

12/01/2016

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

I.1. Education Committee

December 8, 2016
8:00 a.m. – 10:00 a.m.
Gordon Dining and Event Center
770 W. Dayton Street, 2nd Floor
Symphony Room
Madison, Wisconsin

- a. Approval of the Minutes of the November 10, 2016 meeting of the Education Committee;
- b. Report of the Vice President;
- c. UW-Green Bay: Approval of the Master of Science in Athletic Training;
[Resolution I.1.c]
- d. UW-Milwaukee: Approval of the B.A. in Urban Studies;
[Resolution I.1.d]
- e. Approval of Proposed Regent Policy Document changes relating to Advisory Boards and Councils:
 - (1) Revision and renaming of Regent Policy Document 8-1, “Authorization to Establish Advisory Councils.”
[Resolution I.1.e.(1)]
 - (2) Removal of Regent Policy Document 33-1, “Board of Visitors Membership.”
[Resolution I.1.e.(2)]
- f. Approval of a new Regent Policy on the Naming of Academic Units;
[Resolution I.1.f]
- g. Approval of a new Regent Policy on Honorary Doctorate Degrees;
[Resolution I.1.g]
- h. Approval of the removal of five obsolete Regent Policy Documents;
 - (1) Regent Policy Document 4-9, “Principles for Enrollment Management;”
[Resolution I.1.h.(1)]
 - (2) Regent Policy Document 4-14, “Enrollment Management-21;”
[Resolution I.1.h.(2)]
 - (3) Regent Policy Document 5-2, “Accountability Indicators;”
[Resolution I.1.h.(3)];
 - (4) Regent Policy 14-4, “Reserve Officers Training Corps;”
[Resolution I.1.h.(4)]
 - (5) Regent Policy Document 20-14, “Future Staffing Principles;”
[Resolution I.1.h.(5)]

- i. Approval of Proposed Revisions to Regent Policy Document 14-2, “Sexual Harassment Policy Statement and Implementation;”
[Resolution I.1.i]
- j. Approval of Proposed Revisions to Regent Policy (RPD 14-8), “Consensual Relationships;”
[Resolution I.1.j]
- k. UW-Green Bay: Approval of the Post-Tenure Review Policy;
[Resolution I.1.k]
- l. UW-River Falls: Approval of the Post-Tenure Review Policy;
[Resolution I.1.l]
- m. UW-Platteville: Approval of the Post-Tenure Review Policy;
[Resolution I.1.m]
- n. UW-Milwaukee: Approval of the Post-Tenure Review Policy;
[Resolution I.1.n];
- o. UW-Eau Claire: Approval of the Post-Tenure Review Policy;
[Resolution I.1.o]
- p. UW-Oshkosh: Approval of the Post-Tenure Review Policy;
[Resolution I.1.p]
- q. Approval of the Wisconsin Higher Education Attainment Goal;
[Resolution I.1.q]
- r. Approval of a revision to Regent Policy Document 20-9, “Periodic Post-Tenure Review in Support of Tenured Faculty Development;” and
[Resolution I.1.r]
- s. Approval of an Interim Post-Tenure Review Policy for UW System Institutions.
[Resolution I.1.s]

Program Authorization (Implementation)
Master of Science in Athletic Training
UW-Green Bay

EDUCATION COMMITTEE

Resolution I.1.c:

That, upon the recommendation of the Chancellor of the University of Wisconsin-Green Bay and the President of the University of Wisconsin System, the Chancellor is authorized to implement the Master of Science in Athletic Training at UW-Green Bay.

**NEW PROGRAM AUTHORIZATION
MASTER OF SCIENCE IN ATHLETIC TRAINING
AT UW-GREEN BAY**

EXECUTIVE SUMMARY

BACKGROUND

This proposal is presented in accordance with the procedures outlined in Academic Planning and Program Review (ACIS 1.0, revised May 2016, available at <https://www.wisconsin.edu/program-planning/>). The new program proposal for a Master of Science in Athletic Training at the University of Wisconsin-Green Bay is presented to the Board of Regents for consideration. UW-Green Bay's Provost submitted an authorization document, a financial projection, and a letter of institutional commitment.

REQUESTED ACTION

Adoption of Resolution I.1.c, approving the implementation of the Master of Science in Athletic Training at UW-Green Bay.

DISCUSSION

The University of Wisconsin-Green Bay proposes to establish a Master of Science in Athletic Training (M.S.) degree with a five-year (3+2, i.e., three undergraduate years plus two graduate years) option in the Department of Human Biology. UW-Green Bay does not currently have an undergraduate program in Athletic Training.

The Athletic Trainers (AT) Strategic Alliance recently required all athletic training programs to be offered at the master's level by 2022. There is currently one M.S. in Athletic Training program offered in the state of Wisconsin at Concordia University. Pursuant to the AT Strategic Alliance mandate, UW-Milwaukee and UW-Stevens Point this year secured Board of Regents approval to elevate their existing baccalaureate programs in Athletic Training to master's level programs. UW-Milwaukee and UW-Stevens Point will begin accepting graduate students in the fall of 2017. UW-Eau Claire and UW-Oshkosh are also in the process of requesting Board approval for elevating their current undergraduate degrees to master's degrees, as required. The two remaining UW System Athletic Training undergraduate programs – UW-La Crosse and UW-Madison – will be requesting Board of Regents approval for transitioning to an M.S. in Athletic Training in the near future. If approved, the proposed UW-Green Bay M.S. in Athletic Training would be the seventh master's level program within the UW System.

The UW-Green Bay 30- to 31-credit professional degree program in Athletic Training is designed to satisfy all of the requirements specified by the Commission on Accreditation of Athletic Training Education (CAATE), as well as the graduation requirements for UW-Green Bay for master's degrees.

Additionally, UW-Green Bay will seek accreditation of the M.S. program through CAATE, which will allow graduates of the program to sit for the National Athletic Trainers' Association (NATA) Board of Certification exam. The proposed M.S. in Athletic Training will provide an opportunity for UW-Green Bay students to obtain credentials as certified athletic trainers for jobs that are opening up in northeastern Wisconsin. The required 67 credits include ten credits of clinical practicum and six credits of research methods in preparation for a capstone project or thesis. According to UW-Green Bay, the program will enhance both graduate and undergraduate research opportunities, strengthen community partnerships, support UW-Green Bay's Division I athletic program, and retain alumni from the UW System who are seeking careers as certified athletic trainers.

UW-Green Bay will use a cohort approach to student admissions, admitting students every two years. By the end of the fifth year of implementation, it is expected that 66 students will have enrolled in the program and 35 students will have graduated from the program.

The program charges standard graduate tuition rates of \$424.47 per credit for in-state students. An additional special course fee of \$500 for first-year students will be charged to cover CPR and AED training, National Athletic Trainers' Association membership, and miscellaneous clinical equipment.

UW-Green Bay cites U.S. Bureau of Labor Statistics data indicating that the job outlook for athletic trainers across the nation is anticipated to grow by as much as 21.3 percent from 2014 to 2024, which is much faster than the average for all occupations. There is a projected 18-percent increase in the number of athletic training jobs in Wisconsin from 2012 to 2022. Similarly, the Wisconsin Department of Workforce Development's 2012 to 2022 projections indicate about a 15-percent increase in health care occupations throughout the state.

RELATED REGENT AND UW SYSTEM POLICIES

Regent Policy 4-12: "Academic Program Planning, Review, and Approval in the University of Wisconsin System."

Academic Information Series #1 (ACIS 1.0, revised July 2016): Statement of the UW System Policy on Academic Planning and Program Review.

**REQUEST FOR AUTHORIZATION TO IMPLEMENT A
MASTER OF SCIENCE IN ATHLETIC TRAINING
AT UW-GREEN BAY
PREPARED BY UW-GREEN BAY**

ABSTRACT

The University of Wisconsin-Green Bay proposes to establish a Master of Science in Athletic Training (M.S.) degree with a five-year (3+2) option in the Department of Human Biology. This proposal aligns with the recent decision by the Athletic Trainers (AT) Strategic Alliance to require all athletic training programs to be offered at the master's level by 2022.¹ The program is designed to satisfy all of the requirements specified by the Commission on Accreditation of Athletic Training Education (CAATE), as well as the graduation requirements for UW-Green Bay. Additionally, UW-Green Bay will seek accreditation of the M.S. program through CAATE, which will allow graduates of the program to sit for the National Athletic Trainers' Association (NATA) Board of Certification exam. The proposed M.S. with a five-year (3+2) option will provide an opportunity for UW-Green Bay students to obtain credentials as a certified athletic trainer for jobs that are opening up in northeastern Wisconsin. The professional graduate program will require 67 credits, which includes ten credits of clinical practicum and six credits of research methods in preparation for a capstone project or thesis. The program will enhance both graduate and undergraduate research opportunities, strengthen community partnerships, support UW-Green Bay's Division I athletic program, and retain alumni from the UW System who are seeking careers as certified athletic trainers.

PROGRAM IDENTIFICATION

Institution Name

University of Wisconsin-Green Bay

Title of Proposed Program

Athletic Training

Degree/Major Designation

Master of Science

Mode of Delivery

Single institution. The program will be face-to-face, and clinical/practicum rotations will occur at UW-Green Bay and in the surrounding northeast Wisconsin communities.

Projected Enrollment by Year Five

Table 1 below represents enrollment and graduation projections for students entering the program over the first five years of program implementation. The model is based on a cohort approach to student admission, admitting students every two years; ultimately UW-Green Bay will consider annual admission if supported financially by student demand. By the end of the fifth year, it is expected that 66 students will have enrolled in the program and 35 students will have graduated from the program. The initial lower enrollment allows time for the clinical coordinator to identify and develop additional clinical education sites.

Table 1: Five-Year Projected Student Enrollments for the M.S. in Athletic Training

	1st Year	2nd Year	3rd Year	4th Year	5th Year
New Students Admitted	16	0	25	0	25
Continuing Students	0	14	0	21	0
Total Enrollment	16	14	25	21	25
Graduating Students	0	14	0	21	0

Tuition Structure

The M.S. in Athletic Training degree will consist of 67 credits. Coursework is separated into four categories: cross-listed courses, didactic courses, clinical courses, and research/thesis courses. Cross-listed courses (20 credits; e.g., Kinesiology, Psychology of Sport and Injury) will be funded from general purpose revenue (GPR). Didactic courses (31 credits; e.g., Therapeutic Modalities, Athletic Training Administration), clinical courses (10 credits; e.g., Clinical Practicum), and six research/thesis credit hours will be funded from tuition generated by the program.

Students enrolled in the program will pay standard graduate tuition rates (\$424.47 per credit for in-state students). Student segregated fees will follow existing UW-Green Bay policies. An additional special course fee of \$500 for first-year students will be charged to cover CPR and AED training, National Athletic Trainers' Association membership, and miscellaneous clinical equipment.

Department, College, School or Functional Equivalent

The proposed program will be housed in the Department of Human Biology within the College of Science and Technology.

Proposed Date of Implementation

Summer 2018

INTRODUCTION

Rationale and Relation to Mission

UW-Green Bay's mission is based on a commitment to provide a problem-solving-focused educational experience that enhances critical thinking skills to address complex issues. The proposed plan for an M.S. in Athletic Training is consistent with that mission in that it will enable students to address problems using knowledge gained through clinical rotations, practicum experiences, didactic education, and research inquiry. This proposed program also aligns with UW-Green Bay's strategic plan, which emphasizes enrollment growth (particularly through graduate programs), promoting opportunities for innovation, establishing distinctive partnerships within the community, and highlighting academic programs focused on health care.

According to the National Athletic Trainers' Association, "Athletic trainers are health care professionals who collaborate with physicians to provide preventative services, emergency care, clinical diagnosis, therapeutic intervention, and rehabilitation of injuries and medical conditions."² The graduate program will enhance collaboration and cooperation with health-based institutions within the Green Bay community and northeast Wisconsin region. The Green Bay community is unique in that it offers a wealth of opportunities for students to gain clinical experiences. As well as partnering with a number of high-quality medical institutions (e.g., Prevea Health, Bellin Health, Aurora Health Care), Green Bay is a "sports-rich community" and rotation opportunities will include professional (e.g., Green Bay Packers and Green Bay Blizzard), minor league (e.g., Green Bay Bullfrogs, Green Bay Gamblers, and Appleton Timber Rattlers), collegiate (e.g., Division I UW-Green Bay, Division III St. Norbert College, and Division III Lawrence University), and/or high school practicum sites. UW-Green Bay has received letters of support from a number of the aforementioned organizations. Students enrolled in the program will receive exposure to multiple levels of competition and network with more than 30 medical professionals in the area.

In addition to developing significant relationships with community partners, a program of this nature will strengthen relationships between academics, athletics, and student populations on the UW-Green Bay campus. An M.S. in Athletic Training complements the Human Biology undergraduate degree, particularly emphasizes in Health Science and Exercise Science. Human Biology is currently the second largest major on campus (spring 2016 enrollment: 421 students). Students at UW-Green Bay will have a new option for career development in an emerging area of the health care profession.

Need as Suggested by Current Student Demand

UW-Green Bay's Department of Human Biology surveyed Human Biology majors during the spring 2016 term to gain student perspective on the need for the M.S. in Athletic Training program, to gauge personal interest in enrolling in this program at UW-Green Bay, and to determine the perceived value of this program to UW-Green Bay and the northeast Wisconsin region. The Human Biology major includes four areas of emphasis: Exercise Science, Nutritional Science, Health Science, and General. Students who pursue an M.S. in athletic training after completing a B.S. in Human Biology typically graduate with an Exercise Science emphasis. The survey (N=79) indicated that 51.9 percent of all Human Biology majors and 73.1 percent of Human Biology majors with an Exercise Science emphasis have a personal interest in an M.S. in Athletic Training program at UW-Green Bay. Over 92 percent of the respondents believe that there is a need for the M.S. in Athletic Training program at UW-Green Bay and 94.9 percent believe that this program would enhance the image of UW-Green Bay and is important to the northeast Wisconsin region. The addition of the M.S. in Athletic Training program at UW-Green Bay will enable current Human Biology students to continue their studies via the 3+2 option, while simultaneously recruiting students regionally and nationally.

Need as Suggested by Market Demand

According to the U.S. Bureau of Labor Statistics, the job outlook for athletic trainers across the nation is anticipated to grow by as much as 21.3 percent from 2014 to 2024, which is much faster than the average for all occupations.³ There is a projected 18-percent increase in the number of athletic training jobs in Wisconsin from 2012 to 2022. Similarly, the Wisconsin

Department of Workforce Development's 2012 to 2022 projections indicate about a 15-percent increase in health care occupations throughout the state.⁴

Currently, only 24.5 percent of athletic trainers (aged 25-44) have attained a master's degree or doctoral degree. The NATA has recently changed the mandatory athletic training degree level to a master's degree. Baccalaureate programs may not admit, enroll, or matriculate students into the athletic training programs after the start of the fall 2022 semester. After that point, athletic training candidates must possess an M.S. in Athletic Training to sit for the National Athletic Trainers' Association Board of Certification (NATABOC) exam and practice as a certified athletic trainer.

Emerging Knowledge and Advancing New Directions

Athletic trainers have traditionally been employed in athletic settings, including professional sports, universities/colleges, and high schools. However, the field of athletic training has evolved, and now requires certified athletic trainers to develop the skills and knowledge to treat clients and patients in a variety of settings beyond the athletic field/court (e.g., performing arts, military, law enforcement, government, hospitals, clinics, industry). Athletic training professionals have progressively become an extension of other health domains (i.e., understanding how to measure and fit medical equipment prescribed by physicians). The National Athletic Trainers' Association has recognized this new direction in employment opportunities and created a committee specifically focused on emerging practices in the profession (Clinical and Emerging Practices Athletic Trainers' Committee).

The proposed M.S. in Athletic Training program will embrace this new direction and provide experiences that integrate student athletic trainers in nontraditional settings. For example, the Athletic Training Field Experience would include an opportunity to attend a fire-and-rescue training session with a local fire department. Graduates of the M.S. in Athletic Training program will understand the concepts of professional practice and develop the knowledge and skills necessary to contribute to the field in diverse capacities.

