervisor and proceed through the Unit Director or Dean to the appropriate Vice Chancellor to the Chancellor.

Recommendations for salary adjustments shall be made in accordance with the state-approved pay plan, the pay plan guidelines from UW System, and the UW-Eau Claire Comprehensive Salary Plan developed by the University Senate and approved by the Chancellor. Salary recommendations for administrative and professional academic staff shall be based on the criteria established by the unit. For instructional academic staff salary recommendations shall be based on performance of assigned duties and must include consideration of student evaluations.

The Comprehensive Salary Plan shall provide at least two weeks for academic staff to respond to all salary recommendations submitted on their behalf. The Comprehensive Salary Plan must also provide a mechanism to be used during those two weeks for hearing and resolving any academic staff objection to a salary recommendation.

The Comprehensive Salary Plan shall use the base salary rate of the academic staff member in calculating the next year's rate. The base salary rate may be reduced for a change in position with significantly

different duties and responsibilities; disciplinary action; or by request of the individual faculty or academic staff member.

The Comprehensive Salary Plan shall include a grandparent clause allowing all units on “alternative pay plans” as of 01-Oct-2001 and that have not since selected to follow the Comprehensive Salary Plan to continue to use their existing alternative pay plans for the distribution of all performance-based salary adjustments.

The Office of the Provost and Vice Chancellor shall maintain a copy of the Comprehensive Salary Plan as developed by the University Senate and approved by the Chancellor and shall ensure unit compliance. (US 04/02)

REAPPOINTMENT

UWEC 10.03(4) Renewal of Academic Staff Appointments

FIXED TERM—INSTRUCTIONAL AND/OR RESEARCH ACADEMIC STAFF

A recommendation for reappointment must include an affirmative recommendation from the Departmental Personnel Committee. The recommendation shall proceed through channels from the Department Chair to the Chancellor. The Departmental Personnel Committee and Department Chair will place in priority order, as necessary, the recommendations to reappoint the instructional members of the academic staff.

A recommendation to reappoint or not to reappoint for each instructional and/or research academic staff member must be forwarded by the Department Chair to the appropriate Dean by February 1 in the first two years, by November 1 in the third to sixth years of service, and by May 1 of the preceding year in the seventh or subsequent year of service so that proper notification can be given if the decision is not to reappoint.

If the University decides to appoint an instructional and/or research academic staff member with a current appointment of 50% or more after ten semesters with a minimum 50% or more appointment each of those semesters as an instructional and/or research academic staff member, his or her employment commitment and contribution to the University shall be recognized by offering multiple year or rolling horizon contracts whenever possible in light of the continuing need for the position, funding source, and quality of employee’s performance. However, the contract should state that regardless of how many times the contract is renewed, tenure is not a consideration and that the individual waives any claim to tenure based on years of service.

Fixed term IAS and five years in consecutive appointments of 50% or more of service whose appointments do not provide at least two year terms shall be given the reasons in writing. Fixed term IAS with seven or more years of service whose appointments do not provide at least three year terms shall be given the reasons in writing.

FIXED TERM—ADMINISTRATIVE AND/OR PROFESSIONAL ACADEMIC STAFF

Recommendations concerning reappointment of fixed term administrative and/or professional academic staff shall be based on position availability and performance evaluation and proceed from the immediate supervisor through normal reporting channels to the Chancellor.

A recommendation to reappoint or not to reappoint each administrative and/or professional fixed term academic staff member shall be forwarded by the immediate supervisor through administrative channels to the Provost and Vice Chancellor by February 1 in the first two years, by November 1 in the third to sixth year of service, and by May 1 of the preceding year in the seventh or subsequent year of service so that proper notification can be given if the decision is not to reappoint.

Fixed term administrative and/or professional academic staff with current appointments of 50 percent or more who have been employed at UW-Eau Claire for five or more years shall be given multiple year rolling horizon contracts whenever possible in light of the continuing need for the position, funding source, and quality of employee’s performance.

When at least 50 percent of a position is not temporary, the non-temporary portion of the position shall be converted to a probationary or indefinite appointment. A rolling horizon contract shall not be offered in lieu of a probationary or indefinite appointment.

Fixed term administrative and/or professional academic staff with five years or more of service whose appointments do not provide at least two-year rolling horizon contracts shall be given the reasons in writing. Fixed term administrative and/or professional academic staff with seven or more years of service whose appointments do not provide at least three-year rolling horizon contracts shall be given the reasons in writing.

PROBATIONARY ACADEMIC STAFF

Recommendations concerning reappointment of probationary academic staff shall be based on position availability and performance evaluation and proceed from the immediate supervisor through normal reporting channels to the Chancellor. A recommendation to reappoint or not to reappoint each probationary academic staff member shall be forwarded by the supervisor to the appropriate official by February 1 in the first year, November 1 in the second year, and May 1 of the preceding year for the third and subsequent years so that proper notification can be given if the decision is not to reappoint.

GRANTING OF INDEFINITE APPOINTMENT

UWEC 10.03(5) Indefinite Appointment

AFFIRMATIVE REVIEW LEADING TO INDEFINITE APPOINTMENT

A decision on indefinite appointment must be made not later than the end of the sixth year of probationary service for both full- and part-time appointments. The supervisor, upon notification by the Academic Staff Personnel Officer, must notify a probationary academic staff member (hereafter referred to as the individual) in writing at least 30 days prior to the review conference at which granting of indefinite appointment is to be considered. The review conference must be scheduled no later than November 1 of the sixth year of probationary service. An individual may request initiation of the review process prior to the end of the sixth year of the probationary period but not before one year of probationary service is completed.

Indefinite appointment is not acquired based solely on years of service but as a result of an affirmative review process. The review will include the individual's contributions to the development and strengthening of areas of responsibility, professional growth, effectiveness in dealing with people, and appropriate contributions to the department, the University, the profession, and the public.

In preparation for the conference, the individual may review his/her official personnel file and may submit additional relevant information prior to the conference. Also, the individual may make a personal presentation at the review conference.

The conference to consider promotion to indefinite appointment shall be held under one of three conditions: (1) only the two principals present; (2) both principals choosing up to two members of the university community to be present upon mutual agreement; or (3) an impartial observer present upon request of either principal. The third parties present in (2) or (3) may question the two principals to the conference and make comments to them but will not file a report of the conference. In disputed cases, however, such third parties may be called as witnesses. The impartial observer in (3) will be selected by mutual agreement of the two principals from a panel of three persons nominated by the standing Academic Staff Personnel Committee. The impartial observer shall be a member of the university community but not a member of the College, School, division, department (or functional equivalent) employing the individual who is under review.

At the conclusion of the conference, the immediate supervisor will compile the following documentation: (1) current vita of the individual; (2) a written statement regarding the permanency of the position; (3) a summary of the annual performance reviews conducted during the probationary period; (4) a summary of the individual's contributions to the development and strengthening of the areas of responsibility, professional growth and effectiveness in dealing with people in employment capacities, contributions to the unit and the profession; service to the University and the public. The emphasis on service may vary depending on the standards set by the unit.

The immediate supervisor's documentation and recommendation regarding the granting of indefinite status shall be forwarded through administrative channels to the Chancellor. The individual may submit written documentation regarding any or all areas listed above which will be forwarded with the supervisor's

recommendation. At each successive level of review, the individual shall be informed of the recommendation in writing within ten days of the decision. The following timeline shall be followed:

- November 15: Supervisor forwards recommendation and accompanying documentation to the Director/Dean.
- December 15: Director/Dean forwards recommendation and all prior materials to appropriate Associate/Vice Chancellor.
- February 1: Associate/Vice Chancellor forwards recommendation to Provost and Vice Chancellor.
- March 15: Provost and Vice Chancellor forwards recommendation to Chancellor.
- June 30: Chancellor notifies the individual of the decision.

If the decision is to grant an indefinite appointment, the appointment will become effective at the beginning of the fiscal year following the decision. The notice of indefinite appointment shall define the operational area to which the individual is assigned. The operational area of an indefinite appointment is the unit, school, college, division, department (or functional equivalent). An individual with an indefinite appointment does not lose that status if the individual accepts a limited appointment within the same unit where the indefinite status has been granted.

If a decision not to grant an indefinite appointment is made in the sixth year of probationary service, the academic staff member's service will be terminated with the completion of the seventh year. The individual may request from the Chancellor the reasons for a negative decision. The request must be made in writing by October 1 of the calendar year in which the decision was made. The letter stating the reasons for denial will be forwarded to the individual within 20 days of the request and a copy placed in the individual's official personnel file. If an individual wishes to file an appeal, he/she may do so under UWEC 10.04. (US 4/95)

NONRENEWAL OF ACADEMIC STAFF APPOINTMENTS

UWS 10.04 Nonrenewal of Probationary Academic Staff Appointments

(UWS 10.03) treats the issue of job security including appropriate due process protections in the case of nonreappointment for fixed term academic staff members who have served the institution for a substantial period of time.

UWEC 10.04 NONRENEWAL OF FIXED TERM AND PROBATIONARY ACADEMIC STAFF APPOINTMENTS

1. A nonrenewed member of the fixed term academic staff who has served the institution for at least five years may request and shall be given a written statement of the reasons for nonrenewal. A nonrenewed member of the probationary academic staff may request and shall be given a written statement of the reasons for nonrenewal. The academic staff member has the right to request a review of the decision upon written appeal within 20 working days of receipt of the notice of nonrenewal. The Academic Staff Complaint, Grievance, and Review Committee will constitute the hearing body under procedures outlined in UWEC 11.04. Such review shall be held not later than 20 working days after the request, except that this time limit may be extended by mutual consent of the parties or by order of the hearing body. The burden of persuasion in such a review shall be on the nonrenewed appointee and the scope of the review shall be limited to the question of whether the decision was based in any significant degree upon one or more of the following factors with material prejudice to the individual:
 - a. conduct, expressions, or beliefs which are constitutionally protected or actions which are consistent with an appropriate professional code of ethics; or
 - b. employment practices proscribed by applicable state or federal law; or
 - c. improper consideration of qualifications for reappointment or renewal. For purposes of this section, "improper consideration" shall be deemed to have been given to the qualifications of a staff member in question if material prejudice resulted because of any of the following:
 - 1) the procedures required by the Chancellor or Board were not followed, or

- 2) available data bearing materially on the quality of performance were not considered, or
 - 3) unfounded, arbitrary, or irrelevant assumptions of fact were made about work or conduct.
2. Within 30 working days of the hearing, the hearing body's findings as to the validity of the appeal shall be reported in writing to the official making the nonrenewal decision, to the appropriate Dean or director, to the Chancellor, and to the staff member involved.
 3. Such report may include remedies which may, without limitation because of enumeration, take the form of a reconsideration by the decision maker; a reconsideration by the decision maker under instruction of the hearing body, which is the Academic Staff Complaint, Grievance, and Review Committee; or a recommendation to the next higher administrative level. Cases shall be remanded for reconsideration by the decision maker in all instances unless the Academic Staff Complaint, Grievance, and Review Committee specifically find that such a remand would serve no useful purpose. The Academic Staff Complaint, Grievance, and Review Committee shall retain jurisdiction during the pendency of any reconsideration. (US 11/88)

UWS 10.05 Notice

UWEC 10.05 NOTICE

1. Notice that a fixed term or probationary academic staff appointment will not be renewed shall be given in writing to the appointee in advance of the expiration of the appointment as follows:
 - a. **Fixed term appointments**

At least three months before the end of the appointment in the first two years, six months before the end of the appointment in the third through sixth year, and twelve months thereafter. When the letter of offer for a fixed term appointment states that renewal is not intended, no further notice of nonrenewal is required. "No intent to renew" contracts shall be issued only when a position will clearly not be continued. Contracts which are subject to sources of funding or other limitations shall be offered on a contingency basis and not issued as "no intent to renew" contracts. (rev. US 5/97)

The notice required to terminate rolling term appointments is the length of the term less one year. Notice is given annually to extend or terminate at the end of the term.
 - b. **Probationary appointments**

At least three months before the end of the appointment in the first year; six months before the end of the appointment in the second year; and twelve months thereafter.
2. **Extension in the absence of proper notification**

If proper notice of nonrenewal is not given in accordance with (1) above, the appointment shall be extended so that at least the required notice is provided.

ACADEMIC STAFF TITLE STRUCTURE—DEFINITIONS

UW System Academic Staff Title Structure

The following are definitions of prefixes within the UW System Academic Staff Title Structure and additional criteria developed by UW-Eau Claire. Departments and offices may add criteria such as academic degrees or other relevant requirements specific to the unit. Such additions must be approved by the Chancellor and forwarded to the Academic Staff Personnel Committee for comment.

1. **Administrative and/or Professional Academic Staff (Category A)**
 - a. **Professional Prefix Definitions**

Four prefixes are defined for most Category A academic staff professionals. Prefix levels reflect successfully greater experience, expertise, and applied ability in a particular specialty area. Although the typical professional academic staff member will show career advancement through the Associate, No Prefix, and Senior prefix levels, Hayes/Hill, Inc. saw "the need for a superstar category stressing peer recognition both within and outside the institution as one of the key criteria. We would generally expect that a person in the superstar category would have at least ten

or more years of progressively responsible experience in their field.” Consistent with Hayes/Hill’s original intent to reserve a prefix level “for the truly exceptional performers,” the Distinguished prefix is defined below.

Distinctive prefix levels are defined for Academic Librarian and Special Librarian to accommodate program management and/or supervisory responsibilities which are otherwise treated separately.

Professional Prefix Professional Prefix Definition

Associate At this level, a professional is expected to perform at the entry level of proficiency. This includes performing all or any of the basic duties and functions as defined for the specialty or by the level of certification or licenser.

(No Prefix) An individual at this level performs those duties and responsibilities expected of a fully competent professional. Typically, such duties and responsibilities require knowledge and skills gained only through considerable experience. A fully competent professional works independently in applying the approaches, methods, and techniques of his or her profession and is active in developing or assisting in the development of new approaches to resolving problems. Typically, one to three years in the position or in a comparable position are required to achieve this level of professional work.

Senior A professional at the senior level performs program functions at a level of proficiency typically requiring advanced knowledge and skills and extensive experience (a minimum of seven years in the position or in a comparable position) gained through employment at UW-Eau Claire and/or other educational settings. At this level the professional has a consistent record of exemplary performance. A senior professional is expected to develop new approaches, methods, or techniques to resolve problems with little or no expert guidance and to cope independently with new, unexpected, or complex situations. At this level, a professional can be expected (but not required) to guide or train other professionals within or outside of their work unit or to oversee their work. (US 12/92)

Effectiveness in the position; contributions to the development and strengthening of the areas of responsibility; professional growth; and service to the University, the profession, and the public will be considered in the decision regarding assigning the Senior prefix.

Distinguished A professional at the distinguished level performs at a level of proficiency typically requiring extensive experience (a minimum of ten years in the position or in a comparable position) and advanced knowledge and skills. The expertise of a professional at this level is commonly recognized by his or her peers and through a reputation which extends beyond UW-Eau Claire. A distinguished professional is expected to develop new approaches, methods, or techniques to resolve problems with little or no expert guidance and to cope independently with new, unexpected, or complex situations. At this level, a professional can be expected to guide or train other professional or to oversee their work.

b. Program Manager Prefix Definition

Three function level designations are available for the Program Manager title. Function levels reflect differences in the complexity of the program(s); differences in the degree of supervision that may be required to manage programs of different sizes and complexity; and other factors. The determination of the appropriate level will be based on the rating of the position using the Title Evaluation Instrument. The general career progression standards applicable to titles in the professional category will not apply to titles in the program manager category.

c. Director Series Prefix Definitions

Director Prefix Director Prefix Definition

Assistant An Assistant Director manages a subunit of a major department and reports to a Director or Associate Director, supervises three or more staff members excluding his or her personal secretary, develops and recommends an annual unit budget, and develops or assists in developing and recommending policy to the Director.

An Assistant Director is responsible for the day-to-day administrative management and policy implementation activities of an administrative unit. The role of an Assistant Director is primarily supervisory and managerial as contrasted with a Program Manager whose primary responsibility is direct service delivery and whose job is largely non-supervisory.

Associate An Associate Director assists in directing the administrative and policy development and implementation endeavors of a major administrative unit under the general supervision of the Director. An Associate Director acts on behalf of a Director (no prefix) in his or her absence. Typically, there is no more than one Associate Director per unit.

An Associate Director title is typically defined in units of sufficient size and scope of responsibility such that secondary decision making must be shared with or allocated to an Associate Director.

(No prefix) A Director (no prefix) directs all the administrative policy development and implementation endeavors of a major administrative unit.

2. Instructional and/or Research Academic Staff (Category B)

Lecturer Prefix **Prefix Definition**

Associate An Associate Lecturer is one who independently teaches a course(s) subject to broad guidelines describing the scope of the subject matter to be taught and the topics to be covered. Effective classroom delivery, testing, and grading are the primary duties expected of lecturers at this level.

(No Prefix) A lecturer at this level has the experience and academic qualifications needed to develop and teach a course(s) subject to broad guidelines describing the scope of the subject matter to be covered. However, the specific topics to be covered and the degree of topic emphasis are left to the independent judgment of the (No Prefix) Lecturer. At this level, a Lecturer may be involved in various instructional related activities. These may include undergraduate advising, assisting in developing lab safety protocols, course scheduling, curriculum development, participating in departmental outreach programs, or other instructional activities.

Senior A Senior Lecturer has subject matter expertise in an academic discipline. A lecturer at this level has gained a reputation among his or her peers for demonstrably sustained superior contributions to teaching within a department or division. It is expected that the Senior Lecturer will independently select, develop, and organize course content and instructional materials and approaches. Involvement with committees engaged in supporting this development is typical. However, the direct delivery of instruction is the primary responsibility of the individual holding this title. In addition, a Senior Lecturer has extensive teaching experience with a minimum of five years full-time equivalency (FTE) in the Lecturer position or in a comparable position of which at least two such years were served at UW-Eau Claire. Minimum years of full-time experience must be completed by the time of application and do not include the year in which the promotion evaluation occurs.

Exceptions to these minimum requirements may be made when it is believed that the lecturer's performance and contributions merit promotion. (US 5/08)

ACADEMIC STAFF TITLE STRUCTURE—PROMOTION PROCEDURES

1. Procedures for Promotion Through Prefix Change for Administrative and/or Professional Academic Staff
 - a. A written request for consideration for promotion may be initiated by an academic staff member and must be submitted to the immediate supervisor by November 15 with a copy of the request being sent to the Unit Director or functional equivalent. The immediate supervisor may also initiate the promotion process. Recommendations for promotion shall be forwarded from the immediate supervisor to the Chancellor through the following review levels: the Unit Director, the Associate Vice, Vice Chancellor, and the Provost and Vice Chancellor.
 - b. Requests for promotion shall be reviewed by the immediate supervisor. He/she shall inform the academic staff member in writing as to whether or not a recommendation supporting promotion will be forwarded. Recommendations for promotion and supporting documentation must be forwarded to the Unit Director by December 1. Recommendations supported by the Director shall be forwarded to the Vice Chancellor by December 15.
 - c. Recommendations and documentation shall be forwarded through each successive level of administrative review along with the recommendation of the reviewing official. The Chancellor shall inform the candidate of his/her recommendation prior to or at the time the promotion recommendations are forwarded to System Administration.
 - d. If a request or recommendation for promotion is not supported at any level, the official responsible shall, in a timely manner but no later than March 15, provide the previous reviewers and the immediate supervisor with a written notification of the decision which shall be forwarded to the individual. The immediate supervisor shall be informed of the reasons for the negative decision and shall discuss them and the steps the individual may take to pursue promotion in the future with the individual.
 - e. Those academic staff members whose recommendations for promotion are not supported may reactivate the request in a subsequent year.

2. Procedures for Promotion Through Prefix Change for Instructional and/or Research Academic Staff
 - a. A written request for consideration for promotion may be initiated by an academic staff member and must be submitted to the Departmental Personnel Committee by November 15 with a copy sent to the Department Chair. The Departmental Personnel Committee or the Department Chair may also initiate the promotion process.

Recommendation for promotion shall be forwarded from the Departmental Personnel Committee to the Chancellor through the following review levels: Department Chair, Dean, and the Provost and Vice Chancellor.
 - b. Requests for promotion shall be reviewed by the Departmental Personnel Committee, which shall inform the academic staff member in writing as to whether or not a recommendation will be forwarded. The Departmental Personnel Committee's recommendations for promotion and supporting documentation must be forwarded to the Department Chair by December 1. Recommendations supported by the Department Chair shall be forwarded to the Dean by December 15.
 - c. Recommendations and documentation shall be forwarded through each successive level of administrative review, along with the recommendation of the reviewing official, in a timely fashion. The Chancellor shall inform the candidate of his/her recommendation prior to or at the time the promotion recommendations are forwarded to System Administration.
 - d. If a request or recommendation for promotion is not supported at any level, the official responsible shall, in a timely manner but no later than March 15, provide the previous reviewers and the Departmental Personnel Committee with a written notification of the decision. The Departmental Personnel Committee or the Department Chair shall be informed of the reasons for the negative decision and shall discuss them and the steps the individual may

take to pursue promotion in the future with the individual.

- e. Those academic staff members whose recommendations for promotion are not supported may reactivate their request in a subsequent year.

3. Procedures for Promotion From One Title or Title Series to Another

- a. At the request of an academic staff member and/or her or his supervisor, the position description shall be reviewed to determine if it is properly titled.
- b. Documentation supporting the request shall be submitted to the Unit Director by December 1. Recommendations supported by the Director shall be forwarded to the Vice or Assistant Chancellor by December 15.
- c. Recommendations and documentation shall be forwarded through each successive level of administrative review along with the recommendation of the Director. The Chancellor shall inform the candidate of the final decision.
- d. If the request for title change is not supported at any level, the immediate supervisor shall be informed in writing in a timely manner but no later than March 15. The immediate supervisor shall forward this communication to the academic staff member immediately upon receipt and shall identify and discuss the reasons why the position does not meet the criteria for the requested title.
- e. A lateral move from one title to another within the same grade is not a promotion.

4. Appeal Procedures

- a. An academic staff member may request an informal review of a decision not to recommend promotion or title change.
 - 1) The review can be initiated by the academic staff member and shall be reviewed through all administrative channels up through the Provost and Vice Chancellor.
 - 2) If the review again results in a negative decision, the academic staff member may bring her/his request to the Academic Staff Complaint, Grievance and Review Committee. At this time, written reasons for the negative decision shall be forwarded to the academic staff member and the Complaint, Grievance and Review Committee. The Complaint, Grievance and Review Committee will review the request using the Academic Staff Title Structure and the UW-Eau Claire Professional Program Manager and Director Series Criteria. The request will not be viewed as a formal grievance unless so requested in writing by the academic staff member.
 - 3) The written report of the Review Committee shall be forwarded to the Chancellor along with the Provost and Vice Chancellor's report. The Chancellor shall make a final decision and inform the academic staff member in writing in a timely manner.
- b. If an academic staff member wishes to file a formal grievance, the grievance procedures as outlined in UW-Eau Claire Personnel Rules shall be followed.

DISMISSAL FOR CAUSE (US 2/99)

Academic Staff Personnel Rules

UWS 11 DISMISSAL OF ACADEMIC STAFF FOR CAUSE

UWEC 11.01 Dismissal for Cause—Indefinite Academic Staff Appointments

- 1. A member of the academic staff holding an indefinite appointment may be dismissed only for just cause under UWS and UWEC 11.02 through 11.10 or for reasons of budget or program under UWS and UWEC 12.

2. Members of the academic staff are entitled to enjoy and exercise all rights of United States citizens and to perform their duties in accordance with appropriate professional codes of ethics. This policy shall be observed in determining whether or not just cause for dismissal exists. The burden of proof of the existence of just cause for a dismissal is on the administration.

UWEC 11.02 Responsibility for Charges

1. Whenever the UW-Eau Claire Chancellor receives an allegation which concerns an academic staff member holding an indefinite appointment which appears to be substantial and which, if true, might lead to dismissal under UWS and UWEC 11.01, the Chancellor shall request within twenty calendar days that the appropriate dean or director
 - a. investigate the allegation,
 - b. offer to discuss it informally with the individual, and
 - c. provide information of rights to which members of the academic staff are entitled under UWS 11 and UWEC 11.
2. If such an investigation and discussion do not result in a resolution of the allegation and if the allegation is deemed sufficiently serious to warrant dismissal, the dean or director shall prepare a written statement of specific charges. A member of the academic staff may be dismissed only after receipt of such a statement of specific charges and, if a hearing is requested by the academic staff member, after a hearing held in accordance with the provisions of this chapter. If the staff member does not request a hearing, dismissal action shall proceed along normal administrative lines, but the provisions of UWS and UWEC 11.02, 11.08, and 11.09 shall apply. In those cases where the immediate supervisor of the academic staff member concerned is a dean or director, the Chancellor shall, to avoid potential prejudice, designate an appropriate administrative officer to act for the dean or director under this section.
3. The appeal procedures shall accompany any formal statement of specific charges sent to an academic staff member.
4. Any formal statement of specific charges shall be served personally or by certified mail, return receipt requested. If such service cannot be made within twenty calendar days, service shall be accomplished by first class mail and by publication as if the statement of charges were a summons and the provisions of section 801.11(1)(c), Wis. Stats., were applicable. Such service by mailing and publication shall be effective as of the first insertion of the notice of statement of charges in the newspaper.

UWEC 11.03 Hearing Body

1. A Hearing Committee of the Academic Staff Complaint, Grievance, and Review Committee shall hear all dismissal appeals. The Hearing Committee shall operate as the hearing agent for the Chancellor pursuant to section 227.12, Wis. Stats., and conduct the hearing, make a verbatim record of the hearing, prepare a summary of the evidence, and transmit such record and summary along with its recommended findings of fact and decision to the Chancellor (UWS and UWEC 11.07).
2. Dismissal for just cause of a member of the academic staff having teaching responsibilities shall be heard by the Faculty Termination Review Committee. The hearing shall be held pursuant to the provisions of UWS 11.

UWEC 11.04 Hearing Procedures for Dismissal Appeals

1. If a staff member requests a hearing within twenty calendar days from the service of the statement of specific charges (twenty-five calendar days if notice is by first class mail and publication), such hearing shall be convened no later than twenty calendar days after the request, except that this time limit may be extended by mutual consent of the parties or by order of the Hearing Committee.
2. The request for a hearing must be submitted in writing to the chair of the Academic Staff Complaint, Grievance, and Review Committee.
3. Within five working days of receipt of the hearing request, the Academic Staff Complaint, Grievance, and Review Committee Chair shall acknowledge, in writing, receipt of the request and shall provide

a copy of the acknowledgement to the petitioner's dean or director. In the acknowledgement the chair shall ask the petitioner to submit a clear written statement of the reasons for the hearing request and any relevant documentation. The chair shall request, in writing, that the dean or director provide a copy of the statement of charges and any other relevant documentation. Such documentation may include (but is not limited to) information regarding the sequence of events leading to the charge(s), correspondence regarding pertinent events in the case, names of individuals with direct knowledge of those events, and commentary regarding the nature of their knowledge. All documentation must be submitted to the Hearing Committee chair by the date set at the Pre-Hearing Conference (see UWEC 11.04, par. 6 and 7). Documents from the petitioner and from the dean or director will be exchanged on the date set at the pre-hearing conference. Documents shall not be shared by the committee with either party prior to this date.

4. Selection of Hearing Committee

- a. Within five working days after a request for a hearing has been filed, the Academic Staff Complaint, Grievance and Review Committee Chair shall call a meeting of the full Committee. The Committee shall select from its own membership a Hearing Committee of five. Selection of Hearing Committee members shall be by a random selection process.
- b. Members of the Committee may request to be disqualified from the case on the grounds of bias. Likewise, either party to the appeal may request that a particular committee member be disqualified for cause. In either case, the remaining Committee members shall hear the explanation for the request. By majority vote they shall determine whether to honor the request or deny it [UWS 11.06(2)(a)].
- c. When a member of the Hearing Committee has been disqualified, the Committee shall randomly select a replacement from among the remaining members of the Committee. The composition of the Hearing Committee shall in no way compromise the provisions of UWS 11.06(1)(a).
- d. The Hearing Committee shall convene and elect a chair. The chair shall request of the Chancellor personnel assistance to provide a verbatim record of the proceedings [UWS 11.05(1)(e)], clerical assistance to record written findings [UWS 11.05(1)(f)], and legal counsel [UWS 11.06(2)(b)].
- e. In consultation with the Hearing Committee, the chair will set a date for a Pre-Hearing Conference and for the hearing. Service of written notice of the hearing and the pre-hearing conference shall be provided to both parties at least ten calendar days prior to the hearing.

5. Hearing Procedures for Dismissal Cases

- a. The Hearing Committee shall conduct a Pre-Hearing Conference within ten calendar days of receipt of the original hearing request. The Pre-Hearing Conference shall be held with all parties involved to:
 - 1) confirm the names and official mailing addresses of all parties involved,
 - 2) confirm that there is a dismissal appeal to be heard,
 - 3) identify the applicable UWS and UWEC rules having jurisdiction over the matter,
 - 4) state clearly the charge(s), the petitioner's interest in the matter, the remedy being sought,
 - 5) hear any opening statements, pre-hearing motions, or closing statements made by the parties,
 - 6) decide whether the hearing will be open or closed,
 - 7) stipulate facts agreed upon, and
 - 8) determine a timetable for the exchange of witness lists and documents.