DESCRIPTION OF PROGRAM

The proposed program will be designed for graduates of a baccalaureate program with a degree in a related field (i.e., human biology, kinesiology, exercise science) who would like to seek employment in the profession of athletic training. Students enrolling in the proposed 3+2 M.S. in Athletic Training degree would complete undergraduate core/athletic training courses during the first three and a half years of the program and would complete graduate core/elective courses during the last year and a half of the program. Students who complete a baccalaureate program at UW-Green Bay, or at another institution, and pursue UW-Green Bay's proposed M.S. in Athletic Training would be able to complete the graduate program in two years.

Graduate athletic training programs follow the constructs of most professional health care programs, which include a didactic classroom curriculum and a variety of clinical experiences (approximately 750 contact hours). Based on accreditation standards, this program necessitates that UW-Green Bay will partner with the community to provide traditional clinical rotations. Required clinical experiences include exposure to treatment and care of injuries related to sports activities and contact/noncontact athletics (e.g., high school settings, equipment intensive, upper

vs. lower extremity focus). Additional clinical rotations, including orthopedics (i.e., surgical observation, rehabilitation, primary care sports medicine) and general medicine (i.e., family practice, urgent care), would also be a requirement of the program. Students will complete a master's thesis or capstone project under the direction of a faculty member in the Department of Human Biology with opportunities to collaborate with faculty from other disciplines (e.g., psychology). Following the completion of this program, students would be eligible to sit for the Board of Certification exam and enter the profession of athletic training.

Institutional Program Array

UW-Green Bay currently provides pre-professional prerequisite courses necessary to enroll in the proposed M.S. in Athletic Training program. These courses are currently offered in the existing biology, human biology, psychology, mathematics, physics, chemistry, anatomy, and physiology programs. Required pre-athletic training coursework is drawn from biology, psychology, mathematics, physics, chemistry, anatomy, and physiology. Faculty currently meet Higher Learning Commission (HLC) accreditation requirements to teach at the graduate level, and many faculty teach within the Medical College of Wisconsin partner program.

Typically, UW-Green Bay students complete a B.S. in Human Biology and apply to master's programs out of state to obtain their credentials to practice as certified athletic trainers. This program aims to retain students in northeast Wisconsin. UW-Green Bay has a strong undergraduate program in nursing, and existing health-related graduate programs, including an M.S. in Integrated Health and Nutrition. Faculty expertise embedded within these aforementioned programs will assist with curricular development and with meeting CAATE requirements. As the Green Bay metropolitan area is home to a strong and growing medical economy, it is important that UW-Green Bay meets this regional economic need by expanding its graduate offerings in the Health Sciences.

The faculty in the M.S. in Athletic Training program will collaborate with faculty and advisors in the Health Information Management & Technology Program and the Master of Science in Health and Wellness Management. Each of these selected programs will assist the faculty in curricular development and meeting CAATE requirements.

Other Programs in the University of Wisconsin System

There is currently one M.S. in Athletic Training program offered in the state of Wisconsin at Concordia University. The NATA Board of Directors and the Commissioners of the CAATE recently announced a major decision to establish the professional degree in athletic training at the master's level as of 2022. Pursuant to this mandate, UW-Milwaukee and UW-Stevens Point this year secured Board of Regents approval to elevate their existing baccalaureate programs in Athletic Training to master's level programs. UW-Milwaukee and UW-Stevens Point will begin accepting graduate students in the fall of 2017. UW-Eau Claire and UW-Oshkosh are also in the process of requesting Board approval for elevating their current undergraduate degrees to master's degrees, as required. The two remaining UW System Athletic Training undergraduate programs – UW-La Crosse and UW-Madison – will be requesting Board of Regents approval for transitioning to an M.S. in Athletic Training in the near future. If approved, the proposed UW-Green Bay M.S. in Athletic Training would be the seventh master's level program within the UW System. While offering strong programs for other regions of the

state, the existing degree programs do not meet the needs of many students in northeastern Wisconsin, which is also home to a high concentration of high-caliber athletic organizations.

Collaborative Nature of Program

This proposal emphasizes development of a local program delivered by UW-Green Bay. However, UW-Green Bay recognizes the potential benefits of collaboration, and would willingly consider collaborative proposals provided they meet the needs of its local community. Internally, a number of academic (e.g., human biology, nursing, psychology, and graduate studies) and non-academic programs (i.e., athletics, student advising, and financial aid) will collaborate to fulfill the student learning outcomes for the accredited program, with the Departments of Human Biology and of Natural and Applied Sciences housing the facilities and equipment needed for master's theses and capstone projects. It is also anticipated that select graduate students enrolled in the proposed M.S. in Athletic Training program would receive teaching assistantships to instruct lower-level labs within the Human Biology undergraduate degree (Anatomy and Physiology Lab). Teaching Assistants provide an important and cost-effective means of delivering high-quality instruction in introductory science laboratories, yet UW-Green Bay remains underdeveloped in this resource. UW-Green Bay's Division I athletic program, the City's strong professional sports tradition and robust health economy lend credence to the current proposal for its expected benefits to the local community.

Diversity

UW-Green Bay is dedicated to expanding the diversity of the campus community. UW-Green Bay faculty and staff have engaged in several strategic initiatives to recruit a more diverse student body and offer a wide range of experiences and perspectives throughout a student's undergraduate program. In fall 2016, the campus added a Director of Student Success and Engagement in the Provost's Office charged with improving student retention and degree completion. The Office of Admissions also supports recruiters specialized in working with multicultural, bilingual, and international students. The American Intercultural Center (AIC), the Pride Center, and the Center for Advancement of Teaching and Learning (CATL) all offer resources and services that promote academic success and personal growth of students.

The proposed M.S. in Athletic Training program will serve a diverse student body, which will be recruited regionally and nationally, including nontraditional students. The 3+2 program option has potential to create streamlined transfer paths and articulation agreements with Wisconsin Technical Colleges (e.g., NWTC's Physical Therapist Assistant – Associate Degree) and the two-year UW Colleges, which will serve a more diverse student population. The College of Science and Technology, in collaboration with the AIC and CATL, is committed to attracting diverse applicants, which will require an enhanced recruitment strategy (i.e., marketing to professional networks that reflect underrepresented populations). In support of this goal, the NATA Ethnic Diversity Advisory Committee has developed Diversity Enhancement Grants for institutions seeking to enhance ethnic diversity within the profession.

Student Learning Outcomes

The National Athletic Trainers' Association provides detailed student learning outcomes for accredited athletic training programs. The competencies outlined in the document are the minimum requirements for a student's professional education. In addition to classroom and

laboratory instruction, students will fulfill these competencies through clinical rotations and integrated research experiences.

As determined by CAATE, an athletic trainer must demonstrate the knowledge and skills within the following content areas:

- Evidence-Based Practice
- Prevention and Health Promotion
- Clinical Examination and Diagnosis
- Acute Care of Injury and Illness
- Therapeutic Interventions
- Psychosocial Strategies and Referral
- Healthcare Administration
- Professional Development and Responsibility
- Clinical Integrated Proficiencies

In addition to the above competencies, the following foundational behaviors of professional practice should be incorporated into accredited athletic training programs:

- Primacy of the Patient
- Team Approach to Practice
- Legal Practice
- Ethical Practice
- Advancing Knowledge
- Cultural Competence
- Professionalism⁵

Assessment of Objectives

The M.S. in Athletic Training didactic courses (lectures and labs) will be taught in a traditional face-to-face format on the UW-Green Bay campus. The clinical courses (AT Practicum I-IV and AT Field Experience) will be taught at medical institutions and athletic facilities in the surrounding community, as organized by the clinical coordinator and under the direction of identified preceptors. The M.S. in Athletic Training program will require oversight and instruction by certified athletic trainers, including a program director, a clinical coordinator, and additional adjunct clinical instructors.

The program director and clinical coordinator will have the responsibility for the assessment of student learning. The program director will assign specific learning goals to each course that are designed to address core competencies as outlined in the *5th edition of the NATA Athletic Training Education Competencies*. Student learning outcomes will be assessed directly and indirectly throughout the two-year program. A more detailed assessment plan will be created by the program director and clinical coordinator as the courses are implemented during the first two years of program development.

Program Curriculum

After obtaining a baccalaureate degree and completing the prerequisite courses listed below, the M.S. in Athletic Training will consist of 67 credits and requires students to have a baccalaureate degree as well as certain prerequisite courses at the time of admission. The credit load includes ten credits of clinical practicum and six credits of research methods in preparation of a capstone project or thesis. All cross-listed courses will be offered at the undergraduate and the graduate level.

Required Graduate Courses (67 hours)	Credits	
	Existing	New
<i>Summer 1</i>		
Gross Anatomy (cross-listed – mixed Existing and New)	1	3
Principles in Athletic Training (cross-listed as HUB 310, upgraded from HUB 210)	3	
Evaluation and Management - Emergent Conditions (New)		2
<i>Fall 1</i>		
Orthopedic Assessment - Lower Extremity and Spine (New)		4
Therapeutic Modalities (New)		3
Kinesiology/Biomechanics (cross-listed as HUB 351)	4	
AT Clinical Practicum I (New)		2
<i>Spring 1</i>		
Orthopedic Assessment - Upper Extremity, Trunk, and Head (New)		4
Bioenergetics of Athletic Performance (cross-listed as HUB 360/361)	4	
Rehabilitation in AT I (New)		3
AT Clinical Practicum II (New)		2
<i>Summer 2</i>		
Psychology of Sport and Injury (cross-listed PSYCH 450)	3	
Athletic Training Administration (New)		3
Research Methods I (New)		1
AT Field Experience (New)		2
<i>Fall 2</i>		
Diagnostic Imaging and Lab Studies (New)		2
Healthcare Information Technology (cross-listed as HIMT 400)	2	
Rehabilitation in AT II (New)		3
Research Methods II (New)		2
AT Clinical Practicum III (New)		3
<i>Spring 2</i>		
Nutritional and Pharmacological Interventions (New)		2
Seminar in AT (New)		2
Research Methods III (New)		3
AT Clinical Practicum IV (New)		3
BOC Prep (New)		1
Total	17	50

Prerequisite coursework for admission to the M.S. in Athletic Training (34 hours):

- Biology – with lab (four credits)
- Chemistry – with lab (two semesters – eight credits)
- Physics – with lab (four credits)
- Human Anatomy (with lab – four credits)
- Human Physiology (with lab – four credits)
- Exercise Physiology (with lab – three credits)
- Psychology (three credits)
- Statistics (four credits)
- Medical Terminology (credit or non-credit)

Projected Time to Degree

Students who apply to the M.S. in Athletic Training program with a baccalaureate degree (with the prerequisite courses) will complete the degree in two full years (including summers). UW-Green Bay undergraduate students who have fulfilled the prerequisite courses and enroll in the 3+2 track will be able to complete both a B.S. in Human Biology and M.S. in Athletic Training in five years. Students will be required to take courses in sequence and must enter the program during the summer term. The master's thesis or capstone project must be completed in the final semester.

Institutional Review

UW-Green Bay's Graduate Academic Affairs Council (GAAC) is charged with oversight of all graduate programs on campus, including review and approval of all credit courses and all academic programs at the graduate level. The M.S. in Athletic Training program will be formally reviewed on a seven-year cycle by the department, the college program review committee, the Dean of the College of Science and Technology, and the GAAC. The Graduate Academic Affairs Council forwards all recommendations and decisions to the Faculty Senate, and provides advice regarding issues of graduate-level education policy and implementation.

In addition, the program must submit an annual report (and additional progress reports if requested) to CAATE, which includes changes to program, personnel, and fiscal matters. Initial CAATE accreditation of the program requires a five-year review, including a self-study, peer review, and site visit. Continuing accreditation may be granted by CAATE for a maximum of ten years. The College of Science and Technology and the Department of Human Biology will manage the resources to ensure that funds are available to invest in the program as needed.

Accreditation

The program will need to be approved through the Higher Learning Commission. In order for students to practice in the field, they must graduate from a CAATE-accredited program and pass the National Athletic Trainers' Association Board of Certification exam. For this reason, the M.S. in Athletic Training program will seek accreditation through the Commission on Accreditation of Athletic Training Education (CAATE).⁶

Endnotes

1. AT Strategic Alliance. Professional Degree Decision. (2016). The Athletic Trainers Strategic Alliance includes four organizations committed to the profession, including: the Board of Certification, Inc., the Commission on Accreditation of Athletic Training Education (CAATE), National Athletic Trainers' Association (NATA), and the NATA Research and Education Foundation. Retrieved from <http://caate.net/the-professional-degree/>
2. National Athletic Trainers' Association. (2016). Athletic Training. Retrieved from <http://www.nata.org/about/athletic-training>
3. U.S. Bureau of Labor Statistics. (2016). Occupational Outlook Handbook. Healthcare, Athletic Trainers. Retrieved from <http://www.bls.gov/ooh/healthcare/athletic-trainers.htm>
4. State of Wisconsin Department of Workforce Development. (2016). Labor Market Information. Retrieved from <http://wisconsinjobcenter.org/labormarketinfo/>
5. National Athletic Trainers' Association. (2014). Athletic Training Education Competencies. Retrieved from <http://caate.net/wp-content/uploads/2014/06/5th-Edition-Competencies.pdf>
6. Commission on Accreditation of Athletic Training. (2016). Pursuing and Maintaining Accreditation of Professional Programs in Athletic Training. Retrieved from <http://caate.net/accreditation-application-process/>

**University of Wisconsin - Green Bay
Cost and Revenue Projections For Newly Proposed Program**

	Items	Projections				
		2018	2019	2020	2021	2022
		Year 1	Year 2	Year 3	Year 4	Year 5
I	Enrollment (New Student) Headcount	16	0	25	0	25
	Enrollment (Continuing Student) Headcount	0	14	0	21	0
	Enrollment (New Student) FTE	16	0	25	0	25
	Enrollment (Continuing Student) FTE	0	14	0	21	0
II	Total New Credit Hours (# new sections x credits per section)	27	29	0	0	0
	Existing Credit Hours	8	9	35	38	35
III	FTE of New Faculty/Instructional Staff	1.0	0.0	0.0	0.0	0.0
	FTE of Current Fac/IAS	0.2	1.2	1.2	1.2	1.2
	FTE of New Admin Staff	1.25	0.0	0.0	0.0	0.0
	FTE Current Admin Staff	0	1.25	1.25	1.25	1.25
IV	New Revenues					
	<i>From Tuition (new credit hours x FTE)</i>	\$183,371	\$163,659	\$298,093	\$255,406	\$310,135
	<i>From Special Course Fees</i>	\$8,000	\$0	\$13,000	\$0	\$13,500
	<i>Program Revenue - Grants</i>	\$0	\$0	\$0	\$0	\$0
	<i>Program Revenue - Other</i>	\$0	\$0	\$0	\$0	\$0
	<i>Reallocation</i>	\$0	\$0	\$0	\$0	\$0
	Total New Revenue	\$191,371	\$163,659	\$311,093	\$255,406	\$323,635
V	New Expenses					
	Salaries plus Fringes					
	<i>Faculty/Instructional Staff</i>	\$92,095	\$103,492	\$96,446	\$107,950	\$101,014
	<i>Other Staff</i>	\$96,932	\$110,690	\$112,904	\$115,162	\$117,466
	Other Expenses					
	<i>Special Course Fee Use</i>	\$8,000	\$0	\$13,000	\$0	\$13,500
	<i>Advertising</i>	\$7,000	\$7,000	\$5,000	\$5,000	\$5,000
	<i>Other: NATA membership, Accred., Prof. Dev., etc</i>	\$6,080	\$7,123	\$6,580	\$7,123	\$6,580
	Total Expenses	\$210,107	\$228,306	\$233,930	\$235,236	\$243,560
VI	Net Revenue	-\$18,736	-\$64,647	\$77,162	\$20,170	\$80,075

Narrative: Explanation of the Numbers and Other Ongoing Commitments that will Benefit the Proposed Program

- I. Enrollment assumes admitting an initial biennial cohort of 16 full-time students, increasing to 25 students by year 3, with ~85% student retention rate between years 1 and 2 of the program for each cohort. New students are those recently admitted students (1st year) to the program, not necessarily new students to the University.
- II. We are proposing 49 new graduate SCH, with the remaining SCH (20) pulled from cross-listed courses available in our large undergraduate Human Biology Program (102 program), thus benefitting both programs and providing limited elective options. "Traditional," non-integrated graduate students take 9 credits during summer 1, 13 credits during fall 1, 13 credits during spring 1, 9 credits during summer 2, 12 credits in fall 2, 11 credits in spring 2. Following existing UWGB policies, all summer credits are charged on a per credit basis, with 9 & 9 new graduate (131-based) credits in fall & spring yr 1, and 10 & 11 new graduate (131-based) credits in fall & spring yr 2. This pattern repeats.
- III. We propose adding a Director (50% teaching/50% admin) and a Clinical Coordinator (50% teaching/50% admin) in yr 1. We have also budgeted 25% time for general admin support (also starting yr 1), primarily to support the clinical interns. Additional instruction will occur via existing faculty, and through use of practicing Athletic Trainers. Accreditation requirements, coupled with clinical placement workload mandates a large administrative cost.
- IV. Graduate tuition rates are held at the resident level for UW-GB. Summer tuition at UW-GB is charged on a per credit basis at \$424.47/cr. During the semester credit cost plateaus at \$3,820.23 for 9 or more credits (seg fees excluded). Thus, Yr1 = (9 summer credits * \$424.47/cr * 15 students) + (2 fulltime semesters (9 cr plateau) * \$3,820.23 (no seg fees)/ fulltime grad * 16 students) = \$183,371. Subsequent years assume annual increases 2% in tuition and special course fees, offsetting projected annual business cost increases of 2%. The special course fee covers CPR and AED training, National Athletic Trainer's Association membership, and miscellaneous clinical equipment for first year students.
- V. We included membership and accreditation expenses for NATA, as well as faculty and staff professional development dollars. We also document the use of special course fees, as this revenue will be largely pass-through dollars applied back to student expenses (see above). We budget \$7,000 per year initially for advertising, reduced to \$5,000 per year once the program is running, expecting cost savings by bundling our marketing efforts with existing buys for Human Biology and other Health Care related programs. Instructional costs assume half time teaching loads for both the Director and Clinical Coordinator, with remaining course coverage through ad hoc from practicing Athletic Trainers (clinical courses, etc) and existing cross-listed undergraduate/graduate courses. Staff costs reflect the 25% administrative support position plus time from the Director and Clinical Coordinator. Salary increases of 2% per year are assumed.

Provost's Signature:

Date:

29 Nov 12

UNIVERSITY of WISCONSIN
GREEN BAY

Date: October 13, 2016

Re: Authorization to Implement: Master of Science in Athletic Training (MSAT)

Dear President Cross,

I confirm the University of Wisconsin-Green Bay's strong commitment to adding a Master of Science in Athletic Training (MSAT) to our graduate program array. The program gained final, formal support from shared governance at Faculty Senate on Wednesday, October 12, 2016. The MSAT program is designed to satisfy all requirements specified by the Commission on the Accreditation of Athletic Training Education (CAATE), as well as the graduation requirements for UWGB. The program will be funded primarily through new program revenue, with supplemental support provided by existing cross-listed courses in the Department of Human Biology. We are extremely excited by the interdisciplinary nature of this program (Mission relevance), the strategic breadth and collaborative nature it adds to our graduate program offerings (Health Care), and its ability to build upon Green Bay's internationally recognized sports tradition, including our own Division 1 athletics program, the Green Bay Packers, the Green Bay Blizzard, and others.

The MSAT program will be housed in the College of Science and Technology, which includes the Department of Human Biology. Human Biology is one of the largest majors on campus with nearly 500 students and provides the prerequisite courses and many upper-level cross listed courses necessary for the proposed MSAT program. Courses in the program will be delivered through face-to-face lectures and laboratories, as well as embedded clinical experiences in the surrounding community. Upon completion of the program, students will be eligible to sit for the National Athletic Trainers' Association Board of Certification Exam. The proposed 3+2 option for the MSAT program facilitates rapid completion of the MSAT by UW-Green Bay students, reducing both time and tuition costs incurred by students.

The MSAT program aligns well with the mission and vision of both UW-Green Bay and the College of Science and Technology. The MSAT program will expand offerings in Human Biology, while taking advantage of the expertise of existing faculty, several of whom are also involved in our collaborative with the Medical College of Wisconsin. With the increased demand for certified athletic trainers, and the strong interest from our existing Human Biology students, the MSAT program provides an important opportunity for Green Bay to retain and rapidly integrate our talented students into professional positions in local businesses.

Please let me know if you require any additional information regarding the MSAT program, and thank you in advance for your consideration. I look forward to receiving authorization from the Board of Regents for the implementation of this important program.



Gregory Davis
Provost and Vice Chancellor

Program Authorization (Implementation)
Bachelor of Arts in Urban Studies
UW-Milwaukee

EDUCATION COMMITTEE

Resolution I.1.d:

That, upon the recommendation of the Chancellor of the University of Wisconsin-Milwaukee and the President of the University of Wisconsin System, the Chancellor is authorized to implement the Bachelor of Arts in Urban Studies at UW-Milwaukee.

**NEW PROGRAM AUTHORIZATION
BACHELOR OF ARTS IN URBAN STUDIES
AT UW-MILWAUKEE**

EXECUTIVE SUMMARY

BACKGROUND

This proposal is presented in accordance with the procedures outlined in Academic Planning and Program Review (ACIS 1.0, revised May 2016, available at <https://www.wisconsin.edu/program-planning/>). The new program proposal for a Bachelor of Arts in Urban Studies at the University of Wisconsin-Milwaukee is presented to the Board of Regents for consideration. UW-Milwaukee's Provost submitted an authorization document, a financial projection, and a letter of institutional commitment.

REQUESTED ACTION

Adoption of Resolution I.1.d, approving the implementation of the Bachelor of Arts in Urban Studies at UW-Milwaukee.

DISCUSSION

In alignment with the University of Wisconsin-Milwaukee's urban access mission and center for urban scholarship, the university requests authorization to implement a Bachelor of Arts in Urban Studies. The Urban Studies requires a major with 30-31 credits and fits well within current strategic initiatives and goals, UW-Milwaukee's mission, and the relationship of UW-Milwaukee to the surrounding city and metropolitan region as a Carnegie Community Engaged Institution. The program in Urban Studies has been offered since 2008-09 as a formal submajor within the so-called "Committee Interdisciplinary Major," a type of self-designed degree students may choose. The request is to authorize this program as a stand-alone degree program at UW-Milwaukee, admitting 13 students in the first year and growing to 49 students enrolled by year five of implementation. The proposed degree will function as an interdisciplinary undergraduate degree program designed to prepare students for careers in nonprofit organizations, government, criminal justice and social service fields, and for graduate study in many disciplines including the social sciences and professional fields of urban planning, social work, education, and law.

The B.A. in Urban Studies is designed to provide students with the opportunity to explore scholarship on cities, suburban communities, and metropolitan regions through an interdisciplinary lens. Coursework and faculty teaching in the major are drawn from five UW-Milwaukee schools and eleven departments (Africology, Architecture, Criminal Justice, Educational Policy and Community Studies, Geography, History, Political Science, Public Health, Public and Nonprofit Administration, Sociology, and Urban Planning, in addition to Urban Studies).

Although interdisciplinary, the field of urban studies encompasses a distinct body of knowledge, one that combines both theoretical and applied approaches to understanding urban processes and leading to a variety of jobs that are in demand and projected by the U.S. Bureau of Labor Statistics to expand in the future.

The degree program is designed to allow each student to develop a strong foundation from the 15-16 credits of required courses and then choose a set of elective courses that examine particular urban issues and remedies from different disciplines, depending on student interest and career goals. The program will use the tuition structure currently in place for baccalaureate-level students at UW-Milwaukee. For 2016-17, tuition for full-time students is \$4,746 for residents and \$9,925 for non-residents per semester.

RELATED REGENT AND UW SYSTEM POLICIES

Regent Policy 4-12: “Academic Program Planning, Review, and Approval in the University of Wisconsin System.”

Academic Information Series #1 (ACIS 1.0, revised July 2016): Statement of the UW System Policy on Academic Planning and Program Review.

**REQUEST FOR AUTHORIZATION TO IMPLEMENT A
BACHELOR OF ARTS IN URBAN STUDIES
AT UW-MILWAUKEE
PREPARED BY UW-MILWAUKEE**

ABSTRACT

The University of Wisconsin-Milwaukee requests authorization to implement a B.A. in Urban Studies, an interdisciplinary undergraduate degree designed to prepare students for careers in nonprofit organizations, government, criminal justice and social service fields, and graduate study in many disciplines including the social sciences and professional fields of urban planning, social work, education, and law. The B.A. in Urban Studies is designed to provide students with the opportunity to explore scholarship on cities, suburban communities, and metropolitan regions with an interdisciplinary lens. Coursework and faculty in the major are drawn from five schools and eleven departments (Africology, Architecture, Criminal Justice, Educational Policy and Community Studies, Geography, History, Political Science, Public Health, Public and Nonprofit Administration, Sociology, and Urban Planning, in addition to Urban Studies). Although interdisciplinary, the field of urban studies encompasses a distinct body of knowledge, one that combines both theoretical and applied approaches to understanding urban processes.¹ The major is designed to be flexible to allow the student to develop a strong foundation from the 15 to 16 credits of required courses and then build a set of elective courses that examine particular urban issues and remedies from different disciplines, depending on student interest and career goals. The major consists of a total of 30 to 31 credits. The program in Urban Studies has been offered since 2008-09 as a formal submajor of the so-called Committee Interdisciplinary Major (CIM). The request is to authorize this program as a stand-alone degree.

PROGRAM IDENTIFICATION

Institution Name

University of Wisconsin-Milwaukee

Title of Proposed Program

Urban Studies

Degree/Major Designations

Bachelor of Arts

Mode of Delivery

Single institution. The degree consists of a combination of coursework, a capstone seminar, and an internship. All core courses are delivered face-to-face with some electives offered online. Internship courses are one-on-one conferences throughout the semester. Future development may include online required courses.

Projected Enrollment by Year 5

It is expected that by year five, 49 students will have enrolled in the program. Table 1 illustrates enrollment and graduation projections for the first five years of the program after implementation. Student graduation and attrition projections were calculated based on past patterns with the current Committee Interdisciplinary Major (CIM) submajor in Urban Studies.

Table 1: Five-Year Projected Student Enrollments for the B.A. in Urban Studies

	Year 1	Year 2	Year 3	Year 4	Year 5
New Students	13	15	17	19	21
Continuing Students	20	22	24	26	28
Total Enrollment	33	37	41	45	49
Graduating Students	5	6	7	8	9

Tuition Structure

The program will use the tuition structure currently in place for baccalaureate-level students at UW-Milwaukee. For 2016-17, tuition for full-time students is \$4,746 for residents and \$9,925 for non-residents per semester. For part-time students enrolled for less than 12 credits per semester, the per-credit tuition cost is \$353.24 for residents and \$784.40 for non-residents. These figures exclude segregated fees, which currently amount to \$700 per semester for a full-time student.

Department or Functional Equivalent

The proposed B.A. in Urban Studies will reside within Urban Studies Programs (USP). USP is a unit in the College of Letters and Science with a director, associate director and office manager, three teaching assistants, and a total of 30 affiliated faculty across five schools and eleven departments.

College, School, or Functional Equivalent

College of Letters and Science

Proposed Date of Implementation

Spring 2017

INTRODUCTION

The proposal to establish a stand-alone B.A. degree program, based on the current CIM submajor in Urban Studies at UW-Milwaukee, will prove to be important for current and future students, UW-Milwaukee and the UW System, and the larger Milwaukee and metropolitan community. UW-Milwaukee has long been recognized as a center for urban scholarship. More than 50 years ago, the Ford Foundation awarded UW-Milwaukee a million-dollar grant to develop urban graduate programs—i.e., the M.S. and Ph.D. programs that later became identified as one of the “four peaks of excellence” at UW-Milwaukee. An urban research focus also represented an area of specialization that differentiated the UW-Milwaukee doctoral campus

from UW-Madison. More recently, the Urban Affairs Association (UAA), the international professional association of urbanists, and the publisher of the top-ranked *Journal of Urban Affairs*, identified UW-Milwaukee and USP's commitment to urban scholarship and research as the prime reason for relocating to UW-Milwaukee in 2010. In addition, Urban Studies distinguished professor Margo Anderson and professor Amanda Seligman were recently awarded a \$250,000 grant from the *National Endowment for the Humanities* for the *Encyclopedia of Milwaukee* project, an online and print form history of Milwaukee.

Current trends globally and locally point to the importance of urban-focused study programs. The 21st century has been called the *urban century*. As the urban century ushers in a new set of challenges and opportunities, students schooled in urban studies, with both a global and local orientation, can be well positioned to tackle these issues and contribute positively to urban change and development on a global scale and across Milwaukee and the metropolitan region.

Rationale and Relation to Mission

The implementation of a Bachelor of Arts degree in Urban Studies at UW-Milwaukee is designed to provide students with the opportunity to explore scholarship on cities, suburban communities, and metropolitan regions with an interdisciplinary lens and to examine evidence-based, best practices and practitioner approaches to address urban problems and change from multiple disciplines and methodologies.

The program in Urban Studies has been offered since 2008-09 as a formal submajor of the Committee Interdisciplinary Major (CIM). The rationale to move from a CIM submajor to a full degree program stems from: (1) the recognition that there is a demonstrated interest by students to pursue an interdisciplinary major in Urban Studies as evidenced through the healthy enrollment in the existing CIM submajor; (2) a growing interest and support for interdisciplinary programs in teaching and research at the UW-Milwaukee and throughout the UW System (3) the need for an undergraduate major wholly focused on addressing urban problems and engaging in urban and regional and global urban development and policy initiatives grounded in historical, social science, and professional approaches; (4) the job placement success of UW-Milwaukee's undergraduate CIM submajor and M.S. graduates in urban studies, and the local, regional, national and international market demand for students trained in urban theory and practice; and (5) the potential development of accelerated 3+2 programs that would provide a strong liberal arts foundation in urban studies at UW-Milwaukee linked to graduate and professional programs in urban studies, nonprofit administration, public administration, and urban planning.

The Urban Studies major fits well within current strategic initiatives and goals, UW-Milwaukee's mission, and the relationship of UW-Milwaukee to the surrounding city and metropolitan region as a Carnegie Community Engaged Institution.² For example, there are several tenets that emerged from UW-Milwaukee's two-year strategic planning process that align well with Urban Studies Programs and the proposed Urban Studies degree and its focus on examining and addressing urban problems and engaging with Milwaukee and the region. One of the tenets is: "[The] relationship between UW-Milwaukee and Milwaukee has been a defining feature in the University's past success and in defining its future goals" with UW-Milwaukee's "mission to provide access to high quality education, and its deep engagement with Milwaukee's

metropolitan communities[...].The combination of our urban location and research excellence allows us to build collaborations and partnerships that are unique in Wisconsin. Our engagement with Milwaukee attracts top faculty and students who conduct research on social and organizational issues[...]and share their expertise by working with community and governmental organizations.”³

Further, there are additional elements of the UW-Milwaukee strategic plan that align with the proposed major. For example, in defining UW-Milwaukee’s *role, vision, and strategic goals*, UW Milwaukee’s position as an urban, public, research university is highlighted frequently, and UW-Milwaukee’s relationship to the larger community through “engagement” and “collaborative partnerships” is referenced repeatedly. Community engagement, one of UW-Milwaukee’s five strategic goals, is described as a way to “deepen our positive impact in the city and region.” As an urban, public, research university, UW-Milwaukee seeks to promote engagement with the larger community and to make a positive impact on the City of Milwaukee and the overall metropolitan region. By joining the Urban Studies undergraduate major with two well-established Urban Studies graduate programs (M.S. and Ph.D.) that have a long-established history of community engagement and research oriented toward addressing pressing urban issues, the Urban Studies major actively contributes to UW-Milwaukee’s role and vision and furthers these important strategic goals of the university.⁴

The UW-Milwaukee Mission Statement, which is excerpted below in parts, includes several goals that this program will address including such points as to “attract highly qualified students who demonstrate the potential for intellectual development, innovation, and leadership for their communities...[and] to establish and maintain productive relationships with appropriate public and private organizations at the local, regional, state, national, and international levels...to provide educational leadership in meeting future social, cultural, and technological challenges...[and] to promote public service and research efforts directed toward meeting the social, economic and cultural needs of the state of Wisconsin and its metropolitan areas.”⁵

In particular, an undergraduate degree program in Urban Studies helps to fulfill UW-Milwaukee’s mission by preparing students for professional work in a variety of nonprofit, community, governmental, educational, and business settings, and for graduate work in a variety of social science and professional programs, and also by engaging students to examine and address urban problems and develop regional solutions for pressing issues of the 21st century in metro Milwaukee and globally. Additionally, UW-Milwaukee has been engaged in a comprehensive planning process that involves a strong emphasis on cross-disciplinary cooperation. As an interdisciplinary curriculum across five schools and eleven departments, this major clearly aligns with this larger orientation.