A written summary of the Pre-Hearing Conference shall be distributed to all parties involved within one working day of the conclusion of the Pre-Hearing Conference.

- b. The Hearing Committee subsequently shall convene to hear the appeal. The hearing shall

proceed according to UWS and UWEC 11.04, 11.05, and 11.06. In consultation with the Hearing Committee, the chair shall be responsible for maintaining the decorum of the hearing and determining the relevance of the questions asked. It is recommended that the Hearing Committee pursue the following order of business:

- 1) The chair shall summarize the purpose of the hearing and the issues involved.
 - 2) The chair shall ask both parties (the institution or its representative first and the petitioner second) whether they have any questions before the hearing proceeds. This order of presentation should be maintained consistently throughout the hearing.
 - 3) The chair shall ask whether each party wishes to make an opening statement.
 - 4) Each party shall have the opportunity to present documents and witnesses to support the case. Each party may pose questions to the witnesses.
 - 5) The chair shall ask whether each party wishes to make a closing statement.
 - 6) The chair shall inquire if there are any final questions and shall close the hearing.
- c. Notwithstanding UWS 11.06(1)(b), the final deliberation of the Hearing Committee in the formulation of its recommendation(s) shall be in closed meeting as provided by Subchapter V, Chapter 19, Wis. Stats. The Hearing Committee shall allow for a minority report in all of its recommendations. The Hearing Committee's recommendations and the consideration thereof will proceed as specified in UWS and UWEC 11.07.
6. The Hearing Committee is authorized to develop additional procedures not inconsistent with the provisions of Chapters UWS 11 and UWEC 11.
 7. The timelines for hearings cited in UWS or UWEC rules may be extended by mutual consent of the parties involved or by order of the Hearing Committee.

UWEC 11.05 Adequate Due Process

A fair hearing for an academic staff member whose dismissal is sought under UWS 11.01 and UWEC 11.01, except as specifically limited in UWS and UWEC 11.11 or 11.12, shall include the following:

1. a right to the names of witnesses and of access to documentary evidence upon the basis of which dismissal is sought;
2. a right to be heard in his or her defense;
3. a right to counsel and/or other representative, and to offer witnesses;
4. a right to confront and cross-examine adverse witnesses;
5. a verbatim record of all hearings, which might be a sound recording, provided at no cost;
6. written findings of fact and decision based on the hearing record;
7. admissibility of evidence governed by section 227.10, Wis. Stats.

UWEC 11.06 Procedural Guarantees

A fair hearing for an academic staff member under UWS and UWEC 11, except as specifically limited in UWS and UWEC 11.11 or 11.12, shall include the following procedural guarantees:

1. Any person who participated in the investigations of allegations leading to the filing of a statement of charges, or in the filing of a statement of charges, or who is a material witness shall not be qualified to participate as a member of the hearing body.
2. The hearing shall be closed unless the staff member under charges requests an open hearing, in which case it shall be open (as provided by Chapter 19.85(1)(b), Subchapter V, Wis. Stats., Open Meeting Law).
3. The hearing body shall not be bound by common law or statutory rules of evidence and may admit evidence having reasonable probative value but shall exclude immaterial, irrelevant, or unduly

repetitious testimony, and shall give effect to recognized legal privileges.

4. The burden of proof of the existence of just cause is on the administration or its representatives.
5. If a staff member whose dismissal is sought has requested a hearing, discontinuance of the proceeding by the institution is deemed a withdrawal of charges and a finding that the charges were without merit.
6. Nothing in par. (5) shall prevent the settlement of cases by mutual agreement between the administration and the staff member, with the Chancellor's approval, at any time prior to a final decision by the Chancellor; or when appropriate, with the Board's approval prior to a final decision by the Board.
7. Adjournments shall be granted to enable either party to investigate evidence as to which a valid claim of surprise is made.

UWEC 11.07 Recommendation to the Chancellor in Dismissal Cases

1. Within twenty working days of the hearing, the Hearing Committee shall send a verbatim record of the testimony, which may be a sound recording, and a copy of its report, findings, and recommendations to the Chancellor and to the staff member concerned. The report shall include:
 - a. the names and official mailing addresses of all parties involved,
 - b. a statement of the petitioner's request and the UWS and UWEC chapters and sections under which it was filed,
 - c. the Hearing Committee's findings of fact,
 - d. the Hearing Committee's conclusions of law, i.e., its rationale as to whether the alleged charges are valid or not, and
 - e. the Hearing Committee's recommendations to the Chancellor to
 - 1) dismiss the staff member,
 - 2) impose a lesser disciplinary action, or
 - 3) find in favor of the staff member, dismiss the charges against the staff member, and remove any record of the charges from the staff member's personnel file.
2. After reviewing the matter on record and considering arguments if submitted by the parties, the Chancellor shall issue a decision to both parties and the Hearing Committee within twenty working days. This decision shall be deemed final unless the Board of Regents, upon request of the staff member, grants a review based on the record. In dismissal cases against an indefinite appointee, the Board shall review the case according to UWS 11.10.

UWEC 11.08 Suspension from Duties

The staff member with an indefinite appointment shall continue to receive his or her salary until the Chancellor makes a decision as to dismissal and shall not be relieved of his or her duties except as noted in UWS 11.08.

UWEC 11.09 Date of Dismissal

A decision by the Chancellor ordering dismissal shall specify the effective date of the dismissal.

UWEC 11.10 Board Review

A member of the academic staff on indefinite appointment who has been dismissed for just cause by the Chancellor following a hearing may appeal this action to the Board of Regents. Any appeal must be made within 30 days of the date of the decision of the Chancellor to dismiss. Upon receiving an appeal the Board shall review the case on the record. Following such review, the Board may confirm the Chancellor's decision, or direct a different decision, or approve a further hearing before the Board with an opportunity for filing exceptions to the hearing body's recommendations or the Chancellor's decision

and for oral argument on the record. If further review with opportunity for oral argument on the record is provided, this review shall be closed unless the staff member requests an open hearing. [See Chapter 15.85(1)(b), Subchapter V, Wis. Stats., Open Meeting Law.] All decisions of the Board, whether after review on the record or after oral argument, shall be expressed in writing and shall indicate the basis for such decision.

UWEC 11.11 Dismissal for Cause—Fixed Term or Probationary Appointees

A member of the academic staff holding a probationary appointment, or a member of the academic staff holding a fixed term appointment and having completed six months in the position, may be dismissed prior to the end of the contract term only for just cause or for reasons of budget or program under UWS 12. A nonrenewal of such an appointment is not a dismissal under this section. The provisions of UWEC 11.01(2) through 11.07 and 11.09, UWS 11.03 through 11.07, 11.09 and 11.11 shall apply to dismissal for just cause of fixed term or probationary academic staff appointees.

In no event shall a decision favorable to the appellant extend the term of the original appointment. If a proceeding on appeal is not concluded before the appointment expiration date, the academic staff member concerned may elect that such proceeding be carried to a final decision. Unless such election is made in writing, the proceeding shall be discontinued at the expiration of the appointment. If the Chancellor ultimately decides in favor of the appellant, salary lost during the interim period between the effective date of dismissal and the date of the Chancellor's decision or the end of the contract period, whichever is earlier, shall be restored.

UWEC 11.12 Dismissal for Cause—Instructional and/or Research Academic Staff

As provided under UWS and UWEC 11.03(2) and UWS 11.12, a dismissal hearing for instructional and/or research academic staff shall be heard before the Faculty Termination Review Committee pursuant to UWS 11.02 through 11.10. In such cases, dismissal shall be effective immediately upon receipt of written notification to that effect from the Chancellor, pursuant to recommendations of the Faculty Termination Review Committee. Provisions for Board review under UWS 4.08 will apply to allow the appellant opportunity for reinstatement or recovery of lost salary as provided under UWS 11.11. In no event, however, shall a decision favorable to the appellant extend the time of the original appointment specified in the letter of appointment.

LAYOFF AND TERMINATION (US 5/96)

Academic Staff Personnel Rules

UWS 12 LAYOFF OF ACADEMIC STAFF FOR REASONS OF BUDGET OR PROGRAM

UWEC 12.01 General

Notwithstanding 36.15, Wis. Stats., and UWS 10 and 11, the Chancellor or his/her designee may layoff a member of the academic staff holding an indefinite appointment or may layoff a member of the academic staff, hereafter staff member, holding either a fixed term or a probationary appointment prior to the end of the appointment period when such action is deemed necessary due to budget or program decision requiring program discontinuance, curtailment, modification, or redirection. Program decisions made pursuant to a change in the level of resources available for a particular project shall be discussed by the Chancellor or his/her designee with both the standing Academic Staff Personnel Committee and the Academic Staff Complaint, Grievance, and Review Committee. Decisions affecting individuals shall be communicated to the affected persons by the Chancellor or his/her designee together with a description of the change in available resources which has required the layoff decision. Nonrenewal of a probationary staff appointment (under UWS 10.04) or a fixed term appointment, even if for financial reasons, is not a layoff for reasons of program or budget.

UWEC 12.02 Layoff

For the purpose of this chapter, “layoff” is the suspension of a staff member’s employment by the University of Wisconsin System during the appointment period for reasons of budget or program. A laid-off staff member retains the rights specified in UWS 12.07 through 12.11 and UWEC 12.07 through 12.11 inclusive. For the purposes of 36.21, Wis. Stats., termination occurs at the time of layoff.

UWEC 12.03 Individual Layoff Decision

When a reduction in program of a particular operational area is required, layoff of staff members with indefinite, fixed term, or probationary appointments should normally follow seniority, as established by date of acceptance of initial letter of academic staff appointment, excluding any periods of non-employment. This presumption in favor of seniority may be overcome upon consultation with the standing Academic Staff Personnel Committee where program needs dictate other considerations (e.g., the need to maintain specific expertise within the program or operational area). The standard notice periods specified in UWEC 10.05 should be used, unless there are compelling reasons to the contrary (e.g., almost immediate cutoff of funds) for layoff of probationary and fixed term appointments under this chapter. Indefinite appointees shall have twelve months’ notice of layoff for reasons of budget or program, unless there are compelling reasons to the contrary.

UWEC 12.04 Hearing Body

The Academic Staff Complaint, Grievance, and Review Committee shall be the hearing body for the purpose of this chapter. This body shall act as the hearing agent for the Chancellor pursuant to 227.12, Wis. Stats., and conduct the hearing, make a verbatim record of the hearing, prepare a summary of the evidence, and transmit such record and summary, along with findings of fact and decision, to the Chancellor as specified in UWEC 11.04.

UWEC 12.05 Review and Hearing for Indefinite Appointments

1. A staff member with an indefinite appointment whose position is to be eliminated shall be notified in writing. The staff member has 20 calendar days after such notification to make a written request for a written statement of the reasons for the decision. Within 15 calendar days of the request, the staff member shall receive a statement of the reasons for the decision. This written statement shall indicate the reasons the budgetary or program needs should be met by curtailing or discontinuing the program in which the individual concerned works. The staff member has 20 calendar days after receipt of the written statement of reason to request a hearing before the hearing body. However, such a request for hearing shall not forestall a layoff under this section.
2. Upon receipt of a hearing request by the Academic Staff Complaint, Grievance, and Review Committee, the chair shall call a meeting of the full membership. Procedures and selection of membership for the Hearing Committee shall adhere to UWEC 11.04 and UWS 12.05.

UWEC 12.06 Review for Fixed Term and Probationary Academic Staff Members

The Chancellor shall review, with the standing Academic Staff Personnel Committee, program decisions leading to layoff for reasons of budget or program of academic staff members with fixed term or probationary appointments. Review procedures specified in UWEC 12.05 and 12.06 shall also apply to probationary and fixed term academic staff members who are laid off prior to the completion of their appointments. Nonrenewal is not a layoff under this section.

UWEC 12.07 Layoff Status

A staff member whose position has been eliminated according to the provisions of this chapter may, at the end of the appropriate notice period, be placed on layoff status unless the layoff notice has been rescinded prior to that time. The staff member whose notice period has expired and who is placed on layoff status shall remain on layoff status until:

1. For fixed term and probationary appointee, one of the following occurs:
 - a. The appointment expires under its own terms.

- b. The staff member fails to accept an alternative appointment.
2. For staff on indefinite appointment one of the following occurs:
 - a. The staff member is reappointed to the position from which laid off. Failure to accept such reappointment would terminate the staff member's association with the institution.
 - b. The staff member accepts an alternative continuing position at the institution. Failure to accept an alternative appointment would not terminate the staff member's association with the institution.
 - c. The staff member resigns.
 - d. The staff member fails to notify the Chancellor or his/her designee by December 1 of each year while on layoff status as to the staff member's location, employment status, and desire to remain on layoff status. Failure to provide such notice of desire to remain on layoff status shall terminate the staff member's association with the institution.
 - e. A period of three years lapses.

UWEC 12.08 Alternative Employment

UW-Eau Claire shall devote its best efforts to securing alternative appointments within the institution in positions for which staff laid off under this chapter are qualified under existing criteria. UW-Eau Claire should seek to provide financial assistance for staff members who have indefinite appointments and who are to be laid off to readapt within the operational area or within another operational area of the institution where such readaptation is feasible within one year's time.

UWEC 12.09 Reappointment Rights

Where layoffs occur for reasons of budget or program, no person may be employed in that operational area within 3 years to perform reasonably comparable duties to those of the staff member laid off without first offering the laid off staff member on layoff status reappointment without loss of rights or status. In addition, UW-Eau Claire shall continue for 3 years from date of layoff to offer the reappointment rights stated in this section to a laid-off fixed term or probationary appointee whose appointment has expired under its own terms if such appointee notified the Chancellor or his/her designee by December 1 of each year as to the staff member's location, employment status, and desire to pursue reappointment rights under this section. For probationary staff, the clock will stop when the layoff occurs and will restart at the time the staff member is rehired if within the three-year period.

UWEC 12.10 Retention of Salary

Any academic staff member reappointed within 3 years after layoff to reasonably comparable duties within the operational area shall be reappointed with a salary rate at least equivalent to the salary rate when laid off, together with such other rights and privileges which may have accrued at the time.

UWEC 12.11 Rights of Academic Staff Members on Layoff

Any staff member on layoff status in accord with the provisions of UWS 12 and UWEC 12 has the re-employment rights guaranteed by UWS 12.09 and 12.10 and has the following minimal rights:

1. Voluntary participation in life, health, and income continuation insurance programs, including the right to prepay as long as layoff status is maintained with conversion rights if still on layoff status at the end three years.
2. Such continued use of campus facilities and participation in institution activities as is extended to emeriti personnel.