Need as Suggested by Student Demand

The Urban Studies submajor administered as a CIM has been in existence since it was first approved in 2008 and since that time has seen steady growth. Students with a variety of interests and backgrounds gravitate to the CIM submajor in Urban Studies, and some have enrolled in it as a complement to another traditional discipline major. A number of students have transferred into the College of Letters and Science from other colleges/schools (as well as some who transferred to UW-Milwaukee from other universities) to pursue the Urban Studies major.

The number of yearly declarations between 2008 and 2015 has averaged 13 per year over that period, with more than 50 students having graduated with an Urban Studies CIM submajor during its eight years of operation. Currently, there are approximately 28 active students in the program who will be transferred into the proposed program upon final approval. As a full degree program with greater visibility, it is predicted that the enrollment in the major will continue to grow.

Need as Suggested by Market Demand

Recent graduates of the CIM submajor in Urban Studies have gone on to work professionally in a variety of local fields in metro Milwaukee. Examples include: planner for the Milwaukee County Transit System, property manager at NAI MLG Commercial, budget analyst for Milwaukee County government, housing rehabilitation specialist for the City of Milwaukee Neighborhood Improvement Development Corporation, community outreach manager for Layton Boulevard West Neighbors in Milwaukee, community organizer for the Northwest Community Development Corporation in Milwaukee, and special projects coordinator in the City of St. Francis Planning Office, to name a few. Others have taken positions outside the metropolitan Milwaukee area such as one graduate who now works as a data visualization developer for Children's Optimal Health in Austin, Texas. Many of UW-Milwaukee's graduates have also gone on to graduate studies in a variety of fields, from urban studies, public administration, and urban planning to education and traditional social sciences programs.

As a broad, interdisciplinary field with a diverse curriculum, Urban Studies graduates have maximum flexibility depending in part on their choice of electives, degree and certificate pairings (including advanced degrees), and future career goals. An Urban Studies major prepares students to understand the complex workings of urban society and social institutions, across both the public and private sectors of the economy. Urban Studies graduates are well prepared to move into a wide array of community organizations and programs, social service agencies, and nonprofits as a whole. A student may combine courses in criminal justice, educational policy and community studies, sociology and history to develop an understanding of human delivery systems, intergovernmental relations, and urban social problems to prepare for a career in this field. According to the U.S. Bureau of Labor Statistics (BLS), projected growth is expected to be 10 percent through 2024, and Wisconsin currently ranks in the top-tier for employment in these fields, with southeast Wisconsin holding the highest concentration of jobs. Growth in the Wisconsin job market is expected to be 5.5 percent through 2022.⁶

By combining urban planning (and potentially a planning certificate) and Geographic Information Systems (GIS) courses as well as other courses in geography and political science, students may opt to work toward the fields of urban planning, economic development, and neighborhood revitalization career paths. These jobs may involve developing revitalization projects in public agencies or community development corporations, or planning or addressing issues associated with community health, housing, aging, environmental hazards, public safety, or transportation systems. The BLS projects growth in these planning fields to be 6 percent through 2024, and southeast Wisconsin has the highest concentration of these jobs in the state. The Wisconsin Department of Workforce Development indicates 4-percent growth through 2022. It is worth noting that both the BLS and the Wisconsin Department of Workforce Development employment data utilize a more limited range of occupational categories than the

variety of positions that are open to Urban Studies majors (and graduate students) in these fields.⁷

DESCRIPTION OF THE PROGRAM

General Structure

The Urban Studies major will be housed in Urban Studies Programs (USP), and will be administered under the leadership of the USP Faculty Director, Associate Director/ Undergraduate Studies Coordinator, and an advisory committee made up of affiliated faculty and staff members. USP is a unit in the College of Letters and Science that operates a certificate and CIM undergraduate submajor, the M.S. and the Ph.D. These existing programs in Urban Studies go back to the early 1960s and 1970s, and have had more than 800 graduates, many of whom work and reside in metro Milwaukee. The Urban Studies program involves affiliated faculty and courses from eleven departments and five schools/colleges across UW-Milwaukee, though the majority of courses and faculty are in the College of Letters and Science. The major in Urban Studies currently is a formal submajor of the Committee Interdisciplinary Major (CIM) program, approved in 2008. The proposed B.A. in Urban Studies will consist of 15 to 16 credits in core curriculum and 15 elective credits that can be taken in over 50 approved courses.

Institutional Program Array

The Urban Studies major will fit well within a program (USP) that houses a certificate in Urban Studies, and graduate M.S. and Ph.D. degree programs. In addition, a variety of other undergraduate majors (architecture, geography, sociology, history, criminal justice, political science) and certificates (cultures and communities, GIS, urban planning) complement the major in Urban Studies and provide the potential to double major or add professional and technical certificates to the major. Urban Studies electives in the major that are taken can be double-counted up to nine credits in other majors and certificate programs.

Other Programs in the University of Wisconsin System

Across the UW System, the only other urban-focused major is the UW-Green Bay Urban and Regional Studies major. However, the program at UW-Green Bay is significantly smaller with approximately five faculty members drawn from geography (2), sociology (1), and economics (2); is narrower in its scope; and does not have a graduate program to complement its undergraduate program. As the urban research campus within the UW System located in the state's largest city, UW-Milwaukee is uniquely positioned to host an undergraduate major in Urban Studies. In addition, at UW-Milwaukee, there are a number of other urban-focused programs (architecture, urban planning, urban education, public and nonprofit administration, school of public health, etc.), centers (Center for Economic Development, Center for 21st Century Studies), and professional organizations (Urban Affairs Association) that provide additional intellectual support and opportunities for students.

Collaborative Nature of Program

Because of the integrated and interdisciplinary nature of the proposed program, the major in Urban Studies is inherently collaborative, drawing on its strengths as a well-established set of interdisciplinary graduate programs and the 30 affiliated faculty across the UW-Milwaukee campus. There are also collaborations with the Center for Economic Development and other

urban-focused programs on campus. Like students in its master's and Ph.D. programs, students in the Urban Studies major take courses both in urban studies and other departments and schools. The current curriculum committee that oversees the major consists of faculty members from geography, political science, public and nonprofit administration, and history in the College of Letters and Science and from educational policy and community studies in the School of Education. The major promotes existing, and welcomes further, collaborations with other programs and units on campus. Students in the CIM submajor have received awards supported by the Urban Affairs Association (UAA) that is affiliated with USP, as well as public events that frequently involve numerous co-sponsorships.

Diversity

Students who are attracted to the Urban Studies CIM submajor are drawn from diverse backgrounds, as has been true for UW-Milwaukee's graduate programs, and it is expected that this will continue to be true for a full major. Urban Studies Programs welcomes and encourages students from diverse backgrounds, especially those who historically have been underrepresented in college.

Students can tap a variety of electives and core courses, from Africology to Urban Planning, that address many facets of city-building, community organization, and neighborhood composition. One of the core courses in the major is part of the Cultures and Communities program (Urban Studies 150, Multicultural America), which very consciously makes the examination of race and ethnicity a central focus of its course content. In this required course, students participate in service learning, which places students in various community settings. These community settings and their service learning work form the basis of a project examining how community organizations are addressing urban problems while identifying links to best practices in urban development.

Program Objectives

There are three general program goals of the Urban Studies major, achieved through six student learning outcomes (SLOs). The Urban Studies major is designed to: (1) equip students with the necessary knowledge and skills to indicate familiarity with the field of Urban Studies and be able to identify important aspects of urban, suburban, and regional development within the U.S. as well as globally, with a particular emphasis on the Milwaukee metro region; (2) provide holistic and interdisciplinary explanations for urban change and development that draw on urban history and culture, urban social structure and institutions, and urban politics and economic forces; and (3) be capable of critical analysis and problem-solving and be able to identify and assess different theoretical frameworks for explaining urban change and relationships between urban actors, institutions, and the built environment, as well as provide evidence-based solutions and best practices to pressing urban issues.

Student Learning Objectives

The Urban Studies major has six Student Learning Outcomes:

1. **Holistic Analysis and Interdisciplinarity:** Urban Studies majors can explain and employ interdisciplinary approaches and scholarship and their holistic application to the field of urban studies.

2. **Critical Thinking and Assessment of Scholarship:** Urban Studies majors can evaluate the strengths, weaknesses, and assumptions of urban scholarship and apply previous research and findings to a current research problem or question.
3. **Methodology and Evaluation of Research:** Urban Studies majors can identify the different qualitative and quantitative methods of inquiry available for conducting urban research and evaluate their strengths and limitations for examining urban issues.
4. **Posting Critical Questions and Preparation for Research:** Urban Studies majors can develop meaningful and interesting questions to address urban issues and conduct urban research.
5. **Communication and Presentation Skills:** Urban Studies majors can present their knowledge and findings in clear and engaging ways.
6. **Knowledge of Urban Issues:** Urban Studies majors can explain major theories and empirical findings about important urban issues, the nature of contemporary urban society, patterns of development and change, as well as evidence-based solutions and best practices to address urban issues.

Assessment of Objectives

The Urban Studies Major Assessment Plan will guide the major review. The Assessment Plan outlines the major's goals and associated learning outcomes and provides a plan to measure if and how well learning outcomes are being met. Assessment results will determine if changes to the program are needed so that the program meets and exceeds Higher Learning Commission standards. Enrollment statistics, student grades, course evaluations, Advisory Committee critique, internship site consultations, and surveys of employers of Urban Studies major graduates will provide data to guide program evaluation and inform program adjustments. Courses, internships, and seminars as well as recruitment and advising techniques will be adjusted to further the success of the program and its students. Core Urban Studies courses will be evaluated each semester by current major students, and courses will be adjusted according to feedback and in consultation with the Advisory Committee. Urban Studies majors, in their final year, will participate in an exit survey and/or interview, which will ask them to evaluate the program overall in regard to knowledge and skills; satisfaction with courses and internships; satisfaction with faculty and staff; recommendations for program improvement; overall preparedness for a career; and plans following graduation, including whether or not they have secured a job (and job details, if applicable).

Program Curriculum

There is a minimum of 120 credits required to complete the B.A. degree. The major with the degree consists of 30 to 31 credits, with five core courses that are required and comprise 15 to 16 credits. These five core courses are offered at least once per year, often two to three times per year. All courses listed here are three credits unless noted otherwise. The five core courses are: (1) Urb Std 150: Multicultural America; (2) a choice between Urb Std 250: Exploring the Urban Environment or Urb Std 360: Perspectives on the Urban Scene (topics course); (3) Urb Std 377: Urbanism and Urbanization; (4) a statistics course that can be taken in one of several disciplines (e.g., History 595, Poli Sci 390 [4 credits], Sociol 261, Geog 247); and (5) a senior capstone seminar, Urb Std 600. Students in the capstone seminar present their research projects in a poster session at the annual Urban Studies Student Research Forum each spring. The

remaining five elective courses (15 credits) come from approved courses listed below; most are offered regularly.

In completing major requirements, no more than nine credits may be taken in any one department to ensure an interdisciplinary mix of coursework. Students are strongly encouraged to take internships (Urb Std 289/489); to date, roughly half of the CIM Urban Studies majors have completed one internship course.

Students in the program also take part in a variety of public programming, such as the *Henry W. Maier State of Milwaukee Summit* held each November. Last year's topic of urban inequality included a panel of Milwaukee-area legislators (Reps. David Bowen [D-Milwaukee] and Dale Kooyenga [R-Brookfield]) as well as Metropolitan Milwaukee Association of Commerce President Tim Sheehy, along with several other panelists. There are also exchange and study abroad opportunities for majors and a student-run e-journal, *e.polis*.

Courses Available

Africol 125	Econ. of Black Communities	Hist 450	Growth of Metro Milwaukee
Africol 300	Urban Violence	Hist 460	History of Poverty
Africol 319	Blacks in the American City	Hist 463	History of the American City
Africol 417	Race, Injustice, and Change	PH 319	Introduction to Health Disp.
Arch 190	Special Topic: Field School	Pol Sci 213	Urban Govt and Politics
Crm Jst 291	Current Issues in Crim Just.	Pol Sci 243	Public Administration
Crm Jst 295	Crime and Crim. Just. Policy	Pol Sci 413	Governing Metro Areas
Crm Jst 370	Criminal Justice Admin.	Pol Sci 444	Politics and Bureaucracy
Crm Jst 372	Crim. Just. Policy & Comm.	Pol Sci 450	Urban Political Problems
Crm Jst 674	History of Criminal Justice	Pol Sci 452	Administrative Law
Ed Pol 113	The Milwaukee Community	Pub Adm 243	Public Administration
Ed Pol 114	Community Problems	Pub Adm 331	Compar. Public Admin.
Ed Pol 203	Comm. and Neighborhoods	Pub Adm 452	Administrative Law
Ed Pol 503	Community-Based Orgs.	Pub Adm 462	Public Policy Planning
Ed Pol 630	Race and Public Policy	Sociol 224	American Minority Groups
Geog 114	Geography of Race	Sociol 235	Social Chng. in Global Econ.
Geog 140	Our Urban Environment	Sociol 307	Industrial Sociology
Geog 215	Intro to Geo. Info.Sciences	Sociol 323	Persp. on Latino Comm.
Geog 440	City Systems and Metros	Sociol 324	Comparative Race Relations
Geog 441	Geog. of Cities and Metros	Sociol 325	Social Change
Geog 443	Cities of the World:Urb.Geog	Sociol 330	Economy and Society
Geog 464	Environmental Problems	Sociol 610	Reprod. of Minority Comm.
Geog 520	Physical Geography of City	Sociol 423	Immigration and Incorp.
Geog 540	Globalization and the City	Sociol 450	Environmental Sociology
Geog 564	Urban Environmental Change	Sociol 472	Population and Society
Geog 625	Intermediate Geog.Info.Sci.	UrbPlan	All Courses
Hist 436	Immigrant America	UrbStd	All Courses

Projected Time to Degree

The projected time to completion of the degree is 48 months or 120 credit hours. Semester student advising which currently functions for CIM majors will continue to monitor students' progress in the major and their progress toward degree completion.

Program Review Process

All undergraduate majors at UW-Milwaukee are subject to a ten-year program review process. The initial review will occur during the fifth year. After the initial review, there will be a ten-year cycle.

Institutional Review

This program will undergo the normal UW-Milwaukee undergraduate program review process.

Accreditation

Not applicable.

Endnotes

¹ W. Bowen, R. Dunn, and D. Kasdan. (2010). *What is urban studies?* Context, internal structure, and content. *Journal of Urban Affairs*, 2(2), pp. 199-227.

² University of Wisconsin-Milwaukee Report. (Jan. 7, 2015). *Carnegie Foundation recognizes UWM for community engagement*. (accessed at: <http://uwm.edu/news/carnegie-foundation-reognizes-uwm-for-community-engagement/>)

³ University of Wisconsin-Milwaukee (2014). *UWM strategic plan: 2020: Advancing UWM as a Top-Tier Research University: A Plan for Student Success, Research Growth, and Community Impact* (pp. 3-4).

⁴ Ibid.

⁵ University of Wisconsin-Milwaukee Mission (2013). (accessed at <http://www4.uwm.edu/discover/mission.cfm>)

⁶ U.S. Bureau of Labor Statistics. Occupational Outlook Handbook (accessed at: <http://www.bls.gov/ooh/management/social-and-community-service-managers.htm#tab-5> and <http://www.bls.gov/oes/current/oes119151.htm#st>); Wisconsin Department of Workforce Development, Office of Economic Advisors Long Term Employment projections, 2012-2022 (accessed at <http://www.worknet.wisconsin.gov/worknet/>)

⁷ U.S. Bureau of Labor Statistics. Occupational Outlook Handbook (accessed at: <http://www.bls.gov/oes/current/oes193051.htm#st> & <http://www.bls.gov/ooh/life-physical-and-social-science/urban-and-regional-planners.htm#tab-6>); Wisconsin Department of Workforce Development, Office of Economic Advisors Long Term Employment projections, 2012-2022 (accessed at <http://www.worknet.wisconsin.gov/worknet/>).

University of Wisconsin - Milwaukee
Cost and Revenue Projections For Newly Proposed Bachelor of Arts in Urban Studies

	Items	Projections				
		2017	2018	2019	2020	2021
		Year 1	Year 2	Year 3	Year 4	Year 5
I	Enrollment (New Student) Headcount	13	15	17	19	21
	Enrollment (Continuing Student) Headcount	20	22	24	26	28
	Enrollment (New Student) FTE	11	12	14	15	17
	Enrollment (Continuing Student) FTE	16	18	19	21	22
II	Total New Credit Hours (# new sections x credits per section)	264	288	336	360	408
	Existing Credit Hours	384	432	456	504	528
III	FTE of New Faculty/Instructional Staff	0	0	0	0	0
	FTE of Current Fac/IAS	1.5	1.5	1.5	1.5	1.5
	FTE of New Admin Staff	0	0	0	0	0
	FTE Current Admin Staff	0.35	0.35	0.35	0.35	0.35
IV	New Revenues					
	<i>From Tuition (new credit hours x FTE)</i>	\$26,106	\$28,479	\$33,226	\$35,599	\$40,345
	<i>From Fees</i>					
	Total New Revenue	\$26,106	\$28,479	\$33,226	\$35,599	\$40,345
V	New Expenses					
	Salaries plus Fringes					
	<i>Faculty/Instructional Staff</i>					
	<i>Other Staff</i>					
	Other Expenses					
	<i>Other:</i>	\$1,000	\$1,030	\$1,061	\$1,093	\$1,126
	Total Expenses	\$1,000	\$1,030	\$1,061	\$1,093	\$1,126
VI	Net Revenue	\$25,106	\$27,449	\$32,165	\$34,506	\$39,220

Narrative: Explanation of the Numbers and Other Ongoing Commitments that will Benefit the Proposed Program

- I Student FTE equals projected full-time students plus 2 part-time students as 1 FTE (A 2:1 ratio in headcount for full vs. parttime students is not untypical at UW-Milwaukee).
- II Total New and existing credits is the cumulation of full time and part time student credits based on the assumption listed in above.
- III Instructional staff is a .5 FTE academic staff person and two 0.5 FTE teaching assistants, using actual 2016-17 salaries as basis.
- III Other staff is one .25 FTE academic staff administrator for administration and advising, and .10 FTE for the time of one University staff person.
- IV Tuition is based on current full-time resident rates for undergraduates, providing the most conservative revenue estimate. New revenue calculated assuming that 25% of the full-time tuition is attributable to program (25% of the credits are in the proposed major).
- V Other expenses are for promotional materials and a 3% increase in cost per year is estimated.
- V No increase in instructional staff is anticipated in the five-year period.

Provost's Signature: 	Date: 11/18/16
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UNIVERSITY OF WISCONSIN - MILWAUKEE
COST AND REVENUE PROJECTION NARRATIVE
BACHELOR OF ARTS (B.A.) IN URBAN STUDIES

The proposed B.A. in Urban Studies will elevate the current submajor in Urban Studies that has been offered since 2008-09 within the B.A. in Committee Interdisciplinary Major. The new B.A. in Urban Studies will be comprised of 30-31 major credits, and a total of 120 degree credits. The projections reflect revenue that will be (1) generated through major coursework, and (2) attributable to student FTE that are new to the program. These projections do not include revenue attributable to the projected flow of continuing students enrolled in the submajor who may change to the new major. In the first five years of the program, new expenditures will be limited to marketing costs for promotion of the new major.

Section I – Enrollment

Each projected student FTE equals one (1) full-time and two (2) part-time student headcount. A 2:1 ratio in headcount for part-time to full-time students is typical at UW-Milwaukee. Students currently enrolled in the submajor are counted as continuing student headcount/FTE. New student headcount reflects first-time, re-entering, or transfer students who will enroll in the major.

Section II – Credit Hours

New credit hours are attributable to projected major coursework taken by new FTE (new FTE x credit hours). Existing credit hours are attributable to projected major coursework taken by existing FTE (continuing FTE x credit hours).

Section III – Faculty and Staff Appointments

No new faculty and staff appointments are anticipated within the first five years of the program. Coursework and faculty in the major are drawn from five schools and eleven departments, in addition to Urban Studies. Within the department there are approximately 1.5 existing instructional FTE, comprised of 0.5 FTE academic instructional staff and two 0.5 FTE teaching assistants, and 0.35 administrative/advising FTE comprised of .25 FTE academic staff and 0.10 university staff.

Section IV – Program Revenues

New revenue calculates the tuition revenue attributable to the major coursework, and for students who will be new to the program. Major coursework comprises 25% of the total degree requirements. Therefore, annual tuition revenues reflect 25% of full-time undergraduate resident tuition rate of \$9,493.00 multiplied by the number of new to the program student FTE.

Section V – Program Expenses

It is anticipated that in the first five years of the program, new expenditures will be attributable to the development of promotional materials. The cost of promotional materials are expected to increase at a rate of 3% each year.




Academic Affairs

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November 18, 2016

To: Ray Cross, President, University of Wisconsin System

From: Johannes J. Britz, Provost and Vice Chancellor 

Re: Authorization to implement a Bachelor of Arts in Urban Studies

Per UW System guidelines for new program development, I am writing to you to assure the support of the University of Wisconsin – Milwaukee for the proposed Bachelor of Arts in Urban Studies.

UWM has offered the Urban Studies program as a submajor in the committee-interdisciplinary BA program in the College of Letters and Science since 2008. Over the past eight years, the program has demonstrated sustained enrollment to offer this program as a stand-alone major. Having this program approved as BA in Urban Studies will provide more visibility as it can be advertised using the Urban Studies degree name. This has the potential to increase the attractiveness of the program especially given that UWM offers masters and doctoral degrees in urban studies and there is a strong cohort of interdisciplinary faculty who are very active in research and scholarship on urban issues. The program projects a net revenue generation based on reasonable projections on enrollment.

The curriculum and other aspects of the authorization document have been vetted through campus faculty governance processes – at the department, school, and campus levels. The proposal meets all of the UWM standards and expectations for quality and rigor at the master's level. Upon implementation, the program will be reviewed in five years and subsequently according to the regular campus program review process.

I am pleased to strongly support this request for authorization for approval.

c: James Henderson, Vice President, UWSA Academic and Student Affairs
Stephen Kolison, Associate Vice President, UWSA Academic and Student Affairs
Diane Treis-Rusk, UWSA Academic and Student Affairs
Rodney Swain, Dean, College of Letters and Science
Dev Venugopalan, Vice Provost, UWM Academic Affairs

Revision and Renaming of Regent Policy Document 8-1,
“Authorization to Establish Advisory Councils”

EDUCATION COMMITTEE

Resolution I.1.e.(1):

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents approves the attached revisions to Regent Policy Document 8-1, “Authorization to Establish Advisory Councils,” to be renamed “Advisory Boards or Councils.”

Removal of Regent Policy Document 33-1,
“Board of Visitors Membership”
Removal of a related delegation of authority in
Regent Policy Document 6-6,
“Delegation to the System President.’

EDUCATION COMMITTEE

Resolution I.1.e.(2):

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents directs the Executive Director and Corporate Secretary of the Board of Regents: (1) to remove Regent Policy Document 33-1, “Board of Visitors Membership,” from the Regent Policy Documents; and (2) to remove a related, obsolete provision from Regent Policy Document 6-6, “Delegation to the System President,” as detailed in the attached summary.

REGENT POLICY REVIEW
RPD 8-1, “AUTHORIZATION TO ESTABLISH
ADVISORY COUNCILS” AND
RPD 33-1, “BOARD OF VISITORS MEMBERSHIP”

BACKGROUND

The UW System Board of Regents’ policies are codified in Regent Policy Documents (RPDs) that have been adopted over time, some dating back to the creation of the UW System. The Board has adopted these policies under the authority granted in Chapter 36, Wis. Stats. The RPDs address a wide array of subjects, including academic policies and programs, contracts, student activities, and trust and investment policies.

In February 2011, the President of the Board of Regents formally announced the beginning of a process to review and update the RPDs. The review process has resulted in the updating and revision of current policies, elimination of obsolete ones, and the identification of areas in which new policies are needed. Each policy is analyzed in light of its original purpose, whether that purpose still exists, and the likely effects of any revisions.

The Board of Regents policy includes principles to direct the analysis of the Regent Policy Documents. These principles include consideration of the extent to which a policy: addresses the UW System as a whole, establishing a fundamental principle as a basis and guide for later action; serves as an enduring statement rather than responding to a short term issue; addresses institutional risks, promotes operational efficiency, or enhances the missions of the UW System or UW institutions; and promotes compliance with applicable laws and regulations.

Based on the review of two separate RPDs, it is recommended that at the Board’s December 2016 meeting, it consider amending and renaming Regent Policy Document 8-1, authorizing and encouraging chancellors to establish advisory boards, and removing Regent Policy Document 33-1, “Board of Visitors Membership.”

REQUESTED ACTION

Adoption of Resolution I.1.e.(1), which revises Regent Policy Document 8-1, “Authorization to Establish Advisory Councils,” to be renamed “Advisory Boards or Councils.”

Adoption of Resolution I.1.e.(2), which removes Regent Policy Document 33-1, “Board of Visitors Membership;” and a related, obsolete provision from Regent Policy Document 6-6, “Delegation to the System President.”

DISCUSSION

Prior to the 1971 merger that created the UW System, the University of Wisconsin institutions at Madison, Milwaukee, Green Bay and Parkside had a single Board of Visitors that reported on issues of interest to the Board of Regents. Following merger, and the acknowledgement that a single Board of Visitors would be unable to serve all of the institutions of the newly merged System, the Board considered resolutions to allow for the continuation of the existing board and provided guidelines for the creation of advisory boards on campuses where such groups did not exist.

In October 1972 the UW System Board of Regents adopted two resolutions creating two separate policies. Resolution 304, now known as RPD 8-1 (Attachment 1), authorized each chancellor to establish an advisory council, with members from the community to be appointed by the chancellor and to serve without compensation. The intent of the councils was to provide an opportunity for citizens to serve Wisconsin higher education, and provide chancellors with citizen advice on issues affecting the university community. Resolution 305, now known as RPD 33-1 (Attachment 2), Board of Visitors Membership, continued the existence of a single Board of Visitors to serve the UW-Madison and UW-Milwaukee campuses and to report directly to the Board of Regents. According to meeting minutes from October 9, 1972, the distinction between advisory councils and the Board of Visitors was that the councils reported to chancellors and the Board of Visitors reported to the Board of Regents.

Since 1972, no changes have been made to the Regent Policy relating to advisory councils (RPD 8-1). However, the Regent Policy on Boards of Visitors (RPD 33-1) was changed several times, including changes in 1978 to create separate boards for UW-Madison and UW-Milwaukee and to authorize and encourage other institutions to establish similar boards. The changes also allowed for the establishment of a Council of Visitors, consisting of members from each institutional Board of Visitors, to consider matters of systemwide concern; it appears this provision was never implemented. The guidelines attached to this policy changed again in 1987 to limit the size of institutional boards of visitors to 15 members, unless approval to exceed 15 members is provided by the Board of Regents. In 2001 the Board of Regents adopted Res. 8457, delegating appointment authority for boards of visitors, as well as other responsibilities, to the System President. This delegation is codified in Regent Policy Document 6-6.

Over time, the role of the boards of visitors has changed. A 1978 Special Committee on the Role and Status of Boards of Visitors, which led to policy changes that year, defined the purpose of these boards as: advising and assisting the chancellor in communicating with stakeholders; suggesting to the chancellor ways to improve the institution's services and relationships; and conducting inquiries into specific matters and making reports and recommendations to the Regents, the System President and chancellor.

Boards of visitors no longer report directly to the Regents or the System President on inquiries or other matters, and their advisory role appears to be duplicative of the advisory councils described in RPD 8-1. Currently, several departments or schools at UW-Madison and at least one at UW-Milwaukee have advisory boards, referred to as Boards of Visitors, which provide guidance to department leaders and advocate for and assist individual departments.

Most UW chancellors have some type of institutional advisory group, ranging from an informal group of advisors that the chancellor consults as needed, to boards with bylaws, terms for members, and other formalities. These boards are known by multiple names, including Board of Visitors, Chancellor's Council, Council of Trustees, Council of Advisors, and Chancellor's Advisory Council. They range in size from five to approximately 30 members, with members generally selected by the chancellors. According to data collected in 2011, the primary role of these councils is to provide chancellors with advice; members also may advocate for an institution.

The proposed modifications to RPD 8-1 (Attachment 3) continue to authorize and encourage chancellors to establish advisory councils, and provide flexibility with regard to the name, size, membership, and frequency of meetings. The changes also include advocacy as a possible purpose for such boards.

Removing RPD 33-1 as a Regent Policy Document will likely have no effect, as the purposes of Boards of Visitors, as articulated in the 1978 policy, are either duplicated by RPD 8-1 or are obsolete. In addition to removing RPD 33-1, a related provision in RPD 6-6 that delegates authority to the System President to approve Board of Visitors appointments also should be removed.

RELATED REGENT POLICIES

RPD 6-6, "Delegations to the System President"
RPD 8-1, "Authorization to Establish Advisory Councils"
RPD 33-1, "Board of Visitors Membership"



Board of Regents
POLICIES

Regent Policy Document 8-1 Authorization to Establish Advisory Councils

Each chancellor of a degree-granting university and the colleges is authorized to establish an advisory council.

1. The members of each such body shall be appointed by the chancellor and be advisory to the chancellor.
2. The chancellor will select members using broadly based representation from the lay community.
3. The size of each such body will be determined on each campus.
4. Each such body shall meet at least two times each year, and regular meetings may be supplemented by additional meetings called by the chancellor as special circumstances may require.
5. The members of such bodies will serve without compensation.
6. The intent in the creation of such bodies is to provide an opportunity for lay citizens to serve Wisconsin higher education in a direct manner and to provide the chancellor of each campus with citizen advice on any issue that will affect the university community. Because each university serves the state as well as its region, membership on such bodies need not be limited to persons living in the immediate service area of the campus.

History: Res. 304 adopted 10/6/72.

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Board of Regents
POLICIES

Regent Policy Document 33-1
Board of Visitors Membership

In order to assist and advise the Regents, System President and Chancellors:

1. Boards of Visitors shall be established by chancellors of the University of Wisconsin-Madison and the University of Wisconsin-Milwaukee, with members of the present Board invited to accept appointment to either of the new boards.
2. Chancellors of other universities in the University of Wisconsin System are authorized and encouraged (but not required) to establish Boards of Visitors.
3. Chancellors of the University of Wisconsin Colleges and University of Wisconsin- Extension are authorized to establish Board of Visitors, if they deem it appropriate.

The Board of Regents may establish a Council of Visitors consisting of two members from each of the Boards of Visitors, designated by them, to consider matters of system wide concern. Expenses related to the functioning of the Council of Visitors shall be supported by System Administration.

Bylaws adopted by the Board of Visitors and the Council of Visitors shall be consistent with recommendations and guidelines contained in the Report of the Special Committee on the Role and Status of the Board of Visitors dated April 14, 1978, as amended by Resolution 3853. (The guidelines are attached to the minutes of the 7/10/87 meeting of the Board of Regents, and may be obtained from the Office of the Secretary of the Board of Regents.)

History: Res. 1698 adopted 7/14/78; replaces 72-17, 73-4(a); amended by Res. 3853, adopted 7/10/87.