COMPLAINTS AND GRIEVANCES (US 2/99)

Academic Staff Personnel Rules

UWS 13 COMPLAINTS AND GRIEVANCES

UWS 13.01 Complaints

1. Definition

Complaints are allegations by persons other than the academic staff member's supervisor(s), including administrators, students, other academic staff, faculty, classified staff, or members of the public concerning conduct by an academic staff member that violates university rules or policies or that adversely affects the staff member's performance of obligations to the University but which allegations are not serious enough to warrant dismissal proceedings under Chapter UWS and UWEC 11. The burden of proof of the alleged misconduct is on the institution or its representative.

2. Initial Procedures to Resolve Complaints

- a. Complaints should be resolved informally whenever possible. Before initiating a formal complaint, the complainant should discuss the issue with the person whose alleged actions led to the complaint or, when not possible, with that person's immediate supervisor, dean, or director. In all cases, the person first hearing the complaint shall notify the staff member that a complaint has been made against him or her and shall provide a description of the alleged misconduct, the name of the complainant, and give him or her an opportunity to explain his or her conduct.
- b. If informal resolution has been unsuccessful, a formal written complaint may be made to the Provost within thirty calendar days of the alleged misconduct. The written complaint must be signed and specify the alleged misconduct, the steps taken toward informal resolution, and the resolution sought. The Provost shall review and act upon it within fifteen working days. The Provost shall first give written notice to the academic staff member involved regarding the nature of the complaint and give him or her an opportunity to explain his or her conduct. The Provost may make a further investigation of the allegations and shall then
 - 1) dismiss the complaint,
 - 2) take disciplinary action, or
 - 3) refer it to the Academic Staff Complaint, Grievance, and Review Committee for a hearing.The Provost shall notify the staff member, in writing, of his or her decision.
- c. If the Provost or any administrator invokes disciplinary action without referral to the Academic Staff Complaint, Grievance, and Review Committee, the staff member shall have a right to a hearing before the Academic Staff Complaint, Grievance, and Review Committee.

3. Procedures to File a Hearing Request in Complaint Cases

- a. If a staff member requests a hearing within twenty calendar days notice of disciplinary action, such hearing shall be convened no later than twenty calendar days after the request, except that this time limit may be extended by mutual consent of the parties or by order of the Hearing Committee.
- b. The request for a hearing shall be addressed in writing to the chair of the Academic Staff Complaint, Grievance, and Review Committee.
- c. Within five working days of receipt of the hearing request, the Academic Staff Complaint, Grievance, and Review Committee Chair shall acknowledge, in writing, receipt of the request and shall provide a copy of the acknowledgement to the person who took disciplinary action, and the staff member's dean or director. In the acknowledgement, the chair shall ask the staff member to submit a clear written statement of the reasons for the hearing request and any other relevant documentation. The chair shall request, in writing, that the person who took disciplinary action provide a copy of the complaint and any other relevant documentation. Documentation may include (but is not limited to) information regarding the sequence of events leading to the complaint, correspondence regarding pertinent events in the case, names of individuals with direct knowledge of those events, and commentary regarding the nature of their knowledge. All documentation must be submitted to the Hearing Committee chair by the date set at the Pre-Hearing Conference (see UWEC 13.01,4,d). Documents from both parties will be exchanged on the date set at the Pre-Hearing Conference. The Committee shall not share these documents with either party prior to this date.

4. Hearing Committee

- a. Within five working days after a request for a hearing has been filed, the full Academic Staff Complaint, Grievance, and Review Committee shall meet to select from its own membership a Hearing Committee of five. Selection of Hearing Committee members shall be by a random selection process.
- b. Members of the committee may request to be disqualified from the case on the grounds of bias. Likewise, either party may request that a particular Committee member be disqualified for cause. In either case, the remaining Committee members shall hear the explanation for the request. By majority vote they shall determine whether to honor the request or deny it. When a member of the Hearing Committee has been disqualified, the Committee shall randomly select a replacement from among the remaining members of the Committee.
- c. The Hearing Committee shall convene and elect a chair. The chair shall request of the Chancellor personnel assistance to provide a verbatim record of the proceedings, clerical assistance to record written findings, and legal counsel.
- d. In consultation with the Hearing Committee, the chair of that committee will set a date for a Pre-Hearing Conference and for the hearing. Service of written notice of the hearing shall be provided to both parties at least ten calendar days prior to the hearing.

5. Hearing Procedures for Complaints

- a. The Hearing Committee shall conduct a Pre-Hearing Conference within ten calendar days of receipt of the original hearing request. The Pre-Hearing Conference shall be held with all parties involved to:
 - 1) confirm the names and official mailing addresses of all parties involved,
 - 2) confirm that there is a complaint case to be heard,
 - 3) identify the applicable UWS and UWEC rules having jurisdiction over the matter,
 - 4) state clearly the complaint, the staff member's interest in the matter, and the remedy being sought,
 - 5) hear any opening statements, pre-hearing motions, or closing statements made by the parties,
 - 6) decide whether the hearing will be open or closed,
 - 7) stipulate facts agreed upon, and
 - 8) determine a timetable for the exchange of witness lists and documents.

A written summary of the Pre-Hearing Conference shall be distributed to all parties involved within one working day of the conclusion of the Pre-Hearing Conference.

- b. The Hearing Committee subsequently shall convene to hear the case. The hearing shall be restricted to consideration of the complaint specified in the notification to the staff member. In consultation with the Hearing Committee, the chair shall be responsible for maintaining the decorum of the hearing and for determining the relevance of the questions asked. It is recommended that the Hearing Committee pursue the following order of business:
 - 1) The chair shall summarize the purpose of the hearing and the issues involved.
 - 2) The chair shall ask both parties (the institution or its representative first and the staff member second) whether they have any questions before the hearing proceeds. This order of presentation (institution then staff member) should be maintained consistently throughout the hearing.
 - 3) The chair shall ask whether each party wishes to make an opening statement.
 - 4) Each party shall have the opportunity to present documents and witnesses to support the case. Each party may pose questions to the witnesses.
 - 5) The chair shall ask whether each party wishes to make a closing statement.

- 6) The chair shall inquire if there are any final questions and shall close the hearing.
- c. The final deliberation of the Hearing Committee in the formulation of its recommendation(s) shall be in closed meeting as provided by Chapter 19.85(1)(b), Subchapter V, Wis. Stats. The Hearing Committee shall allow for a minority report in all of its recommendations.
6. Recommendations to the Chancellor in Complaint Cases
 - a. Within twenty working days of the hearing, the Hearing Committee shall send a verbatim record of the testimony, which may be a sound recording, and a copy of its report, findings, and recommendations to the Chancellor and to the staff member concerned. The report shall include:
 - 1) the names and official mailing addresses of all parties involved,
 - 2) a statement of the staff member's interest in the matter, and the UWS and UWEC chapters and sections under which it was filed,
 - 3) the Hearing Committee's findings of fact,
 - 4) the Hearing Committee's conclusions of law, i.e., the Committee's rationale as to whether the complaint is valid or not, and
 - 5) the Hearing Committee's recommendations to the Chancellor to
 - a) dismiss the complaint, rescind disciplinary action, and remove any record of the complaint from the staff member's personnel record, or
 - b) affirm the disciplinary action, or
 - c) rescind the disciplinary action, remove any record of it, and substitute action recommended by the Committee.
 - b. After reviewing the matter on record, the Chancellor shall act on the report and notify the Committee and both parties of any action within twenty working days.
7. If the Provost refers the complaint to the Academic Staff Complaint, Grievance, and Review Committee for a hearing before any disciplinary action is taken, the following procedures shall apply:
 - a. The referral for a hearing must be submitted in writing to the Chair of the Academic Staff Complaint, Grievance, and Review Committee. All relevant materials accumulated by the Provost shall be sent to the Committee chair and a copy shall be sent to the staff member against whom the complaint was made.
 - b. Within five working days of receipt of the referral, the Committee shall meet to select a Hearing Committee to hear the case following procedures in UWEC 13.01,4.
 - c. The hearing shall be conducted according to procedures in UWEC 13.01,5 except that the Hearing Committee's report to the Chancellor shall include a recommendation to
 - 1) dismiss the complaint and remove any record of it or
 - 2) suggest disciplinary action or other appropriate remedy.
8. The Hearing Committee is authorized to develop additional procedures, not inconsistent with the provisions of UWS 13 and UWEC 13.01.
9. The timelines for hearings cited in UWS or UWEC rules may be extended by mutual consent of the parties involved or by order of the Hearing Committee.

UWEC 13.02 Grievances

1. Definition

A grievance is a personnel problem involving an academic staff member's expressed feeling of unfair treatment or dissatisfaction with aspects of his/her university working conditions which are outside his/her control.

2. To the extent practical, all grievances should be settled through informal discussions at the lowest

possible administrative level and may be discussed with progressively higher administrators in a mutually sincere effort to reach an acceptable settlement. In addition, any question or allegation not related to discrimination may be discussed informally with the chair of the Academic Staff Personnel Committee.

Complaints or grievances having to do with discrimination or harassment will be handled as outlined below under "Equal Opportunity/Affirmative Action Complaints and Grievances."

3. Any academic staff member having a grievance that has not been resolved through regular university procedures may submit a written statement of the grievance to the chair of the Academic Staff Complaint, Grievance, and Review Committee. If possible, pertinent documents should be filed with the statement of grievance. The committee will then determine whether it wishes to take formal action on the grievance or to appoint a subcommittee to attempt informally to resolve the grievance in consultation with the parties involved. If the grievance is not resolved to the satisfaction of the academic staff member involved, he/she may request a formal hearing.
4. Upon filing of a grievance in writing, the following procedures shall apply:
 - a. The chair of the Academic Staff Complaint, Grievance, and Review Committee shall inquire whether the grievant has attempted to resolve the grievance through normal informal university procedures. If not, the chair may ask the grievant to do so before invoking the formal grievance procedures and shall notify the grievant that a subcommittee of the Personnel Committee will assist in the informal resolution of the grievance if the grievant so desires.
 - b. If the grievant prefers not to try informal procedures or has tried them and remains unsatisfied, the grievance shall be brought to the full committee. A Hearing Committee shall be appointed to conduct a formal hearing into the case, consider the validity of the grievance, and write a final report. Academic Staff Complaint, Grievance, and Review Committee members who assisted in an attempt to resolve a grievance informally may not sit on a Hearing Committee dealing with the same grievance. Appointment of the Hearing Committee and conduct of the hearing shall follow UWEC 11.04.
 - c. In all instances where a grievance has been filed, the chair of the Academic Staff Complaint, Grievance, and Review Committee shall notify the members of the Academic Staff Complaint, Grievance, and Review Committee in writing and shall forward to the members copies of all documentation submitted by the grievant.
5. If the grievant chooses to pursue the informal resolution of the grievance, the following procedures are recommended:
 - a. The chair of the Academic Staff Complaint, Grievance, and Review Committee shall appoint a subcommittee of two.
 - b. The subcommittee will pursue informal resolution between the parties, including informing the person(s) against whom the grievance was filed of the nature of the grievance. The subcommittee's role may include (but is not limited to) encouraging the speedy resolution of the conflict and acting in a mediating capacity between the parties.
 - c. If the informal effort does not produce a resolution that is satisfactory to the person(s) filing the grievance within 30 working days of the subcommittee being appointed and the individual(s) wishes (wish) to do to a formal hearing, that hearing shall be held according to the procedures outlined in UWEC 11.04.
6. The Committee is authorized to develop additional procedures, not inconsistent with the provisions of this chapter, appropriate to a particular grievance.
7. The Hearing Committee's final report shall evaluate the grievance and recommend appropriate administrative action. The report shall be sent to the Chancellor with a copy to the academic staff member making the request. If resolution of the case results in a decision to dismiss, then the provisions of UWS 11 and hearing privileges under UWEC 11 shall apply.

Equal Opportunity/Affirmative Action Complaints or Grievances

Complaints or grievances having to do with discrimination or harassment based on race, religion, creed, color, sex, gender identity or expression, ancestry, national origin, age, marital status, sexual orientation, disability, veteran's status, membership in the military forces, arrest or conviction record, political affiliation, and all categories protected by law are handled through the Affirmative Action Office. See Chapter 4, EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION POLICIES.

All complaints, questions, or requests for information should be referred to the Affirmative Action Office, 217 Schofield, (715) 836-2387, affirm01@uwec.edu. The Affirmative Action Office's procedure for handling complaints is found at <http://www.uwec.edu/affirm/Policies/index.htm>. (US4/07)

Outside Activities—Faculty and Academic Staff

General Policies and Procedures

POLITICAL ACTIVITY

The University encourages members of the faculty and staff to take an active interest in the political life of the city, state, and nation. For pertinent policies and regulations see Political Activity by State Employees and Use of University Facilities by Non-University Groups.

COMPENSATION FROM EXTERNAL SOURCES

See *Funding for Research and other Activities (External Sources)* (for faculty, see Chapter 5, p. 17; for academic staff, see Chapter 5, p. 45) and *Non-University Employment* (for faculty, see Chapter 5, p. 17; for academic staff, see Chapter 5, p. 45).

Faculty/Academic Staff Personnel Rules

UWS 8 UNCLASSIFIED STAFF CODE OF ETHICS

UWEC 8.01 Declaration of Policy

Every member of the unclassified staff at the time of appointment makes a personal commitment to professional honesty and integrity, to seek knowledge, and to share that knowledge freely with others. Such a commitment is essential for the University to perform its proper function in our society and ensure continued confidence of the people of this state in the University of Wisconsin-Eau Claire and its personnel. It is a violation of this commitment for unclassified staff members to seek financial gain for themselves, their immediate families, or organizations with which they are associated through activities that conflict with the interests of the University of Wisconsin System.

UWEC 8.025 (1) Outside Activities

The only activities which are prohibited are those which would result in a conflict between the personal interests of an unclassified staff member and that staff member's public responsibilities to UW-Eau Claire.

Examples of activities which are unlikely to cause conflict are:

- participation in many types of public service;
- presentation or review of papers;
- unpaid consultancies involving neither use of university facilities, undue consumption of time, nor publication restrictions on university research;
- university research funded in whole or part by non-governmental sponsors through contract, grant or restricted gift, where the particular staff member has no financial interest in the sponsor or in the research results.

Other activities more likely to present the possibility of a conflict include:

- extensive or recurring paid consulting;
- associations with organizations, as defined in UWS 8.02(3), related to staff members' fields of academic interest or specialization;
- university research funded in whole or part by non-governmental sponsors through a contract, grant or restricted gift, where the staff member has a financial interest in the sponsor or the research results;
- activities involving a private remunerative relationship between a staff member and non-governmental sponsor of university research for which the staff member is a principal investigator;
- situations which may result in research that would normally be carried out at the University being diverted to a private establishment to the detriment of the University;
- situations giving to a private entity exclusive access to information resulting from a staff member's university research;
- situations in which a staff member directs a student into research from which the member expects to receive financial gain.

UWEC 8.025 (2) Reportable Outside Activities²

1. When an unclassified staff member or member of an unclassified staff's immediate family is a director, officer, or trustee or owns or controls directly or indirectly, and severally or in the aggregate, at least

² The form to be used for reporting Outside Interests and Activities is provided at the end of this section on UWS 8. The form may be duplicated, or additional copies may be obtained from the Provost and Vice Chancellor's office.

10% of the outstanding equity in an organization or business related to the staff member's field of academic interest or specialization, that activity must be reported. [UWS 8.02, (3) and (12).]

2. When private remunerative relationships exist between unclassified staff members and non-governmental sponsors of university research for which the unclassified staff member is a principal investigator, that activity must be reported.
3. When remunerative outside activities in an unclassified staff member's field of academic interest or specialization, including but not limited to consultation, are compensated, that activity must be reported. In addition, if compensation for such activities amounts to \$5,000 or more per single source in a year, that fact must be reported.
4. Any unclassified staff member who participates in outside interests and activities reportable under UWS 8.025(2) must file a retrospective form for the previous calendar year by March 31 of the current year. UW-Eau Claire Report of Outside Interests and Activities forms may be obtained from the unclassified staff member's administrative supervisor and upon completion should be returned to the administrative supervisor. These forms are forwarded through administrative channels to the Provost and Vice Chancellor by April 15. The Provost and Vice Chancellor shall compile the campus report which is to be forwarded to System Administration by April 30. (See UWS 8.06)
5. If, during the year, significant changes in an unclassified staff member's reportable outside activities occur, the unclassified staff member shall immediately inform in writing his/her administrative supervisor. This information shall be placed on file with the unclassified staff member's annual statement of outside activities.

UWEC 8.025 (3) Institutional Policies

1. The standards which shall govern the use of university facilities, resources, and personnel in connection with outside activities of unclassified staff shall be in accord with those policies of UW-Eau Claire which currently govern the use of such facilities, resources, and personnel by off-campus groups. (See *UW-Eau Claire Policybook*, 5:16.)

Several standards remain constant.

- a. GPR funded activities shall have priority use of academic facilities and segregated fee funded activities shall have priority use of auxiliary (funded or student life programming) facilities. University prime mission and student life programming needs must be considered prior to reserving space for outside use.
 - b. The Director of University Centers is the Chancellor's designee in administering facilities usage.
 - c. Unclassified staff may engage in general instruction, public service, and research of individuals in the community and other outside parties under UW System and UW-Eau Claire rules governing reporting of outside activities and the faculty/academic staff code of ethics. No charge shall be made for the use of university facilities for such purposes as long as the University does not incur additional costs, there is no interference with other private mission activities, and the unclassified staff member does not receive financial gain.
 - d. Unclassified staff engaging in commercial enterprises which make use of university facilities shall be assessed rental fees and other user charges in accordance with regular UW-Eau Claire practices.
2. Policies governing any absence from regular duties are covered by UWEC 7.01 (5) and 16.01. They cover such issues as types of absences, criteria for excused absences, procedures for filing absence reports, and appeal of decisions and interpretations of supervisors. These policies supplemented by the policies listed below also apply to absences caused by outside activities reportable under UWEC 8.025 (2).

Absences for outside activities reportable under UWEC 8.025 (2) shall be anticipated, and the staff member shall file an absence report at least 24 hours prior to the anticipated absence. This report shall be reviewed by the immediate supervisor who will determine if it is an appropriate absence in terms of the timing of the absence and the amount of time it takes from the staff member's assigned duties. If it is judged appropriate, the supervisor shall determine if it is an absence with pay or without pay according to the criteria in UWEC 7.01 (5) or 16.01.

In determining the appropriateness of the absence, the supervisor should consider the educational advantages to the University of having the staff member actively engaged in outside activities that enhance the staff member's professional development and role as a professional model for students. These should be weighed against the disadvantages that incur with absence from assigned duties. Each situation is different in terms of the type of duty missed, the nature of the activity, and the manner in which the absence is covered so that no single standard for judging an absence as excessive is possible. As a general rule, however, the supervisor should examine very closely any anticipated absence that would cause the instructional staff member to miss more than 10% of scheduled class time for any given course or the administrative and/or professional staff member to miss more than 10% of contracted work days.

UWEC 8.03 (3) Nepotism Policy

The University of Wisconsin System acts in accord with the public policy of the state to encourage and foster to the fullest extent practicable, the employment of . . . properly qualified persons regardless of their age, race, creed, color, handicap, sex, national origin or ancestry. (Wis. Stats. 111.31)

No restriction is placed on hiring related persons. However, to avoid possible conflict of interest,

1. no member of the unclassified staff may participate, formally or informally, in the decision to hire, retain, grant tenure, promote, or determine the salary of a member of his or her immediate family.
2. no member of the unclassified staff may, in the supervision or management of another unclassified staff member who is a member of his or her immediate family, give preferential or favored treatment.

"Immediate family" means: (a) an unclassified staff member's spouse; and (b) any person who receives, directly or indirectly, more than one half of his or her support from an unclassified member or from whom an unclassified member receives, directly or indirectly, more than one half of his or her support. [UWS 8.02 (9)]

For additional guidance, consult the Statement on Consensual Relationships located in Chapter Four of this *Handbook*, UWEC 8.035 Institutional Ethics Committee, UWEC 8.04 Action to Avoid Possible Conflict, and UWEC 8.05 Sanctions. (US 03/03)

UWEC 8.03 (4) Student Research Protection

A member of the unclassified staff shall inform students engaged in research under his or her supervision of any financial interest which the unclassified staff member has in the research activity, including, but not limited to, financial arrangements involved in the direct support of the activity, agreements made by the unclassified staff member to obtain data for the research, or agreements concerning copyright or patent rights arising from the research. Such use of students in research should be governed by concerns for the educational needs of and benefits of the students.

Students engaged in research with an unclassified staff member shall be informed in writing of any financial interest which the staff member has in that research activity and the implications of any agreements restricting the students' right to publish or communicate freely with respect to that research activity. A copy of this written notification shall be filed with the staff member's immediate supervisor.

UWEC 8.035 Institutional Ethics Committee

According to UWS 8.035, each institution shall establish a committee, or designate an existing committee, whose function shall be to provide any member of the unclassified staff consultation and advice on the application of UWS 8. At UW- Eau Claire, the University Senate Executive Committee shall provide such consultation for members of the unclassified staff.

Committee deliberations and actions upon requests for consultation or advice shall be in meetings not open to the public. Records obtained in requests for consultation or advice shall be considered confidential university information. However, summaries of advice provided by this committee, which do not disclose the identities requesting such advice, shall be made public in an annual report to the Chancellor. (US 2/07)

UWEC 8.04 Action to Avoid Possible Conflict

1. When it appears that a material conflict may arise between the personal interests of an unclassified staff

member and his/her public responsibilities to the University, the unclassified staff member shall notify his/her administrative supervisor by submitting a written statement describing the nature of the possible conflict.

2. Within 15 days after writing that statement, the staff member shall be advised in writing that:
 - a. there is no conflict prohibited by this chapter and the unclassified staff member may proceed;
or
 - b. there may be a conflict and further consultation is necessary prior to reaching a determination;
or
 - c. there is a conflict which must be resolved in one of the following ways:
 - 1) the unclassified staff member shall not proceed with his or her university duties which result in the conflict, so long as the conflict remains; or
 - 2) the unclassified staff member shall not proceed with his or her personal interests which result in the conflict, so long as the conflict remains.
 - 3) the unclassified staff member, within 15 days after notice of the decision of the administrative supervisor, may appeal the decision under Ch. UWS 6 or 13. (FS 3/87)

UWEC 8.05 Sanctions

1. Any person may file a written complaint charging a violation of this chapter. The complaint shall state the name of the member of the unclassified staff alleged to have committed a violation and describe the violation.
2. For complaints involving a member of the unclassified staff serving within system administration or at another institution of the University of Wisconsin System, see UWS 8.05 Sanctions.
3. A complaint involving a member of the faculty or the academic staff serving at UW-Eau Claire shall be submitted to the Chancellor.
 - a. Where the complaint is against a faculty member, the Chancellor shall proceed under the policies and procedures of UWEC 6.01.
 - b. Where the complaint is against an academic staff member, the Chancellor shall proceed under the policies and procedures of UWEC 13.01.
4. Complaints involving limited appointees serving at UW-Eau Claire shall be submitted to the official who made the appointment and that official shall take appropriate action.
5. Notwithstanding the other provisions of this section, the Chancellor may investigate possible violations of this chapter whenever the circumstances warrant and proceed in accordance with subs. 1 to 4.

University of Wisconsin-Eau Claire
Faculty and Academic Staff Report on Outside Activities and Interests
(as required under Section UWS 8.025 Wisconsin Administrative Code)

Signature _____

Please read the Guidelines for Reporting Outside Activities on the reverse side of this form and fill in the required information below. Completed forms should be forwarded to your department chair or unit director.

- I have read the Guidelines and do not have any remunerative outside activities in my field of professional interest to report. (If you check this box, forward the signed form to your chair/director.)

A. Remunerative Relationships

I have received net remuneration for professional outside activities in my field of professional interest (e.g., consulting, research, teaching, writing, etc.). List below the name of the organization or business, type of activity (e.g., consulting, teaching, etc.) and the aggregate amount of time spent (days) in the activity, and whether you received \$5000 or more from a single source.

Name of Business* or organization	Type of activity	Time spent (days)	Check if more Than \$5000 from a single source

*If you believe that you should not publicly identify the name of the organization, you must receive approval from your dean, as indicated by the dean's signature below (e.g., if revealing the name would be damaging to the organization's legitimate competitive interests).

- I have received compensation from a nongovernmental sponsor of university research, teaching or training for which I am a principal investigator.
 Name of sponsor: _____

B. Offices and Directorships

Identify below any business or other organization related to your field of academic interest or professional specialization for which you or your immediate family served as an officer, director, or trustee. No identification need be made of professional societies, trusts, or charitable, religious, social, community service, or political organizations.

Name of Business/Organization	City and State	Position Held

C. Ownership Interests

List below any business or organization related to your field in which you or a member of your immediate family individually, or in aggregate, owned or controlled at least 10% of the outstanding equity.

Name of Business/Organization	City and State

I have reviewed the information itemized above:

Signature of the Chair/Director _____

Signature of the Dean/Designee _____

University of Wisconsin System Guidelines for Reporting Outside Activities under UWS 8.025

Who must report and what must be reported?

It is the policy of the University of Wisconsin to require a report from all faculty and academic staff who engage in remunerative outside activities in their field of professional interest whose appointments are half-time or more for the period under contract to the UW System. If you have a joint appointment, you must file a report for each department/unit. Your report covers activities that occur during the full year, even if you were not under contract to the university for part of that time. You should discuss with your dean or director any activities that may present carryover questions of conflict with your responsibilities during your contract period.

For purposes of the reporting form:

A **remunerative relationship** is any relationship that results in payments, transfer of goods, or provision of services to the reporting staff member.

Net remuneration includes the value of all payments, goods and services received as compensation for an activity less expenses. Expenses deducted should not exceed those that could ordinarily be claimed from university administered funds.

An **organization** is any corporation, partnership, proprietorship, firm, enterprise, franchise, association, trust or the legal entity other than an individual or body politic (see UWS 8.02(12), Wisconsin Administrative Code).

Professionally related activities are activities related to the staff members' field of academic interest or specialization.

Ordinary professional activities are those activities which extend a faculty or staff member's normal institutional responsibilities of teaching, research and service to serving other public institutions, organizations, and professional societies.

Examples of such ordinary professional activities would be:

- a. Occasional lectures, colloquial seminars, etc., given at colleges and universities and at meetings of professional societies.
- b. Preparation of monographs, chapters and editorial services for nonprofit educational organizations.
- c. Service on advisory committees and evaluation panels for government funding agencies, nonprofit foundations and educational organizations.
- d. Leadership positions in professional societies.

Those activities which are reportable under UWS 8.025 include:

1. Professionally related outside activities occurring during the time you are under contract to the university for which you received net remuneration, not including ordinary activities.
2. The names of organizations or businesses for which net remunerative outside activities were performed, the type of activity (consulting, teaching, research, writing, etc.), and the aggregate time spent (days) in that activity.
-Royalties from writing and patents need be reported only in the year that they first appear.
3. You must name the organization or source and indicate the aggregate amount of time in days spent in outside activities with that organization. If you received \$5,000.00 or more compensation per year from a single source, you must check the last column of section A.
-If you believe you should not publicly identify the name of the organization, you must receive approval from your dean to withhold the name (e.g., if revealing the name would be damaging to the organization's legitimate competitive interests).
4. Any remunerative relationships that you had with organizations which sponsor university research, teaching or training in which you are involved. If these relationships exist, you must report the name of the organization.
5. Officerships, directorships, trusteeships that you or members of your immediate family hold in businesses or commercial organizations related to your professional field.
6. Ownership interests in organizations related to your academic area of specialization, provided that your immediate family collectively owns more than 10% of the equity.

Those activities which need not be reported include:

1. Activities for which remuneration comes from university administered funds (e.g., teaching and innovation awards, etc.).
2. Remunerative ordinary professional activities (see definitions above).
3. Instruction at another nonprofit educational institution or research supported by a government agency if the instruction or research is performed during periods when the staff member is not on the university payroll, or, in the case of part-time appointment, if the work is performed during time not contracted to the university.

Absence From Duty—Faculty and Academic Staff

General Policies and Procedures

REPORTING OF ABSENCES

In principle, all absences from regular duties are to be reported. When an absence can be anticipated, the employee should file an absence report in advance. When absence is due to an emergency, the employee should notify the appropriate Department Chair, Dean, or unit supervisor as promptly as possible and should file an absence report upon returning to regular duties.

Procedures and responsibilities in the reporting of absences are outlined in the UW-Eau Claire Policy Regarding Absences of Unclassified Personnel (below).

ARRANGEMENTS FOR CLASSES MISSED

Insofar as possible, all university classes should meet on schedule. When an absence can be anticipated, arrangements should be made with the Department Chair and the Dean of the College for the handling of classes to be missed. Classes should be dismissed only as a last resort.

RECORD OF ABSENCES

Deans and Vice Chancellors are responsible for maintaining records of all absences of faculty and academic staff members and for forwarding summary reports of absences to the Provost and Vice Chancellor as requested.

JURY DUTY

Employees summoned for jury service are entitled to leaves of absence without loss of time. (Wis. Stats. 1979, Sec. 230.35(3)(c))

Faculty/Academic Staff Personnel Rules

UWS 19 SICK LEAVE AND UWS 7.01(5)

RULES CONCERNING ABSENCE FROM REGULAR DUTIES

UWEC Policy Regarding Absences of Unclassified Personnel (FS 5/77, 1/78)

DEFINITION OF UNCLASSIFIED PERSONNEL

The following policies deal with absences of unclassified personnel excluding graduate assistants. Unclassified personnel as here defined includes faculty, academic staff, limited appointments, and other unclassified personnel.