OFFICE OF THE BOARD OF REGENTS

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Proposed Regent Policy Document 8-1 ADVISORY BOARDS OR COUNCILS

Scope

This policy applies to UW chancellors and the citizen boards or councils that advise chancellors and advocate on behalf of UW institutions.

Purpose

The purpose of this policy is to encourage UW chancellors and other institutional leaders to strategically engage community members, alumni, and others for support and advice regarding UW institutions, and to enhance communication between institutional leadership, friends and alumni of UW institutions, and the communities in which UW institutions are located.

Policy Statement

It is the policy of the UW System Board of Regents to encourage the efforts of UW System chancellors and other institutional leaders to strategically engage community members, alumni, and others for the purpose of seeking advice, assistance and advocacy to further the mission of each UW institution. The Board of Regents authorizes and encourages UW System chancellors to establish institutional advisory boards or councils to:

1. Provide advice regarding advocacy approaches, community and workforce needs, and community relations;
2. Offer feedback to the chancellor and other administrators regarding the institution's strategic planning efforts;
3. Plan, participate in, or advise on efforts to fundraise on behalf of the institution; and
4. Work with the chancellor to advocate for the institution's needs in the community or with state legislators and the Governor.

The name, membership, number of members, and frequency of meetings shall be determined by each Chancellor. The chancellor should select members using broadly based representation from the lay community. Because each institution serves the state as well as its region, membership on such bodies need not be limited to persons living in the immediate service area of the campus. Members shall serve without compensation.

Oversight, Roles & Responsibilities

Chancellors with existing advisory or advocacy board structures may continue to rely upon these entities. Chancellors are not required to establish advisory boards.

Related Regent Policy Documents and Applicable Laws

None

History: Res. 304, adopted 10/6/1972, created Regent Policy Document 72-16; subsequently renumbered 8-1; Rex. 10xxx, adopted xx/yy/zzzz, amended Regent Policy Document 8-1.

DRAFT

Approval of a New Regent Policy Document on
Naming of University Academic Units

EDUCATION COMMITTEE

Resolution I.1.f:

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents approves the attached Regent Policy Document on Naming of University Academic Units.

**REGENT POLICY DOCUMENT
NAMING OF UNIVERSITY ACADEMIC UNITS**

BACKGROUND

The UW System Board of Regents policies are codified in Regent Policy Documents (RPDs) that have been adopted over time, some dating back to the creation of the UW System. The Board has adopted these policies under the authority granted in Chapter 36 of the Wisconsin Statutes. The Regent Policy Documents address a wide array of subjects, including academic policies and programs, contracts, student activities, and trust and investment policies.

In February 2011, the President of the Board of Regents formally announced the beginning of a process to review and update the RPDs. This process has resulted in the updating and revision of current policies, the elimination of obsolete ones, and the identification of areas in which new policies are needed.

In June 2016, the Board of Regents approved modifications to Regent Policy Document 19-14, "Naming of University Facilities and Lands." That policy addresses the naming of facilities, portions of facilities, and land; it does not address the naming of academic units. At its December 2016 meeting, the Education Committee will consider a new policy on the naming of major organizational units (colleges and schools) within UW institutions and the delegation of authority to Chancellors to name other organizational units (departments, institutes, and centers).

REQUESTED ACTION

Adoption of Resolution I.1.f, which creates a Regent Policy Document entitled "Naming of University Academic Units."

DISCUSSION

The naming of a UW System asset for an individual or organization, whether it be a tangible asset such as a building or an intangible asset such as a school, college or other academic unit, is a way to honor and recognize service or contributions to a UW institution. However, the naming of assets comes with a certain amount of risk. It is important to protect the reputation of the UW System and UW institutions by providing standards for the naming of university assets. Several university systems and institutions have board policies that address the naming of academic units, including the University System of Georgia, the University System of Maryland, the University of Minnesota, the State University of New York System, and the University of Texas System.

Since 1971, the Board of Regents' policies have addressed the naming of university facilities, but not the naming of academic units. Even though the Board's records indicate that the Board considered requests to name UW institutions' academic units (e.g., schools and colleges) through 2006, Regent policies have not addressed the naming of academic units.

A UW System academic policy, Academic Information Series (ACIS) 1.0, used to state that Board approval was required to rename a college, school or division within a UW institution. However, more recent versions of the academic policies did not include this reference. The attached draft policy clarifies the Board's authority to approve the name when a school or college is to be named after a person or persons. The policy affirms the existing delegation to Chancellors of the authority to name other academic units, such as departments, institutes, and centers.

The draft policy (Appendix A) is modeled after the recently approved changes to Regent Policy Document 19-14, "Naming of University Facilities and Lands," which provides for Board approval of the naming of entire buildings, delegates to chancellors authority to name a portion of a facility or parcels of land, and includes criteria to be applied for all facilities namings. The draft policy for academic units includes the following provisions:

1. Establishes the expectation that Board approval is required for the naming of schools and colleges and that Chancellors have delegated authority to name academic units other than schools and colleges.
2. Provides for Office of General Counsel review of naming agreements.
3. Outlines the criteria the Board and Chancellors will use when considering the naming of academic units. Criteria include whether the individual(s) involved:
 - Has promoted the mission/purpose of the UW System;
 - Is in compliance with any agreements with the UW System or a particular institution; and
 - Has a reputation that will reflect well on the UW System or a UW institution.

RELATED REGENT POLICY DOCUMENTS

Regent Policy Document 19-14, "Naming of University Facilities and Lands."

APPENDIX A

PROPOSED REGENT POLICY DOCUMENT NAMING OF UNIVERSITY ACADEMIC UNITS

Scope

This policy applies to the naming of academic units at UW institutions.

Purpose

The purpose of this policy is to provide Board oversight of namings which may affect the reputational interests of the UW System by providing criteria to be applied when naming academic units (for example, schools and colleges).

Policy Statement

It is the preference of the UW System Board of Regents to commemorate individuals' contributions to academic excellence through the naming of scholarships, programs, professorships, and other similar actions. However, the Board recognizes that the naming of academic units may at times be an appropriate means of recognizing individuals' service, dedication to academic excellence, or financial contributions. An academic unit for purposes of this policy is considered to be a school, college, department, program, center, or similar unit within a UW institution.

School or College

Naming of a college or school within a UW institution is subject to prior approval by the Board of Regents. A request to name or dedicate a college or school shall be made by the Chancellor of the institution. A Chancellor shall submit support for such a request, demonstrating consideration of the factors below, to the UW System Office for Academic and Student Affairs for review. Any proposed naming agreement also shall be reviewed by the UW System Office of General Counsel.

Department, Program or Center

The Chancellor of each institution is delegated the authority to name departments, programs, and centers, or other academic units other than colleges or schools.

Criteria

For all namings under this policy, the following factors shall be considered:

1. Whether the individual has promoted the purpose and mission of the UW System as expressed in s. 36.01, Wis. Stats.;
2. Whether the reputation of the individual may reflect negatively or adversely upon the UW System or a UW System institution;
3. Whether the individual is in compliance with any agreements with the UW System or a particular UW System institution;

4. Whether any existing agreements prohibit changing or adding a name to an academic unit;
5. Whether there is a plan for continued recognition of an individual for whom an academic unit was previously named; and
6. Whether the individual was employed by the UW System or has served as an elected or appointed public official. Normally, a waiting period of at least five years must have elapsed from the time the individual's UW employment ended or the individual left public office. Exceptions may be considered under certain circumstances, including when:
 - a. The individual is no longer living; or
 - b. A gift requests the naming.

Oversight, Roles, and Responsibilities

The UW System Office for Academic and Student Affairs shall ensure all of the requirements of this policy are met prior to a Chancellor's submitting a request to name a college or school within a UW institution to the Board of Regents.

Related Regent Policies and Applicable Laws

RPD 19-14, "Naming of University Facilities and Lands"
UW System Administration Policy 102 (formerly ACIS 1.0), July 1, 2016

History

Res. 10xxx, adopted xx/yy/zzzz, created Regent Policy Document 04-xx.

Approval of a New Regent Policy Document
“Honorary Doctorate Degrees”
Removal of a related delegation of authority in
Regent Policy Document 6-6,
“Delegation to the System President”

EDUCATION COMMITTEE

Resolution I.1.g:

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents: (1) creates a new Regent Policy Document, entitled “Honorary Doctorate Degrees,” which codifies existing practices; and (2) directs the Executive Director and Corporate Secretary of the Board of Regents to remove a related, obsolete provision from Regent Policy Document 6-6, “Delegation to the System President,” as detailed in the attached summary.

REGENT POLICY DOCUMENT REVIEW HONORARY DOCTORATE DEGREES

BACKGROUND

The UW System Board of Regents policies are codified in Regent Policy Documents (RPDs) that have been adopted over time, some dating back to the creation of the UW System. The Board has adopted these policies under the authority granted in Chapter 36 of the Wisconsin Statutes which states that “The primary responsibility for governance of the system shall be vested in the board which shall enact policies and promulgate rules for governing the system...”

The Regent Policy Documents address a wide array of subjects, including academic policies and programs, contracts, student activities, and trust and investment policies. In February 2011, the President of the Board of Regents formally announced the beginning of a process to review and update the RPDs. Policies have been analyzed in light of their original purpose, whether that purpose still exists, and the likely effects of any revisions. This process has resulted in updates and revisions to current policies, the elimination of obsolete policies, and the identification of areas in which new policies are needed.

The ongoing review process identified a “gap” in the Regent Policy Documents, in that the policies do not include a policy on honorary degrees, even though the Board regularly reviews honorary-degree nominations. At its December 2016 meeting, the Board will be asked to consider creating a policy on honorary degrees.

REQUESTED ACTION

Adoption of Resolution I.1.g, which creates a new Regent policy, entitled “Honorary Doctorate Degrees,” codifying existing practices, and which removes a related, obsolete provision from Regent Policy Document 6-6, “Delegation to the System President.”

DISCUSSION

An honorary degree is the highest award conferred by the UW System and is awarded in recognition of distinctive achievement that has added materially to knowledge and to the betterment of society. In Regent Policy Document 4-6, “Granting of Degrees, Honors and Awards,” the Board authorizes each degree granting institution to award honorary degrees.

The Board’s existing process for reviewing and approving honorary degree nominations has developed over time. Currently, each UW institution recommends candidates for honorary degrees consistent with institutional policies and procedures. UW System Unclassified Personnel Guideline (UPG) #11, adopted in 1988 and revised in 1989, covers guidelines for awarding honorary degrees, and serves as a reference during the process; however, this UPG is no longer an accurate reflection of the process as it has evolved. Nominations are forwarded to

and reviewed by the Office of the Board of Regents and, in most instances, are placed on the agenda of the Board's next regular meeting for Board of Regents review.

Since 2005, the Board has reviewed honorary degree nominations in closed session, giving deference to individual UW institutions' nomination processes, but has not voted on the nominations. Prior to 2005, records indicate that the Board took formal action to approve honorary degrees; no records were located that identified the reason for the procedural change.

The attached RPD, entitled "Honorary Doctorate Degrees," codifies the practices that have been used by the Board for the past several years.

In addition to RPD 4-6, RPD 6-6, "Delegation to System President," also includes a provision related to honorary degrees. RPD 6-6 indicates that the following shall be delegated to the System President: "eliminate second readings of honorary degree nominations unless an objection or question has been raised about a candidate at the first reading." This "delegation" to the UW System President was approved by the Board in October 2001, as part of an effort to eliminate some routine items from the Board's agenda. In light of the process now followed for honorary degrees, this provision is obsolete and should be removed from the list of delegated responsibilities.

RELEVANT REGENT POLICY DOCUMENTS

RPD 4-6, "Granting of Degrees, Honors and Awards"

RPD 6-6, "Delegation to System President"

**Proposed Regent Policy Document xx-xx
Honorary Doctorate Degrees**

Scope

This policy applies to all University of Wisconsin institutions that award honorary doctorate degrees. UW institutions are not obligated to award honorary degrees; those that do so shall award the degrees consistent with this policy.

Purpose

This policy specifies the requirements for honorary doctorates and for submitting nominations for University of Wisconsin System Board of Regents review.

Policy Statement

An honorary doctorate is the highest award conferred by the University of Wisconsin System. An honorary doctorate constitutes recognition of distinctive achievement that has added materially to knowledge and to the betterment of society.

Eligibility

An honorary doctorate may be awarded to an individual who has achieved acknowledged eminence in cultural affairs, in public service, or in a field of knowledge and scholarship, consistent with the ideals and purposes of the university. An honorary doctorate recognizes extraordinary and lasting distinction. Nominees need not have been educated at or otherwise associated with the University of Wisconsin institution conferring the degree.

Honorary degrees are not awarded to encourage or reward financial contributions to the university. However, honorary degrees may serve to bring renown to the university by honoring individuals who are highly regarded for achievements in their fields of endeavor.

Ineligibility

To insulate the honorary doctorate from partisanship and to prevent potential conflicts of interest, the following three categories of individuals are *ineligible* for an honorary doctorate from an institution of the University of Wisconsin System, in accordance with the exceptions that follow this list:

- (1) individuals serving in professions as public officials and political appointees, including serving members of the Wisconsin Legislature and the Wisconsin congressional delegation, elected and appointed officials, and all members of the state judiciary;

- (2) members of the Board of Regents; and
- (3) University of Wisconsin System employees, including faculty, staff and administrators at each university and in UW System Administration.

Persons in any of these three categories could be eligible for consideration two years or more after they have vacated office or terminated employment. However, emeritus faculty are only eligible for honorary degrees if they have achieved distinction in a second career following retirement.

Degree Designations

Honorary degree designations shall be limited to the following: (1) Doctor of Laws (LL.D.), (2) Doctor of Science (SC.D.), (3) Doctor of Humane Letters (L.H.D.), and (4) Doctor of Literature (D.Lit. or D.Litt.), with the exception that the University of Wisconsin-Stout may grant an honorary Doctor of Vocational Education (D.V.E). In addition, as doctoral institutions, UW-Madison and UW-Milwaukee are authorized to award occasional highly specialized honorary doctorates as best reflect the recipient's accomplishments.

While a significant and important award, an honorary doctorate does not have the same standing as an earned doctorate and should not be represented as such.

Limitations

The nomination and review process is confidential. No disclosure is to be made until after Board of Regents review and the institution's subsequent invitation to the nominee.

As a matter of policy the Board generally limits to one the number of honorary degrees any individual may receive from the UW System.

Honorary degrees are to be awarded in person and not *in absentia*. A degree may be awarded posthumously to a nominee if, after accepting the chancellor's invitation, the nominee's death occurs before the scheduled conferral.

In awarding honorary degrees, the University of Wisconsin System does not assume any legal obligations. The recipients receive no honoraria, but the institution would generally be expected to assume the expenses incurred by the recipients in connection with their participation in the commencement ceremony.

Oversight, Roles and Responsibilities

Each UW institution that nominates candidates for honorary doctorates shall have an honorary degree committee that recommends candidates for honorary degrees consistent with procedures, policies, and criteria developed at each institution and consistent with this Regent Policy Document.

At least two months prior to the commencement ceremony at which an honorary degree is to be conferred, *and* at least three weeks prior to a regularly-scheduled Board of Regents meeting, the UW institution shall forward to the Executive Director and Corporate Secretary of the Board of Regents: (1) a letter from the chancellor indicating the name of the nominee(s) and expressing the chancellor's approval; (2) the curriculum vitae or résumé of the nominee(s); and (3) letters of recommendation and other documentation of the contributions of the nominee and the merits of the nominee as an honorary degree recipient. It is the responsibility of the UW institution to exercise due diligence in ensuring that a nominee is of high moral character.

Upon the timely receipt of an honorary degree nomination from a UW institution, the Executive Director and Corporate Secretary shall: (1) review nominations to verify consistency with the requirements of this policy and to confirm, to the extent possible, that a nomination poses a low risk of reputational harm to the University of Wisconsin System; (2) if any concerns are identified, consult with the President of the Board of Regents, President of the UW System and chancellor, as appropriate; (3) after any concerns are addressed, place the nomination on the agenda of the Board's next regular meeting for Board of Regents review; and (4) notify the chancellor of a favorable review by the Board.

After the Board's review, the chancellor may invite the candidate to attend the commencement ceremony at which the degree is to be conferred.