TYPES OF ABSENCES

Absences of unclassified personnel shall be treated as sick leave, leave with pay, vacation, or leave without pay.

UWEC 19 Sick Leave

[See *Sick Leave* on page 76 of this chapter for the provisions of this section.]

UWEC 7.01(5) Leave with Pay

The UW-Eau Claire implementation procedures for UWS 7.01 indicate that “absences for official university business, for professional reasons, or for participating in public service activities shall be excused, provided appropriate arrangements are made for classes missed.”

UWEC 7.01(5) Reporting

1. Absence from Teaching Duties

a. Reportable Absences

All absences which involve the missing of scheduled instruction should be reported.

b. Procedures and Responsibilities

Absence reports shall indicate the name of the reporting employee, the date(s) and reason(s) for absence, the classes or other teaching duties missed, and, in the case of collegial coverage, the name(s) of the person(s) who assumed responsibility for the classes.

Absence reports shall be signed by the reporting employee and routed via the Department Chair and the appropriate Dean to the Human Resources Office.

Department Chairs are responsible for the reporting of absences from their departments. The Department Chair shall review each absence report and shall indicate on each report the number of days used as sick leave, leave without pay, or leave with pay.

The Dean shall review each report forwarded by Department Chairs.

Either the Department Chair or the Dean may change the type of leave claimed or may change collegial coverage to sick leave if in his or her opinion the guidelines for defining types of absence have not been followed. If such change is made, the individual responsible for the change must notify the affected employee through the usual administrative channels.

The Human Resources Office shall adjust the sick leave account and the payroll as needed and shall file the absence report.

2. Absence from Administrative and/or Professional Duties

a. Reportable Absences

All absences claims as sick leave, vacation, or leave without pay shall be reported. Absences claimed as leave with pay shall also be reported unless they were either necessitated by activities defined as part of the employee's official duties or approved through a travel authorization form for conferences or other professional activities.

b. Procedures and Responsibilities

Absence reports shall contain the name of the reporting employee, the date(s) and reason(s) for absence, and the type of leave claimed.

Absence reports shall be signed by the reporting employee and routed via the immediate supervisor to the Human Resources Office.

Directors of offices are responsible for reporting absences of rank-and-file personnel. Associate Vice/Vice Chancellors are responsible for reporting the absences of directors and of staff personnel reporting directly to them.

The supervisor shall review each report. The supervisor may change the type of leave claimed if it is found that the recommendation was not consistent with campus policies concerning absences. If such change is made, the individual responsible for the change must notify the affected employee through the usual administrative channels.

The Human Resources Office shall adjust the sick leave account and the payroll as needed and file the absence report.

3. Appeals

Appeals of decisions and interpretations by Department Chairs, Directors, Deans, and Vice/Assistant Chancellors may be made through normal channels, beginning at the level at which the decision was made and ending with the Chancellor. (FS 5/77, 1/78)

Faculty Personnel Rules

UWEC 7.01(5) ABSENCE FROM REGULAR DUTIES

1. Absence from institutional duties shall be reported to the Department Chair or immediate supervisor.
2. Absence due to personal illness, injury, disability, or pregnancy as well as attendance on a member of the immediate family of the employee whose condition or death requires the employee's direct care shall be governed by the existing sick leave policy. (Amended FS 2/79)
3. Absence for official university business, for professional reasons, or for participating in public service activities shall be excused, providing appropriate arrangements are made for classes to be missed.
4. Absences for emergency reasons other than those covered by sick leave are excused with the understanding that if possible the faculty member should get approval of his/her Department Chair and make arrangements for classes to be missed. (Amended FS 2/79)
5. Absence from institutional duties because of private outside activities shall result in loss of pay for the time missed, except for extraordinary occasions in which the faculty member receives permission for such absences from his/her supervisor and makes arrangements for proper handling of those classes missed. (FS 11/75, 2/79)
6. All faculty members shall report to the Chancellor through normal channels any intended service as an expert witness in legal proceedings or as staff, adviser, or consultant to granting agencies. (FS 11/75)

Academic Staff Personnel Rules

UWEC 16.01 POLICIES CONCERNING ABSENCES FROM REGULAR INSTITUTIONAL DUTIES

Absences from institutional duties shall be reported to the immediate supervisor. Absence for personal illness or family emergency shall be governed by the existing sick leave policy (as outlined in this section and in Chapter 6, page 20, of the *Faculty and Academic Staff Handbook*). Absence for official university business, for professional reasons, or for participating in public service activities shall be excused, provided appropriate arrangements are made for covering professional responsibilities.

Absence from institutional duties because of private outside activities shall result in loss of pay for the time missed, except for extraordinary occasions in which the academic staff member receives permission for such absences from his/her supervisor.

Sick Leave—Faculty and Academic Staff

General Policies and Procedures

FACULTY AND ACADEMIC STAFF SICK LEAVE POLICY

Absences of faculty and academic staff of the University of Wisconsin System because of personal illness, injury or pregnancy, as well as attendance on the children or spouse of a staff member whose condition requires the staff member's direct care, will be subject to the following leave policy.

The policy is applicable to all qualifying faculty and academic staff who are covered by sick leave provisions at their home institution.

1. Accumulation of Leave

Staff members whose initial appointments are eligible for Wisconsin Retirement System shall be granted 22 working days (i.e., Monday through Friday exclusive of holidays) of leave which they may draw upon as required by illness, injury, disability, or pregnancy. After 1 1/2 years of service, additional non-lapsing leave is earned by such members at the rate of 1 day per month for persons holding annual appointments and 12 days per academic year for those holding academic year appointments. Unused sick leave shall accumulate from year to year in the staff member's account.

If a staff member takes sick leave, the rate of sick leave compensation shall be the rate of salary which the staff member would have normally received. Other than the 22 days of sick leave granted to the staff member upon appointment, sick leave may be taken only after it has been earned (i.e., it may not be anticipated). A staff member utilizing paid sick leave continues to accrue sick leave during the period of absence. However, a staff member shall not accumulate sick leave while on an unpaid leave of absence. Previously accumulated sick leave shall not be affected by unpaid leaves of absence.

2. Proration of Accumulated Sick Leave

Initial entitlement and accumulation of sick leave as specified in the preceding section assume full-time appointment of nine months or more. Part-time appointees have an initial entitlement, earn, and are charged sick leave in proportion to the extent of their appointment.

3. Cancellation and Reinstatement

If a staff member terminates employment with the University of Wisconsin System, unused sick leave will be terminated but will be reinstated if the staff member is reappointed to any position within the System within three years.

4. Relation of Sick Leave to Income Continuation Insurance

An employee must exhaust his/her sick leave or use a maximum of 130 days in order to be eligible to receive compensation under income continuation insurance except when an application for disability retirement has been made.

5. Faculty and Academic Staff with Teaching Responsibilities

In any semester in which a member of the faculty or academic staff who has teaching responsibilities is entitled to use sick leave, the provisions of this policy shall be modified as follows:

- a. If a faculty or academic staff member's duties are assumed by colleagues for the duration of the semester, as has been the traditional way of covering teaching responsibilities, the absent individual will not be required to use sick leave until the beginning of the next semester.
- b. If a replacement is appointed to assume the faculty or academic staff member's responsibilities, he or she must use sick leave.

Whichever of the above situations occurs during the semester in which the absence commences, the absent staff member will be required to use sick leave thereafter.

6. Use of Sick Leave for Medical Absence that Can Be Anticipated

In order to minimize disruption of the academic program and the demands on students and staff, a member of the faculty or academic staff who has teaching responsibilities and who expects to be absent under this policy during an upcoming semester may, with two months' advance notice, elect to receive a combination of paid and unpaid leave for the entire semester. Such leave will be taken only at the option of the faculty or academic staff member, but the University may require proof at the time two months' notice is given that the anticipated absence cannot be arranged so as to avoid interruption of teaching duties. Under this clause the faculty or academic staff member may receive the sick leave benefits for which he or she would have been eligible had the staff member remained on duty up to the time of disability. Other portions of the semester not covered by sick leave will be on leave without pay.

7. Leave for Maternity Purposes

Provisions governing maternity leave do not differ from policies governing temporary disabilities. An instructional or administrative and/or professional staff member may opt to continue her normal duties through pregnancy using accumulated sick leave as needed when physically unable to perform her duties.

A member of the faculty or academic staff with teaching responsibility may opt to receive a combination of paid and unpaid leave as provided in "Use of Sick Leave for Medical Absence That Can Be Anticipated." In such cases it shall be understood that the timing of pregnancy cannot be "arranged" under the meaning of this policy.

In the semester after the one in which delivery occurs, irrespective of her medical condition, the staff member shall be granted, upon her request, leave without pay for the semester. In case of a non-tenured

faculty member, such leave will not be counted in the calculation of probationary time. A female staff member who anticipates taking leave for maternity should so inform her Chair or supervisor as early as possible.

8. Parental Leave

Both the father or the mother may choose to take up to twelve weeks of parental leave. Employees may choose to substitute up to six weeks of available paid leave (sick leave, vacation, earned holidays) under the Wisconsin Family and Medical Leave Act, and an additional six weeks of vacation (if available) under the federal Family and Medical Leave Act. For the mother, parental leave would be in addition to the time taken for pregnancy. To qualify, the employee must have been employed by the State for the previous 52 weeks and have worked at least 1,000 hours during that 52-week period. (Note: an employee who has summers off is still considered “employed by the State” during that time.)

9. Adoption

Within sixteen weeks of placement, the employee has the right to up to 12 weeks of leave. Employees may choose to substitute up to six weeks of available paid leave (sick leave, vacation, earned holidays) under the Wisconsin Family and Medical Leave Act; and an additional six weeks of vacation (if available) under the federal Family and Medical Leave Act. These choices are guaranteed for all employees, female and male, who have been employed by the State for more than 52 consecutive weeks. He or she must have worked at least 1,000 hours during that 52-week period. (Note: an employee who has summers off is still considered “employed by the State” during that time.)

10. Care of a Spouse, Child, or Parent with a Serious Health Condition

Staff members are entitled to 12 weeks of unpaid leave to care for the staff member’s child, spouse, or parent with a serious health condition. A serious health condition means an illness, injury, impairment, or condition which requires continuing treatment by a health care provider. The staff member may choose to substitute up to six weeks of accumulated annual leave, earned holiday, or sick leave for unpaid Wisconsin Family and Medical Leave Act leave. Employees will not be entitled to additional unpaid leave as a result of the substitution of paid leave for unpaid leave. To qualify, the employee must have been employed by the State for the previous 52 weeks and have worked at least 1,000 hours during that 52-week period. (Note: an employee who has summers off is still considered “employed by the State” during that time.)

11. Sick Leave During Summer Session

Staff members whose basic appointments are for nine months or more and who teach in the summer session may qualify for sick leave in the summer session, provided inception of the illness occurs on the first or subsequent day of the summer session. Exceptions to this policy regarding sick leave during the summer session may be made, on behalf of the members of the permanent faculty or academic staff only, at the discretion of the Chancellor.

The definition of “permanent faculty” for purposes of implementing Board of Regents’ policy on summer session sick leave shall be: Permanent Faculty shall be all members of the Unclassified Staff who have an established sick-leave account. (This definition of “permanent faculty” applies solely to consideration of sick leave for summer sessions.) Whenever possible the Chancellor will grant exceptions under this policy. In exercising his or her discretion, the Chancellor will use the following criteria:

- a. the extent to which the absence qualifies for sick leave under the UW-Eau Claire sick leave policy, and
- b. the extent to which the absence is a result of a verifiable emergency. (FS 5/77, 1/78)

12. Records

Each department or equivalent unit shall report sick leave usage to the Human Resources Office.

Use of Sick Leave (ACPS-4:5a)

Faculty or academic staff members who are absent and eligible for paid sick leave shall be charged at the rate of five days per week excluding weekends and legal state holidays and in conformity with the University of Wisconsin System sick leave policy.

Faculty/Academic Staff Personnel Rules

UWS 19 SICK LEAVE

UWEC 19 Sick Leave

[from UW-Eau Claire Policy Regarding Absences of Unclassified Personnel, FS 5/77, 1/78]

1. Use of Sick Leave

UWS 19 permits absence through use of a sick leave for “personal illness, injury, disability or pregnancy as well as attendance on a member of the immediate family of the employee whose condition or death requires the employee’s direct care.....”

- “Personal Illness” shall include both illness and medical care, quarantine, and/or diagnosis related to exposure to contagious disease.
- “Injury and disability” are conditions which render the person unable to carry out his/her usual employment responsibilities.
- “Pregnancy” includes prenatal, delivery, and post delivery cares that precludes the performance of regular duties.
- “Immediate family” means parents, grandparents, foster parents, children, grandchildren, foster children, brothers (and their spouses), sisters (and their spouses) of the employee or of the employee’s spouse, and also includes the employee, the employee’s spouse, or any other person (excluding tenants) residing in the household of the employee. The employee shall make other arrangements, within a reasonable period of time, for the attendance on members of the immediate family in their care.
- “Death,” as it relates to the need of assistance of members of the immediate family, includes attendance on a person near death, funeral preparations and observances, and the funeral, and estate settlement.

In addition to the reasons for using sick leave which are stated above, an unclassified staff member may, with the approval of the immediate supervisor, use sick leave to attend the funeral of someone who was not a member of the person’s immediate family.

2. Change in Initial Entitlement

Unclassified personnel who change their FTE status within their initial 18-months of employment shall have their initial entitlement of sick leave days changed to correspond with their new FTE status.

3. Maternity Leave for Part-time Employees

Maternity leave for part-time employees shall be administered in the same manner as sick leave taken for other reasons by part-time employees.

4. Collegial Coverage

Under the provisions of UWS Regent resolutions 1092 and 506, unclassified personnel with teaching responsibilities will not be required to use sick leave if their duties are assumed by colleagues. UW-Eau Claire ordinarily interprets “colleague” to mean an instructional member of the unclassified staff. In normal circumstances, such colleague would be a member of the department(s) through which the classes to be covered are offered. Under any circumstances, such coverage shall be subject to the approval of the Department Chair or functional equivalent.

Unclassified personnel with split instructional and/or research/administrative and/or professional appointments may use a combination of collegial coverage and sick leave days for absences appropriate to sick leave. The ratio of collegial coverage to sick leave days shall reflect the ratio of the instructional to administrative and/or professional assignment.