Related Regent Policies and Applicable Laws

Regent Policy Document 4-6, "Granting of Degrees, Honors and Awards"

Removal of Regent Policy Document 4-9,
“Principles for Enrollment Management”

EDUCATION COMMITTEE

Resolution I.1.h.(1):

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents authorizes the Executive Director and Corporate Secretary of the Board of Regents to remove Regent Policy Document 4-9, “Principles for Enrollment Management,” from the Regent Policy Documents because it is obsolete.

Removal of Regent Policy Document 4-14,
“Enrollment Management-21”

EDUCATION COMMITTEE

Resolution I.1.h.(2):

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents authorizes the Executive Director and Corporate Secretary of the Board of Regents to remove Regent Policy Document 4-14, “Enrollment Management-21,” from the Regent Policy Documents because it is obsolete.

Removal of Regent Policy Document 5-2,
“Accountability Indicators”

EDUCATION COMMITTEE

Resolution I.1.h.(3):

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents authorizes the Executive Director and Corporate Secretary of the Board of Regents to remove Regent Policy Document 5-2, “Accountability Indicators,” from the Regent Policy Documents because it is obsolete.

Removal of Regent Policy Document 14-4,
“Reserve Officers Training Corps”

EDUCATION COMMITTEE

Resolution I.1.h.(4):

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents authorizes the Executive Director and Corporate Secretary of the Board of Regents to remove Regent Policy Document 14-4, “Reserve Officers Training Corps,” from the Regent Policy Documents because it is obsolete.

Removal of Regent Policy Document 20-14,
“Future Staffing Principles”

EDUCATION COMMITTEE

Resolution I.1.h.(5):

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents authorizes the Executive Director and Corporate Secretary of the Board of Regents to remove Regent Policy Document 20-14, “Future Staffing Principles,” from the Regent Policy Documents because it is obsolete.

**REGENT POLICY REVIEW
RECOMMENDATION TO ARCHIVE OBSOLETE POLICIES**

BACKGROUND

The UW System Board of Regents' policies are codified in Regent Policy Documents (RPDs) that have been adopted over time, some dating back to the creation of the UW System. The Board has adopted these policies under the authority granted in Chapter 36, Wis. Stats. The RPDs address a wide array of subjects, including academic policies and programs, contracts, student activities, and trust and investment policies.

Since 2011, the Office of the Board of Regents and UW System Administration have been working to review and update RPDs. As part of this review process, the Board of Regents approved a set of standards and protocols to direct the analysis of the RPDs. These standards include consideration of the extent to which a policy: addresses the UW System as a whole, establishing a fundamental principle as a basis and guide for later action; serves as an enduring statement rather than responding to a short term issue; addresses institutional risks, promotes operational efficiency, or enhances the missions of the UW System or UW institutions; and promotes compliance with applicable laws and regulations.

This review process has resulted in updating and revision of current policies, the elimination of obsolete ones, and the identification of areas in which new policies are needed. Each policy is analyzed in light of its original purpose, whether that purpose still exists, and the likely effects of any revisions.

At its December 2016 meeting, the Education Committee will consider the removal of several RPDs that are considered obsolete or that reflect time-specific plans and reports that are no longer applicable or in effect.

REQUESTED ACTION

Adoption of Resolutions I.1.h.(1), I.1.h.(2), I.1.h.(3), I.1.h.(4), I.1.h.(5), authorizing the Executive Director and Corporate Secretary of the Office of the Board of Regents to remove Regent Policy Documents 4-9, 4-14, 5-2, 14-4, and 20-14.

DISCUSSION

The Regent Policy Documents include a number of policies which reflect resolutions the Board adopted but which are not actually policy statements. Five Regent Policy Documents are recommended for removal because they are no longer applicable as policy documents. Provided below are brief descriptions of the history and purpose of each policy, the status of each and reason for removal, and any ramifications of removal.

- 1. RPD 4-9, “Principles for Enrollment Management”**
- 2. RPD 4-14, “Enrollment Management-21”**

RPDs 4-9 and 4-14 were created through point-in-time resolutions and do not serve as enduring statements, establish fundamental principles or guides for further action, or meet other criteria the Board has since established for its policies.

In 1986, in response to declining state GPR support and increasing student enrollments, the Board of Regents initiated a study to “find ways to ensure the continued quality of education in the UW System.” The study report, “Planning the Future: Report of the Regents on the Future of the University of Wisconsin System,” offered a number of recommendations, including recommendations to phase in an enrollment management policy to reduce enrollment at UW institutions and increase tuition and state-supported financial aid for needy students, in an effort to restore support per student to a level needed to maintain educational quality. Following this study, the UW System implemented a series of efforts to manage student enrollment, some of which were adopted and codified in Regent policies.

Resolution 5608, adopted in October 1990 and codified as RPD 4-9, “Principles for Enrollment Management” (included as Attachment A), includes time-specific principles and enrollment targets for the period 1991-92 to 1994-95. As such, there are no ramifications to removing RPD 4-9 from the Regent Policy Documents.

Similarly, Resolution 8146, adopted June 2000 and codified as RPD 4-14, “Enrollment Management-21” (included as Attachment B), primarily includes time-specific enrollment management targets for 2001-07 and biennial budget recommendations for 2001-03. RPD 4-14 does include a provision describing the Board’s authority as it relates to approval of differential tuition, and the Board’s delegation of authority to the UW System President to approve institutional requests to charge service-based tuition and fees for graduate and other adult programs. This provision is due to be addressed in a future Regent Policy Document describing principles and delegations related to the Board’s tuition-setting authority.

- 3. RPD 5-2, “Accountability Indicators”**

While the Board of Regents and the UW System continue to place a high priority on accountability, the RPD labelled “Accountability Indicators” does not serve as a lasting statement of that priority and does not meet the Board’s criteria for Regent Policy Documents.

The UW System was one of the first in the nation to start issuing public stakeholder reports. The UW System began issuing an annual accountability report in 1993 to show the progress of the System and individual institutions on a variety of indicators.

In the fall of 1999, then-System President Katherine Lyall appointed a task force to review the accountability indicators used by the UW System beginning in 1993 and to recommend changes that would “more effectively capture the world of 2000 and beyond.” The task force

recommended the continued use of some existing indicators as well as several new indicators, with the intention to reassess and update indicators again in 2006. In June 2000, the Board of Regents adopted Resolution 8156, accepting the recommendations of the Accountability Review Task Force and authorizing implementation of the new accountability indicators.

Although the resolution was subsequently codified as a Regent Policy Document (included as Attachment C), the resulting policy simply states that the Board of Regents accepts the recommendations of the task force and authorizes the implementation of new accountability indicators. It does not include the indicators themselves.

Since June of 2000, the UW System's accountability reports have undergone multiple changes, all separate from RPD 5-2. For example, 2011 Wisconsin Act 32 expanded the accountability indicators on which the UW System is required to report annually. In 2015, the Board of Regents approved additional accountability metrics, as required by the 2015-17 biennial budget. Also in 2015, the UW System transitioned from a paper version of its accountability report to an online Accountability Dashboard.

RPD 5-2 reflects the Board's approval of a time-specific report, with recommendations that were implemented but have changed in the ensuing 16 years. Given the specific nature of the policy, the removal of RPD 5-2 from the body of Regent Policy Documents will not affect the UW System's accountability reporting in the future. UW System President Ray Cross has demonstrated his continuing commitment to accountability and transparency through the development and implementation of the new online Accountability Dashboard, and his ongoing work with the legislature to refine and update legislatively mandated metrics.

4. RPD 14-4, "Reserve Officer Training Corps"

RPD 14-4 communicates the Board's position regarding discrimination against students based on sexual preference in the Reserve Officer Training Corps (ROTC) program. This RPD also includes annual reporting requirements for the System President and expresses the Board's expectations at a given point in time for faculty, staff and students. Due to changes in federal law, the policy statement and reporting requirements are no longer necessary.

The Reserve Officers Training Corps (ROTC) is a college program that prepares students to become officers in the U.S. military, with each service branch offering its own ROTC program. In exchange for a paid college education, ROTC cadets commit to serve in the military after graduation. ROTC is offered at colleges and universities throughout the United States; all but one of the four-year UW institutions offers one or more ROTC programs. Until recently, the U.S. military had a long-standing policy against allowing homosexuals to serve in the military, which was contrary to Wisconsin state statutes prohibiting discrimination based on sexual orientation.

In April 1987, the Board of Regents approved a resolution expressing concern with the "practice of discrimination based on sexual preference toward applicants to Reserve Officers Training Corps programs throughout the University of Wisconsin System." As part of the

resolution, which was codified as a Regent Policy Document, the Board requested that the UW System President work with Wisconsin's congressional delegation to change the federal policy that permits discrimination within the ROTC program.

In February 1990, System President Shaw proposed changes to the policy to reflect that "the responsibility for attempting change lies with many." The resolution passed by the Board reaffirmed the Board's concern with ROTC's discriminatory practices. The resolution also modified the policy by directing the UW System President, as well as the chancellors of UW institutions with ROTC programs, to work with Wisconsin's congressional delegation, U.S. government officials, and national associations of higher education to attempt to change the federal policy permitting discrimination within the ROTC program, and required the System President to report back annually on the progress of these lobbying efforts. Finally, the resolution urged interested faculty, staff and students to participate in resolving the issue (included as Attachment D).

In 1993, the U.S. Congress passed and the President signed into law "Don't Ask, Don't Tell," which prohibited homosexuals serving in the military from talking about their sexual orientation or engaging in sexual activity, and prohibited commanding officers from questioning service members about their sexual orientation. In September 2010, the U.S. District Court ruled that "Don't Ask, Don't Tell" was unconstitutional because it violated the first and fourth amendment rights of homosexuals. In December 2010, Congress voted to repeal "Don't Ask, Don't Tell" and President Obama signed the repeal into law. The repeal was effective September 20, 2011.

While the repeal of "Don't Ask, Don't Tell" did not create an affirmative ban on discrimination in the U.S. military based on sexual orientation, nor make sexual orientation a protected class under the military's equal opportunity program, the repeal allows individuals regardless of sexual orientation to openly join and serve in the military.

Therefore, there are no policy implications for removing RPD 14-4 as a Regent policy. If the Board approves the removal of RPD 14-4, the document will be placed in the Regent archives as a historical statement by the Board.

5. RPD 20-14, "Future Staffing Principles"

RPD 20-14 reflects a time-specific activity and does not serve as the kind of enduring statement envisioned by the Board's criteria for its Regent Policy Documents.

During the 1999-2000 academic year, the Board of Regents Education Committee heard a series of presentations regarding the aging of the faculty and academic staff within the UW System. These presentations and the related discussions focused on the need to rebuild the instructional core as faculty and academic staff retired over the next decade, and the importance of maintaining educational quality. In March 2000, the Board of Regents adopted Resolution 8094, accepting the recommendations of the Senior Vice President for Academic and Student Affairs, approving "Future Staffing Principles" for the UW System and requiring a report in spring 2001 on progress made under the principles. Although the

resolution was subsequently codified as a Regent Policy Document (included as Attachment E), the resulting policy simply states that the Board of Regents accepts the recommendations and requires a report.

While no principles are actually included in the policy, the principles recommended by the Senior Vice President addressed: institutional flexibility to allocate and fill positions based on enrollment and budget conditions, with an appropriate mix of tenure-track and nontenure-track appointments; position titling reflective of national titling trends; staffing that takes into account the need for a diverse faculty and academic staff, and that is consistent with institutional tenure management policies; and the use of national searches to fill faculty positions.

Since these principles were recommended by the Senior Vice President in March 2000, other Board actions have essentially superseded the need for RPD 20-14. Recent changes include the implementation of new personnel systems in 2015, and the Board's adoption of RPD 20-21, "University Personnel Systems." This policy articulates the Board's responsibility for promoting the development of personnel systems that allow UW institutions to attract, develop, and retain a diverse and highly qualified workforce. This policy also delegates to the UW System President and the Chancellor of UW-Madison the authority to implement and maintain their respective personnel systems, and authorizes the System President to delegate to individual chancellors the administration and oversight of the personnel systems at their respective institutions. In 2016, the Board adopted RPD 20-23, "Faculty Tenure," and 20-24, "Procedures Relating to Financial Emergency or Program Discontinuance Requiring Faculty Layoff and Termination." In addition, the enrollment and budget environments within which UW institutions operate have also changed significantly since 2000.

The staffing principles recommended to the Board were to address a time-specific need more than 15 years ago. Because RPD 20-14 does not articulate the actual principles, there are no likely ramifications to removing 20-14 from the Regent Policy Documents.

Conclusion

Removing the five RPDs from the body of Regent Policy Documents will have no substantive effect. Four of them -- RPDs 4-9, 4-14, 5-2, and 20-14 -- refer to time-specific reports that no longer reflect UW System goals or practices. In addition, changes in federal law have made RPD 14-4 obsolete. These policies will be placed in the Regent archives as historical documents or statements of the Board, representing important work undertaken by the Regents and the UW System in pursuit of educational quality and accountability. The removal of these policies would be another step toward making the Regent Policy Documents a more cohesive set of policies that provide broad, strategic, and enduring statements of the Board's expectations.

RELEVANT REGENT POLICY DOCUMENTS

Regent Policy Document 2-3, “Standards and Protocol for Regent Policy Documents”

Regent Policy Document 4-9, “Principles for Enrollment Management”

Regent Policy Document 4-14, “Enrollment Management-21”

Regent Policy Document 5-2, “Accountability Indicators”

Regent Policy Document 14-4, “Reserve Officers Training Corps”

Regent Policy Document 20-14, “Future Staffing Principles”



Board of Regents
POLICIES

Regent Policy Document 4-9

Principles for Enrollment Management

PRINCIPLES FOR ENROLLMENT MANAGEMENT II, AND ENROLLMENT MANAGEMENT TARGETS FOR 1991-92 TO 1994-95 (BASIS FOR ESTABLISHING STUDENT TUITION AND FEE LEVELS, 1991-92 TO 1994-95.)

The table of Enrollment Management Targets for 1991-92 to 1994-95 may be obtained from the UW System Office of Academic Affairs.

Policy Principles for Enrollment Management II: Enrollment Management Phase I was resource-driven, motivated by the desire to sustain and improve educational quality by returning support per student and faculty/student ratios to their 1978-79 levels. This has entailed a three-pronged effort: (1) increased state financial support, (2) tuition increases, and (3) enrollment declines. The success of Enrollment Management I means that support per student (measured in dollars per student and student/faculty ratios) will be very close to the 1978-79 level, the target for the first phase of enrollment management, by 1991.

Enrollment Management II will be driven by the need to maintain these quality advances and the necessity of meeting the needs of a changing mix of students within very tight resource constraints. As the result of extensive deliberations we are now in a position to define in some detail our approach to enrollment questions and associated issues for the next two budget cycles. Over this period we see some weakening of demand from the traditional 18-22 year old segment whose numbers will decline about 13% over the next four years. During this period the System will experience some decrease in overall enrollment. The size of the decrease may be ameliorated by more intensive services to non-traditional aged student groups. Nonetheless we should plan for some decrease in the first half of the 90's to be followed by renewed demand in the latter half of the decade.

It is essential that we estimate and achieve enrollments as accurately as possible. If we overestimate actual enrollments, fees will be set too low and we will experience a revenue shortfall; if we underestimate actual enrollments, fees will be set too high and we will generate excess revenues that must be carried over to reduce future tuition increases.

At this stage it is helpful to lay out the basic policy principles that will guide our more detailed planning. These are divided into four basic categories, the central goal of maintaining and enhancing educational quality, principles of equity among the institutions, enrollment reporting principles, and budget issues.

A. Protect and Enhance Educational Quality:

1. Academic standards will be maintained; specifically admission standards will not decrease at any institution.
2. Institutions whose enrollments come in at or under target may choose to reduce faculty, so long as educational quality is maintained (as indicated by faculty/student ratios, support per student etc.). Those institutions whose enrollments exceed targets will be expected to maintain faculty levels.
3. Institutions that reduce faculty will be permitted to retain the freed resources to address other pressing institutional needs (such as library needs).

B. Equity Among Institutions:

1. There will be a second four-year plan for systemwide enrollment reduction for 1991-95. All institutions will participate in that reduction (except those specifically identified for growth).
2. As in Enrollment Management I, some institutions will be slated to grow while others decline.