Faculty and Staff Role in Selection and Evaluation of Administrators

Selection

1. Search and Screen Procedures for the Nomination of Academic Administrative Officers—UW System
Board of Regents Policy 88-2 provides that the procedure for selecting Chancellors, the Executive Vice President, and the Academic Vice President of the UW System shall include a Search and Screen Committee composed of faculty, academic staff, students, administrators, and at the option of the President a community representative.

The text of the resolution is available in the Office of the Provost and Vice Chancellor.

2. Search and Screen Procedures for the Nomination of Academic Administrative Officers—UW-Eau Claire (12/05)
Academic administrative officers at or above the rank of Associate Dean are appointed by the Chancellor, following appropriate consultation with University Faculty, University Academic Staff, students, and administrators. Such consultation shall include a search and screen committee whose purpose, structure, and procedures are described below:
 - a. Purpose of the Search and Screen Committee
The committee shall advise and assist the Chancellor by identifying candidates and by assessing their qualifications for the position. It shall recommend candidates for possible appointment.
 - b. Structure of the Committee
The structure of the committee shall be dependent upon the scope of authority and area of jurisdiction of the administrative officer to be selected.
 - 1) For selection of academic administrative officers whose authority is essentially university-wide, elected committee members shall be determined through university-wide elections. The committee shall consist of one faculty member from each of the colleges; two faculty members from any area; one instructional academic staff member; two administrative and/or professional academic staff members from Academic Affairs; one academic staff member from any area; two students; and, at the Chancellor's discretion, one or two appointed by the Chancellor from the unclassified staff.
 - a) The Chancellor shall announce the call for nominations and allow seven working days for nominations to be submitted to the Secretary of the Faculty and Academic Staff.
 - b) Each College nominating committee or functional equivalent shall solicit nominations and transmit to the Secretary a list of up to five nominees from the college, being attentive to affirmative action, equal opportunity, and other considerations. The Director of the Library shall solicit and transmit one nominee from the faculty members whose voting home is outside the colleges.
 - c) The University Academic Staff Nominating Committee shall submit to the Secretary a list of nominees including at least three administrative and/or professional academic staff from Academic Affairs, two instructional and/or research academic staff, and two academic staff from any area, being attentive to affirmative action, equal opportunity, and other considerations.
 - d) The Secretary shall post the lists of nominees electronically to all faculty and academic staff along with a call for additional nominations, allowing two working days for any additional nominations.
 - e) The Secretary shall then conduct two university-wide elections, one for faculty to elect faculty members and one for academic staff to elect academic staff members, allowing seven working days for the return of ballots after the date of distribution.
 - f) The Student Senate shall appoint two student members.
 - g) The Chancellor may appoint one or two additional members from the unclassified staff.
 - 2) For selection of academic administrative officers whose authority is largely vested in one College,

such as Dean or Associate Dean, the committee shall consist of five faculty members from the College; in Colleges where there are three or more instructional and/or research academic staff, one instructional and/or research academic staff member from the College; two students within the College; and, at the Chancellor's discretion, one or two appointees by the Chancellor from the unclassified staff.

- a) The College will, through its established elective procedures, elect five (5) members from and by the faculty.
- b) The instructional and/or research academic staff member will be elected from and by the instructional and/or research academic staff in the College through its established elective procedures.
- c) The Student Senate shall appoint two student members.
- d) The Chancellor may appoint one or two additional members from the unclassified staff. (US 3/05)

3. Procedures of the Committee

- a. The Chancellor or designee will convene the committee and proceed to (1) provide the committee with the position description, including qualifications and responsibilities of the officer to be selected, (2) suggest criteria and standards for selection, and (3) clarify the role of System Administration and/or the Board of Regents in the appointment.

The Chancellor will provide a schedule or calendar for the search, details of which may be revised in mutual consultation.

The Chancellor will preside over selection of a committee chair and secretary.

- b. The committee will review the position description as submitted and, after its approval of the description in consultation with the Chancellor, will design strategies for attracting the most qualified pool of nominees and applicants. It shall assist the Chancellor in advertising the position, soliciting nominations and applications, and assessing adequacy of the pool.

The committee shall receive, organize, and protect the security of all application materials, which shall be open only to the committee and Chancellor (or designee) and appropriate clerical personnel. The committee shall consider all application materials in closed session, inviting the Chancellor (or designee) only as they deem appropriate. The committee may seek additional information by mail or telephone, keeping accurate records of such information and its source.

The committee will advise the Chancellor as to who should be interviewed and develop in consultation with the Chancellor a schedule and format of such interviews. The committee shall play an active part in the interviewing and shall have at least one exclusive session with each candidate.

The committee will evaluate all candidates interviewed and submit at least three unranked names of candidates deemed acceptable. Should the committee be unable to recommend at least three candidates, it may request permission to interview more candidates or to submit fewer names.

- c. In case none of the candidates recommended is satisfactory to the Chancellor or if the acceptable candidates should all refuse, the Chancellor shall consult the committee regarding possible alternatives for continuing the search. The committee shall then recommend one of the following: the submission of additional names, the extension of the search, or the formation of a new committee. (FS 10/82)

4. Selection of Department Chair and Director of Libraries³ (US 11/04)

All Department Chairs⁴ and the Director of Libraries are appointed by the Chancellor of the University. The Department Chair is directly responsible to the Dean of the College in which the department is situated and represents the department in the administration of the University.

³ The procedures for selection of the Director of Libraries are the same as those for selection of Department Chair except that the Library serves as the department and the Associate Vice Chancellor for Academic Affairs, to whom the director reports, holds the responsibilities described for the Dean. The Associate Vice Chancellor for Academic Affairs will make his/her recommendation to the Provost and Vice Chancellor along with the committee's recommendation.

a. Procedure for Selecting Department Chairs and Director of Libraries

- 1) The staff of a department shall be informed in writing by the Dean of their College that a Chair is to be selected and appointed.
- 2) The Dean shall meet with the staff of the department to initiate the selection process by:
 - a) Reviewing the nature and responsibilities of the office of Chair.
 - b) Suggesting useful criteria.
 - c) Informing the department of any constraints that might impinge on the selection process.
 - d) Determining a target date for completion of the selection process.
- 3) The University Faculty of the department or a committee selected by the University Faculty of the department shall formally organize as the Department Chair Search and Screen Committee with and elected chair and secretary.

The committee shall:

- a) Determine whether preference is for selection:
 - (1) from inside the department,
 - (2) from outside the department, or
 - (3) from either inside or outside the department.
 - b) Formulate criteria to be used in selecting the Chair.
 - c) Arrange with the Dean to publicize the vacancy and to solicit applications.
 - d) Review and evaluate all applications.
 - e) Interview and evaluate candidates for the position.
 - f) Submit to the Dean of the College the name(s) of one or more individuals whom the committee recommends to be considered for the position of Department Chair. When more than one individual is recommended, the committee may, if it chooses, rank the individuals recommended.
 - g) Solicit suggestions and information from all staff of the department throughout the entire process on matters relating to the selection of the Department Chair.
- 4) The Dean of the College shall evaluate the candidate(s) recommended by the Search and Screen Committee and submit his/her recommendation to the Provost and Vice Chancellor, along with a copy of the recommendation from the committee. The Provost and Vice Chancellor will in turn evaluate the candidate(s) and submit his/her recommendation to the Chancellor along with copies of the recommendation of the Dean and of the committee.
 - 5) If after administrative review none of the recommended candidates is appointed, the Chancellor shall notify the Dean of the College who shall reconvene the Department Chair Search and Screen Committee. The committee will then reconsider its earlier decisions and recommendations, and as necessary and appropriate, may solicit and evaluate additional candidates prior to submitting another recommendation as described under section 4.a.3.
 - 6) Upon the recommendation of the Department Chair Search and Screen Committee, the Dean of the College, and the Provost and Vice Chancellor, the Chancellor shall appoint a Department Chair. At the University of Wisconsin-Eau Claire, an appointment to the administrative post of Department Chair is a limited appointment under the terms of UWS 15.

⁴ While departments may choose to develop internal provisions for limiting the term of the chair, these provisions are informal and not binding on the Chancellor. (US 5/89)

b. Procedure for Selecting Acting Department Chairs and Acting Director of Libraries⁵

In the event that an acting Department Chair is to be appointed by the Chancellor of the University prior to the selecting of a permanent Chair, the Dean of the College where the vacancy has occurred shall:

- 1) Announce to the staff of the department that an acting Chair is to be appointed, describe the circumstances requiring the appointment, and indicate the anticipated length of the appointment.
- 2) Solicit advice from the University Faculty of the department concerning possible candidates to fill the vacancy.
- 3) Make recommendations to the Provost and Vice Chancellor of Academic Affairs who shall in turn make recommendations to the Chancellor of the University.

5. Procedures for the Recruitment of Vice/Assistant Chancellors

In addition to Academic Affairs, the University is organized administratively into other major divisions each of which is supervised by a Vice/Assistant Chancellor. Vice/Assistant Chancellors are appointed by the Chancellor, following appropriate consultation with University Academic Staff, University Faculty, students, and administrators. Such consultation will include a committee, with a majority of members holding appointments in the division for which the Vice/Assistant Chancellor is being recruited.

a. Purpose of the Committee

The committee shall advise and assist the Chancellor in recruiting applicants and assessing their qualifications for the position. It shall also participate in interviewing candidates.

b. Structure of the Committee

The committee will consist of seven to nine members, the majority of whom hold unclassified appointments in the division, and will include two students. Membership may also include faculty, classified staff, or members of the community. The structure of the committee will depend upon the type of responsibilities assigned to the Vice/Assistant Chancellor position.

Committee members (except students) will be appointed by the Chancellor in joint consultation with the University Senate Executive Committee and Academic Staff Personnel Committee. The Student Senate will appoint student members.

c. Procedures of the Committee

- 1) The Chancellor will convene the committee to (1) provide a position description including duties and responsibilities, (2) provide qualifications for the position, (3) suggest criteria and standards for selection, (4) clarify the role of system Administration and/or the Board of Regents in the appointment, (5) work with the committee in developing a schedule for the recruitment, and (6) preside over the selection of a committee chair and secretary.
- 2) The committee will, in consultation with the Chancellor, develop a position announcement and design strategies for attracting the most qualified pool of nominees and applicants. It will assist the Chancellor in advertising the position, soliciting nominations and applications, and assessing the adequacy of the pool.
- 3) The committee will advise and assist in assessing qualifications and interviewing applicants.
- 4) The committee will provide its collective assessment of the applicants to the Chancellor.

6. Procedures for the Recruitment of Unit Directors

All Unit Directors are appointed by the Chancellor of the University. Each Unit Director is directly

⁵ The procedures for selection of an Acting Director of Libraries are the same as those for selection of Acting Department Chair except that the Library serves as the department and the Associate Vice Chancellor for Academic Affairs, to whom the director reports, holds the responsibilities described for the Dean. The Associate Vice Chancellor for Academic Affairs will make his/her recommendation to the Provost and Vice Chancellor along with the committee's recommendation.

responsible to a Vice/Assistant Chancellor or the Provost/Vice or Associate Vice Chancellor, and represents the unit in the administration of the University. At UW-Eau Claire, an appointment to the administrative post of Director is a limited appointment under the terms of UWS 15.

- a. The Vice/Assistant Chancellor or the Provost/Vice or Associate Vice Chancellor shall provide written notice to the unclassified staff of the unit that a director is to be selected and appointed. He/she shall meet with the unclassified staff of the unit to initiate the selection process by:
 - 1) Reviewing the nature and responsibilities of the position.
 - 2) Discussing criteria to be used in assessing candidates' credentials.
 - 3) Determining whether preference is for an internal or external search.
 - 4) Informing the unit of any constraints that might impinge on the selection process.
 - 5) Determining a target date for completion of the selection process.
- b. A committee shall be formed which will have five to eight members. Where possible the majority of the committee will be unclassified members of the unit; or where not possible, the majority will be unclassified members of the division. Membership may include faculty, classified staff, and members of the community. In addition to the five to eight members, one student member will be appointed. (US 4/05)

Committee members (except students) will be appointed by the Vice/Assistant Chancellor, Provost/Vice or Associate Vice Chancellor in consultation with the University Senate Academic Staff Personnel Committee. The Student Senate will appoint the student members (in the case of a Director of Housing the United Hall Council will appoint the student members).

- c. The Vice/Assistant Chancellor, Provost/Vice or Associate Vice Chancellor will convene the committee to (1) provide a position description including duties and responsibilities, (2) provide qualifications for the position, (3) suggest criteria and standards for selection, (4) work with the committee in developing a schedule for the recruitment, and (5) preside over the selection of a committee chair and secretary.
- d. The committee shall advise and assist in recruiting applicants and assessing their qualifications. Committee members will also participate in interviewing candidates. The committee may solicit suggestions and information from unit members on matters relating to the recruitment process.
- e. The committee will provide its collective assessment of the applicants to the Vice/Assistant Chancellor, Provost/Vice or Associate Vice Chancellor who will provide this along with his/her recommendation to the Chancellor.
- f. After the interviews, if none of the candidates is acceptable, then the position will be readvertised and a new closing date set.

Faculty and Academic Staff Review of Administrator Performance

University Senate action provides as follows:

The review of administrator performance by faculty like the review of faculty performance by peers is an integral part of the ongoing process of planning, development, and improvement in the University. Current performance is assessed with the view to making recommendations for improvement and setting goals for the future. Performance is reviewed using as criteria the description of the administrative position, the mission and goals of the University, and qualities which are considered to be desirable for administrators. The faculty is an important source of information and judgment in the overall evaluation of academic administrators.

The primary responsibility for the evaluation of an administrator's performance rests with the administrator's immediate supervisor. This evaluation is both formal and informal. Formally, it involves an annual review that includes at a minimum a conference with the administrator whose performance is being evaluated and a report for the administrator's personnel file. At the conference, the supervisor and

administrator review and evaluate accomplishments and problems. They discuss and agree upon short-term goals for the coming year and long-term goals.

For this evaluation, the supervisor uses, in addition to his or her own direct observation of the administrator's performance, any information that may have been received from others who work with or observe the administrator being evaluated and any information that may have been solicited from those in a position to observe the administrator.

The supervisor's report summarizes the activities and the accomplishments of the administrator and evaluates them in light of the plans and goals previously agreed to.

Informally, evaluation by the supervisor of an administrator's performance is a continual, almost daily, process. Informal evaluation is based on direct contact between the supervisor and administrator, direct observation by the supervisor, and on comments and suggestions from others as appropriate. Members of the faculty have the opportunity to participate in the informal evaluation of an administrator's performance through comments and suggestions made to the administrator or supervisor.

In the years in which it is conducted, the faculty and academic staff review of an academic administrator's performance as described below will be an important and key part of the overall formal evaluation. The final report of the review committee will be incorporated into and attached to the supervisor's report.

PROCEDURE FOR REVIEW OF ACADEMIC ADMINISTRATORS:

CHANCELLOR
PROVOST
VICE AND ASSISTANT CHANCELLORS
SPECIAL ASSISTANTS TO THE CHANCELLOR
ASSISTANT AND ASSOCIATE VICE CHANCELLORS
DEANS, ASSOCIATE DEANS AND ASSISTANT DEANS
ADMINISTRATIVE OFFICERS

Each administrator is reviewed within three years of the initial appointment and every five years thereafter.

It is expected that interim appointments will normally not last more than two years. If a successful search has not been completed within two years of a position being filled with an interim administrator, the supervisor to whom the administrator is responsible shall formally consult with the Senate Executive Committee, and shall continue to consult with the committee annually until a successful search is completed. When an interim administrator serves for more than two years, the administrator will be reviewed according to the above schedule. (US 4/06)

The review is to be conducted by a committee of University Faculty and University Academic Staff. The committee to review the Chancellor, Provost, Vice and Assistant Chancellors, Special Assistants to the Chancellor, Assistant or Associate Vice Chancellors and Administrative Officers will include seven members serving three-year terms—one faculty member elected by and from each of the colleges; one member elected by and from the Instructional Academic Staff; and two members elected by and from the Administrative and Professional Academic Staff. Two or three members will be elected each year in the spring elections. Each year the review committee elects its own chair. The review committee will be facilitated by the Director of Human Resources. (When the supervisor of the Director of Human Resources is the one being reviewed, the review committee will be facilitated by the Secretary to the Faculty and Academic Staff within the University Senate Office.) (US 3/05, 4/09)

The committee to review Deans, Associate Deans, and Assistant Deans will include three members elected by the University Faculty of the College. All members will serve three-year terms. One member of the committee will be elected each year during the spring election. Each year the review committee elects its own chair. (US 3/05)

The committee will receive a written statement from the administrator being reviewed which describes how his or her performance meets the requirements of the position, successful accomplishments, and planned improvements and activities for the subsequent five-year period. The committee will also receive a

description of the administrator's position, statements describing the university's mission and goals, and other information as needed to place the administrator's performance and position in an institutional context. The committee may interview the administrator being reviewed.

The committee will survey the faculty, academic staff, and classified staff and may, in response to the results of the survey, conduct interviews with representatives of the faculty, academic staff, and classified staff. Any such survey shall include a summary evaluative question granting faculty and academic staff an opportunity to express confidence in the administrator's performance. All information obtained from the surveys and interviews will be held in confidence by the committee.

The committee will write a review report. The administrator being reviewed will receive a copy of the report and will meet with the committee to discuss it. Following the discussion, the report will be revised, as appropriate, by the committee. Copies of the revised report will be forwarded to the administrator being reviewed and to his or her immediate supervisor, (see page 88, Chapter 5) and data from the surveys shall become available to the administrator.

A copy of the review report will be filed in the administrator's personnel file and will be available to committees conducting subsequent reviews. Immediately after the report is written the surveys and other information gathered by the committee will be destroyed, except for the numerical results or statements which are incorporated directly into the final report.

The review report will be part of the information used by the immediate supervisor in making personnel recommendations concerning the administrator and in improving the administration of the University. (US 3/05)

PROCEDURE FOR REVIEWING DEPARTMENT CHAIRS AND DIRECTOR OF LIBRARIES

Department Chairs⁶ are to be reviewed by the Dean within three years of the initial appointment and concurrently with their normally scheduled faculty post-tenure review thereafter.

The review of administrator performance is to be initiated by the Dean who will receive a written statement from the Chair which describes how his or her performance meets the requirements of the position, successful accomplishments, and planned improvements and activities for the subsequent five-year period. The Dean will survey all faculty and academic staff in the department and may, in response to the results of the survey, conduct interviews with the faculty and academic staff. Any such survey will include a summary evaluative question granting faculty and academic staff an opportunity to express their confidence in the Chair's performance as an administrator. Any faculty or academic staff member of the department may request and shall be granted a meeting with the Dean to discuss the Chair's performance as an administrator. The Dean shall write an evaluation which will include the results of a summary evaluative question. Summary data from the survey will be available to the Chair. Raw data and verbatim comments shall not be distributed, nor included in any report. Immediately after the evaluation is written, the surveys and other information gathered during the review will be destroyed, except for numerical results incorporated directly into the final report. Throughout the review process, the Dean will make every reasonable attempt to protect the confidentiality of the faculty and academic staff who participated in the review. Copies of the written evaluation will be given to the Chair and filed in the Dean's office and in the personnel file of the Chair.

The written evaluation will be part of the information used by the Dean in making personnel recommendations concerning the Chair, and in improving the administration of the College or Division. (US 4/05)

PROCEDURE FOR REVIEWING VICE/ASSISTANT CHANCELLORS

Vice/Assistant Chancellors are to be reviewed within three years of the initial appointment and every five years thereafter.

⁶ The procedures for reviewing the Director of Libraries are the same as those for review of a Department Chair except that the Library serves as the department and the Associate Vice Chancellor for Academic Affairs, to whom the director reports, holds the responsibilities described for the Dean.

It is expected that interim appointments will normally not last more than two years. If a successful search has not been completed within two years of a position being filled with an interim administrator, the supervisor to whom the administrator is responsible shall formally consult with the Senate Executive Committee, and shall continue to consult with the committee annually until a successful search is completed. When an interim administrator serves for more than two years, the administrator will be reviewed according to the above schedule. (US 4/06)

The review is to be initiated by the Chancellor who will receive a written statement from the Vice/Assistant Chancellor which describes how his or her performance meets the requirements of the position, successful accomplishments, and planned improvements and activities for the subsequent five-year period. The Chancellor will survey all academic staff and faculty in the division (and classified staff, clients, or other faculty and academic staff where appropriate) and may, in response to the results of the survey, conduct interviews with the survey respondents. Any such survey will include a summary evaluation question granting respondents an opportunity to express their confidence in the Vice/Assistant Chancellor's performance. The Chancellor will write a report which will include the results of a summary evaluative question and will distribute it to the Vice/Assistant Chancellor along with an invitation to submit responses or reactions to the report. Following receipt of the response, the report will be revised as appropriate. Data from the survey shall be available to the Vice/Assistant Chancellor. Immediately after the report is written, the surveys and other information gathered during the review will be destroyed, except for numerical results or statements which are incorporated directly into the final report. Copies of the final review report will be given to the Vice/Assistant Chancellor and will be filed in the Chancellor's office and in the personnel file of the Vice/Assistant Chancellor.

The review report will be part of the information used by the Chancellor in making personnel recommendations concerning the Vice/Assistant Chancellor and in improving the administration of the Division.

PROCEDURES FOR REVIEWING UNIT DIRECTORS

Unit Directors are to be reviewed within three years of the initial appointment and every five years thereafter.

It is expected that interim appointments will normally not last more than two years. If a successful search has not been completed within two years of a position being filled with an interim administrator, the supervisor to whom the administrator is responsible shall formally consult with the Senate Executive Committee, and shall continue to consult with the committee annually until a successful search is completed. When an interim administrator serves for more than two years, the administrator will be reviewed according to the above schedule. (US 4/06)

The review is to be initiated by the Provost/Vice, Vice, or Associate Vice Chancellor (hereafter, Administrator) who will receive a written statement from the Unit Director which describes how his or her performance meets the requirements of the position, successful accomplishments, and planned improvements and activities for the subsequent five-year period. The Administrator will survey all academic staff and faculty in the unit (and classified staff, clients, or other faculty and academic staff where appropriate) and may, in response to the results of the survey, conduct interviews with the survey respondents. Any such survey will include a summary evaluative question granting respondents an opportunity to express their confidence in the Unit Director's performance. The Administrator will write a report for submission to the Chancellor which will include the results of a summary evaluative question and will distribute it to the Unit Director along with an invitation to submit responses or reactions to the report. Following receipt of the response, the report will be revised as appropriate and submitted to the Chancellor. Data from the survey shall be available to the Unit Director. Immediately after the report is written, the surveys and other information gathered during the review will be destroyed, except for numerical results or statements which are incorporated directly into the final report. Copies of the final review report will be given to the Unit Director and will be filed in the Administrator's Office and in the personnel file of the Unit Director. The Chancellor will provide written notification to the academic staff and faculty in the unit that the review has been completed.

The review report will be part of the information used by the Administrator in making personnel recommendations concerning the Director and in improving the administration of the unit.

*The immediate supervisors of the administrators are as follows:

Administrator	Supervisor
Unit Director	Provost/Vice, Vice, Assistant/Associate Vice, or Assistant Chancellor
Department Chair	Dean of College
Assistant Dean	Dean of College
Associate Dean	Dean of College
Dean	Provost/Vice Chancellor
Assistant/Associate Vice Chancellor	Provost/Vice or Vice Chancellor
Assistant Chancellor	Chancellor
Vice Chancellor	Chancellor
Provost and Vice Chancellor	Chancellor
Chancellor	President of the UW System

(US 5/94)

Scheduling of Personnel Actions

Schedules of Reviews, Recommendations, and Notices Concerning Personnel Actions

The Provost and Vice Chancellor and Administrative Officer develop calendars for personnel actions which are sent to department chairs and directors prior to the beginning of each academic year. Individuals affected by the personnel actions may obtain information on the calendars from their department chair or director.

The deadlines given in the calendar represent guidelines for dates of completion of personnel actions and are intended to facilitate the review process and the forwarding of recommendations to the Deans, Vice Chancellor, and Provost/Vice Chancellor in a timely fashion. Any deadlines which are required by specific provisions in the Personnel Rules are identified in the schedules. Generic personnel timetables are available on the Internet: <http://www.uwec.edu/acadaff/personnel/>.

Probationary faculty and instructional and/or research academic staff members on appointment for longer than one year shall be given annual periodic performance reviews as stipulated in UWS 3.05 and UWEC 10.09 at such time in the academic year as is deemed appropriate by the Departmental Personnel Committee. If a probationary faculty or instructional and/or research academic staff member is in a non-contract consideration period of a multiple-year contract, the options available for the annual performance review are: (1) a brief update of the previous performance review; (2) a full review as may be requested by the Departmental Personnel Committee or Department Chair; or (3) a full review as may be requested by the faculty or academic staff member. The performance review, for purposes of reappointment/rehiring, shall occur in accordance with the calendar for reappointment/rehiring. (FS 12/82)

PERSONNEL RECORDS

A guideline for filing faculty and instructional and/or research academic staff personnel records has been distributed to all Department Chairs.

SCHEDULES FOR TENURE, PROMOTION, AND SALARY ADJUSTMENT RECOMMENDATIONS

Two standard schedules to be followed for recommendations for tenure, promotion, and salary adjustments supplement the calendars provided by the Vice Chancellor for Academic Affairs. These are provided below.

Schedule of Recommendations Concerning Tenure and Promotion (Faculty)

Recommendations concerning granting of tenure and promotion in rank follow the same schedule.

December 1 Appropriate Departmental Personnel Committee makes its recommendations to the Chair.

December 15 Department Chair makes recommendations to the Dean.

Note: A decision concerning granting of tenure must be made no later than the end of the sixth year of probationary service.

Instructional and/or research academic staff members do not have rank. Title changes, when they become appropriate, follow procedures similar to those used for promotions in rank for faculty members.

Schedule of Recommendations Concerning Salary Adjustments Faculty and/or Instructional/Research Academic Staff

February 1 Departmental Chair notifies all faculty and instructional and/or research academic staff members in their third or subsequent year of service of his/her recommendation as to salary adjustment.⁷

February 15 Department Chair forwards all recommendations to the Dean.

University Senate action provides “That the Provost and Vice Chancellor should notify the faculty members of their salary adjustment level (across-the-board, solid performance, merit) approved for the coming academic year at as early a date as possible.” (FS 4/84)

Emeritus Standing—Faculty and Academic Staff

The University recognizes Emeritus status of retired faculty and academic staff members. Standards for conferring Emeritus status are as follows:

1. The faculty or academic staff member has served at least 20 years in this institution; or has had 20 years of collegiate service, 10 of which must have been in this institution just prior to retirement or has had 20 years of service to the education profession, at least 15 of which have been in this institution just prior to retirement.
2. The faculty or academic staff member is permanently retired from the University.

An exception to the above requirements may be granted under the following procedure:

The recommendation must originate at the department level or its functional equivalent and be forwarded to the Chancellor. The Chancellor will determine whether or not to grant the exception after consultation with the University Senate Executive Committee.

Emeritus status includes the following privileges: (US 4/99)

1. Names of emeriti faculty and academic staff are published with the faculty and academic staff roll in the *University Bulletin*.

⁷ Probationary faculty and instructional and/or research academic staff members in the first or second year of service will not yet have been notified about a subsequent year. When a faculty member is reappointed or an instructional and/or research academic staff member is rehired to a second or third year of service, notification of salary adjustment will be given at the time of reappointment or rehiring.

2. Emeriti faculty and academic staff may march in Commencement or other academic processions, entering immediately ahead of the administrative officers and leaving immediately after those officers.
3. Emeriti faculty and academic staff may participate in all social affairs of the University and hold membership in the emeriti faculty and retired associates of the University.
4. Emeriti faculty and academic staff are awarded the UW-Eau Claire medallion.
5. Emeriti faculty and academic staff, as with all retired faculty and academic staff, retain the UW-Eau Claire ID and all the privileges it provides.
6. Emeriti faculty and academic staff may, under certain circumstances, receive assistance in continuing their professional activities.
7. Emeriti faculty and academic staff may request a Learning and Technology Services (LTS) network account.
8. Emeriti faculty and academic staff may audit courses according to the policies on auditing of classes by special students and auditing courses as published in the current [University Catalogue](#).

Commencement

A formal Commencement terminates the Fall Semester, the Spring Semester, and the Summer Session. University policy regarding participation is as follows:

1. Each academic department will be represented by two members at each of the three commencements. When a two-ceremony commencement is held, faculty may choose which ceremony to attend. They are encouraged to attend the ceremony of their College.
2. Each Department Chair will provide the commencement coordinator with the names of those members who will be participating in the commencement. These persons will then be considered to have an obligation to attend. In addition, any other faculty or academic staff members who have at least half-time assignment, as well as all emeriti faculty and academic staff members, are invited to participate in commencement. (US 4/97)

Separation Procedures—Faculty and Academic Staff

When a member of the faculty or academic staff terminates his or her relationship with the University, a separation letter with benefits information and a “Termination Checklist” will be sent to the employee. This checklist is a reminder to the employee to return keys, parking permits, rental textbooks, departmental property, etc.

At the same time, the Human Resources Office will send an e-mail notification to the departments on the “Checklist,” informing them that an employee is leaving. The e-mail notification will be followed by a “Terminating Employee” memo that includes campus address information, last day of work, etc. The department is then able to check their records to see if the employee has any equipment or material that needs to be returned. If so, the department will contact the terminating employee directly.