3. Targets will be monitored to allow a range of 1% on either side of the established "budget enrollment target" as described under Section 4 below.

C. Enrollment Reporting Principles:

1. Enrollments will be reported via the CDR using uniform definitions. Extended degree students will be included for all institutions.
2. Institutions will establish subtargets for new freshmen, transfer students, re-entry, special students, and graduate students and will report enrollments annually by these subtargets.
3. CAPP (GAPP 36) enrollments will be reported via the CDR but excluded from official enrollment figures.
4. The non-resident proportion of an institution's undergraduate student body will be no higher than 25% overall. The undergraduate student body will be defined for this purpose as students with classifications of freshmen, sophomore, junior or senior. Undergraduate special students will not be included for this purpose. Non-resident for this purpose, is defined as non-resident for fee purposes. This means that Minnesota and Michigan compact, and TAP (Tuition Award Program) students will be counted as residents (because they pay resident fees). Foreign students with non-resident status will be counted as non-residents.

D. Budget Issues:

1. Institutional budgets will be based on their established enrollment targets. A single "budget enrollment target" will be established for each of the four years.
2. Institutions that exceed their "budget enrollment target" will not benefit from the excess tuition revenue they generate (which will revert, as currently, to the systemwide pool to offset future tuition increases).
3. Institutions that are up to 1% below their "budget enrollment targets" will have their base budgets supported from excess revenues generated by those that exceed their target.
4. Institutions that reduce faculty to generate savings for other urgent needs, will not be disadvantaged in future budget allocations. For example, an institution that uses such funds to improve library holdings would not be disadvantaged in future budget allocations because their library needs had been lowered by their own self-help efforts.

History: Res. 5608 adopted 10/5/90. See also RPD 17-8 (SG10).

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**Board of Regents
POLICIES**

Regent Policy Document 4-14

Enrollment Management-21

Recognizing that careful enrollment planning is essential to ensure that the University of Wisconsin System serves the changing needs of the state and fosters educational quality into the 21st Century, the Board of Regents:

1. Approves the University of Wisconsin System Enrollment Management-21 (EM-21) Plan for 2001-07 (dated 6/8/00) and provides that individual institutional targets may be reviewed every two years for possible adjustments reflecting regional and statewide needs.
2. Directs that budgetary amounts necessary to carry out the institutional EM-21 plans be included in the draft 2001-03 Budget Requests for consideration by the Board in August; and that the EM-21 targets established in the 6/8/00 document be reviewed at the completion of the 2001-03 state budget action and adjusted to reflect the biennial budget outcome, as necessary.
3. Provides that, for traditional-aged undergraduates, the current Regent Policy Documents requiring Board approval for differential tuition will remain in effect. Authority to approve institutional requests to charge service-based tuition and fees for graduate and other adult programs is delegated to the System President to facilitate timely response to demand for these programs.
4. Directs System Administration to facilitate achievement of the institutions' EM-21 plans by reviewing current policies and procedures and removing operational constraints to creating new and innovative programming for non-traditional students.
5. Urges each University of Wisconsin System Institution to develop campus revenue sharing policies that provide departments with incentives to create new programs and to use new methods of delivery to serve non-traditional students.

History: Res. 8146, adopted 06/08/2000, created Regent Policy Document 00-3, Enrollment Management-21; Res. 8199, adopted 08/25/2000, amended the 2001-03 enrollment targets of Enrollment Management-21; subsequently renumbered Regent Policy Document 4-14.

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**Board of Regents
POLICIES**

Regent Policy Document 5-2

Accountability Indicators

Upon recommendation of the President of the University of Wisconsin System, the Board of Regents accepts the Recommendations of the Accountability Review authorized implementation of the new accountability indicators. (Document available from the Secretary of the Board of Regents.)

History: Res. 8156 adopted 6/00

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**Board of Regents
POLICIES**

Regent Policy Document 14-4

Reserve Officers Training Corps

Whereas, the Board of Regents of the University of Wisconsin System is committed to maintaining students' rights to be free from unnecessary discrimination in an academic setting; and whereas the citizens of the State of Wisconsin, through their Legislature, have stated that discrimination based on sexual preference is not to be tolerated or allowed in Wisconsin; and whereas the Reserve Officers Training Corps programs offered on University of Wisconsin System campuses discriminate against applicants based on sexual preference.

Therefore, be it resolved that the Board of Regents expresses its concern over the practice of discrimination based on sexual preference toward applicants to Reserve Officers Training Corps programs throughout the University of Wisconsin System; and that the Board of Regents directs the President of the University of Wisconsin System and the Chancellors of those University of Wisconsin System Institutions with Reserved Officer Training Corps programs, to contact and work with Wisconsin's congressional delegation and appropriate United States government officials, and with the national associations of higher education to attempt to change the federal policy that allows this type of discrimination and attempt to change the programs. Be it further resolved that the University of Wisconsin System President report back to the Board of Regents annually on the progress of the lobbying efforts to change the Reserved Officer Training Corps discrimination policy. Be it finally resolved that the Board of Regents urges interested faculty, staff and students to participate in the resolution of this issue.

History: Res. 3757 adopted 4/10/87; amended by Res. 5399, 2/90.

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**Board of Regents
POLICIES**

Regent Policy Document 20-14

Future Staffing Principles

Upon the recommendation of Senior Vice President David J. Ward, the Board approves Future Staffing Principles for the University of Wisconsin System and requires a report in spring 2001 on progress made under the Principles. (Exhibit A)

History: Res. 8094 adopted 3/00.

OFFICE OF THE BOARD OF REGENTS

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Revision of Regent Policy Document 14-2,
“Sexual Harassment Policy Statement and Implementation”

EDUCATION COMMITTEE

Resolution I.1.i:

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents approves the attached revisions to Regent Policy Document 14-2, “Sexual Harassment Policy Statement and Implementation,” to be renamed “Sexual Violence and Sexual Harassment.”

**PROPOSED REVISIONS TO REGENT POLICY DOCUMENT 14-2
RELATED TO SEXUAL VIOLENCE AND SEXUAL HARASSMENT**

BACKGROUND

In July 2014, University of Wisconsin System President Ray Cross charged the UW System Task Force on Sexual Violence and Harassment with the responsibility for promoting compliance with new and existing requirements established by state and federal laws and the expectations of enforcement agencies by making recommendations concerning policies and practices. Among the efforts the Task Force undertook was to create a comprehensive policy on sexual violence and sexual harassment. Currently, requirements and guidance related to the prohibition against and response to sexual violence and sexual harassment are contained in several different laws and policies, including Regent Policy Documents, the Wisconsin Administrative Code, and institutional policies. Moreover, legal interpretations, agency guidance, research, and notions of so-called best practices have evolved and are continuing to change.

The U.S. Department of Education's Office for Civil Rights (OCR) has, through its guidance, promoted the development of clear, comprehensive, widely disseminated, unified campus policies (see, e.g., April 4, 2011, "Dear Colleague Letter") to better assist those seeking information about institutional prevention and response efforts. The Task Force developed a draft Board of Regents policy document that would reflect these objectives. To facilitate UW System institutional adoption and implementation of such a policy, the proposed policy includes a template policy and common definitions.

At its December 2016 meeting, the Education Committee will consider revisions to Regent Policy Document 14-2, "Sexual Harassment Policy Statement and Implementation," including a proposed renaming of the policy to "Sexual Violence and Sexual Harassment." A copy of the existing RPD 14-2 is included as Attachment A. The proposed revisions to RPD 14-2, are shown in Attachment B.

REQUESTED ACTION

Adoption of Resolution I.1.i., approving the revisions to RPD 14-2, "Sexual Harassment Policy Statement and Implementation," to be renamed "Sexual Violence and Sexual Harassment."

DISCUSSION

Regent Policy Document 14-2, "Sexual Harassment Policy Statement and Implementation," last modified in 1987, prohibits acts of sexual harassment and requires that each institution develop disciplinary processes to address allegations of sexual harassment and establish educational programs. Currently, no Regent Policy Documents address the issue of sexual violence or requirements for institutions to address sexual violence on UW System campuses.

In recent years, many changes have occurred in the interpretation of gender discrimination laws, including Title IX of the Education Amendments of 1972. That federal law states, “No person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance” (see, 20 U.S.C. § 1681 (1972)). Courts and the U.S. Department of Education’s Office for Civil Rights (OCR) have asserted that colleges and universities may be found to have violated Title IX in connection with certain incidents of sexual assault on campus. Further, the recent authorization of the Violence Against Women Act (VAWA) affords additional rights to victims of sexual violence, dating violence, domestic violence, and stalking on campus. Further guidance from the OCR has provided additional expectations concerning the approach and manner in which colleges and universities should address issues of sexual violence and harassment at their campuses.

Best practices for implementing anti-gender discrimination laws on campuses emphasize the importance of colleges and universities possessing and promoting clear, comprehensive, unified, accessible, and robust policies that describe how victims/survivors and concerned others can find out options for reporting, what the process involves, what resources are available, potential sanctions for violations, employee responsibilities, and prevention efforts supported by the institution, including training.

The proposed RPD 14-2, “Sexual Violence and Sexual Harassment,” possesses the following important elements:

- strong policy and purpose statements that underscore the commitment of the Board to promoting an environment that advances the System’s mission through the eradication of sexual violence and sexual harassment;
- promotion of a comprehensive policy approach to providing information about all aspects related to sexual violence and sexual harassment on campus, including information about complaint processes that are contained in separate policies and administrative code provisions;
- current legal interpretations and expectations of federal agencies;
- a template to facilitate institutional compliance with the policy; and
- definitions to promote consistency across campuses for common understandings and assessment.

RELATED POLICIES

RPD 14-3, “Equal Opportunities in Education: Elimination of Discrimination Based on Gender”

RPD 14-6, “Discrimination, Harassment, and Retaliation”

RPD 14-7, “Implementation of Statute on Discrimination Against Students”

RPD 14-8, “Consensual Relationships Policy”

ATTACHMENT A

Existing Regent Policy Document 14-2, *Sexual Harassment Policy Statement and Implementation*

I. Policy Statement

It is the policy of the Board of Regents of the University of Wisconsin System, consistent with its efforts to foster an environment of respect for the dignity and worth of all students and staff of the University of Wisconsin System, that sexual harassment of students and employees of the University of Wisconsin System is unacceptable and impermissible conduct that will not be tolerated. Sexual harassment is a form of sex discrimination. It occurs in a variety of situations that share a common element: the inappropriate introduction of sexual activities or comments into the work or learning situation. Often, sexual harassment involves relationships of unequal power and contains elements of coercion—as when compliance with requests for sexual favors becomes a criterion for granting work, study, or grading benefits. However, sexual harassment may also involve relationships among equals, as when repeated sexual advances or demeaning verbal behavior have a harmful effect on a person’s ability to study or work in the academic setting.

For general policy purposes, sexual harassment may be described as unwelcome sexual advances, requests for sexual favors, and other physical conduct and expressive behavior of a sexual nature where: (1) Submission to such conduct is made either explicitly or implicitly a term or condition of an individual’s employment or education; (2) Submission to or rejection of such conduct by an individual is used as the basis for academic or employment decisions affecting that individual; or (3) such conduct has the purpose or effect of substantially interfering with an individual’s academic or professional performance or creating an intimidating, hostile or demeaning employment or educational environment.

In keeping with this policy, a concerted effort must be made to protect employees and students from sexual harassment as defined, and to rid the University of Wisconsin System of such conduct.

II. Implementation:

Procedures for prompt corrective action and discipline consistent with due process are an essential part of the effort to eliminate sexual harassment. Equally important, however, is the establishment of programs to educate members of the University community on the subject of sexual harassment, and to make them more sensitive to its forms and damaging consequences. Development of the necessary programs and procedures is most appropriately and effectively undertaken at the institutional level. Therefore, the Board directs as follows:

1. Each institution within the System shall have or develop a disciplinary process to address allegations of sexual harassment. This process shall include: a definition of those forms of sexual harassment that will be grounds for disciplinary action; formal hearing procedures in accordance with due process requirements; and procedures allowing for resolution by mutual consent. In developing these definitions and procedures, institutions should be mindful of First Amendment rights and academic freedom, particularly as they relate to sexual harassment in the instructional setting. Institutions should also recognize that this policy does not address consensual sexual relations, which do not involve harassment or

discrimination. Institutions should also be aware of and sensitive to the fact that disciplinary action is not the only means of dealing with the problem of sexual harassment; there may be some kinds of conduct that are more appropriately addressed by an educational process or through other informal means. All institutional definitions and procedures are subject to approval by the Board and shall be presented to the Board not later than February, 1982, for purposes of review leading to approval.

2. Each institution within the System shall establish educational programs designed to inform employees and students of the nature of sexual harassment, to increase their sensitivity to it, and to publicize the procedures, sanctions and remedies available against it. Each institution will make a yearly report to the President of the University of Wisconsin System, which will then be reported to the Board of Regents, summarizing the results of educational efforts and corrective and disciplinary procedures. This report will be made in conjunction with the institution's yearly report on Equal Opportunities in Education (Regent Policy Document 14-3, Formerly 83-5).
3. System Administration staff shall, upon request, assist the institutions in their efforts to implement this policy and shall make available information and materials on the subject of sexual harassment, which would be useful in the drafting of definitions or procedures or in preparing education programs.

History: Res. 2361 adopted 5/8/81; replaces 80-8; amended by Res. 3758, 4/10/87.

ATTACHMENT B
Proposed revisions to RPD 14-2 with new title and appendices

**Draft Regent Policy Document 14-2
Sexual Violence and Sexual Harassment**

Scope

This policy applies to all University of Wisconsin System institutions and programs. The policy covers the following conduct: sexual harassment, sexual assault, stalking, dating violence, and domestic violence.

Purpose

The mission of the University of Wisconsin System and its individual institutions can be realized only if the University's teaching, learning, research, and service activities occur in living, learning, and working environments that are safe and free from violence, harassment, disruption, and intimidation. The purpose of this policy is to reflect the Board of Regents' strong commitment to promoting an environment that is free from sexual violence and sexual harassment.

Policy Statement

It is the policy of the Board of Regents of the University of Wisconsin System to promote an environment free from incidents of sexual violence and sexual harassment. To address these incidents, the Board of Regents directs UW institutions to adopt policies, practices, and educational programs that serve to prevent, respond to, and redress incidents of sexual violence and sexual harassment. In addition, this policy directs institutions to identify factors that may contribute to a culture in which incidents of sexual violence and sexual harassment can exist, and to address these issues to advance a safe environment that supports healthy and respectful interactions and relationships.

This policy is consistent with Title IX of the Education Amendments of 1972, which prohibits discrimination on the basis of sex in any educational program or activity receiving federal financial assistance. In accordance with these requirements, the University of Wisconsin System is responsible for taking immediate and effective steps to respond to sexual violence and harassment. This policy is also consistent with the regulations addressed by the Violence Against Women Act (VAWA) and the Jeanne Clery Act.

Regent Policy Documents [14-6](#) and [14-10](#) cover discrimination on the basis of other protected categories.

Oversight, Roles, and Responsibilities

Each Chancellor or designee shall be responsible for implementing institutional procedures consistent with this policy.

Each UW institution is required to adopt a Sexual Violence and Sexual Harassment policy that is widely available and disseminated to all students and employees. **Appendix A** provides a template policy for institutions to customize and adopt. The institutional policy must contain, at a minimum, the following provisions:

1. Accommodations. Information for students and employees concerning the availability of academic and employment accommodations related to the individual as a victim/complainant or respondent.
2. Amnesty. Consistent with state law, provision to exempt victims and witnesses of sexual violence from receiving citations or being subjected to the student disciplinary process for underage consumption of alcohol under specified circumstances.
3. Assessment. A description of the methodology for how the institution will assess the efficacy of its policy and educational efforts undertaken as part of this policy.
4. Collection of Data. In accordance with state and federal law, a statement that statistics on the number of reports received by employees alleging sexual assault of a student shall be reported in the UW System Sexual Assault Reports consistent with § 36.11(22), Wis. Stats., and the federal Jeanne Clery Act.
5. Confidentiality. Identification of employees or affiliates who may maintain in confidence any report of sexual violence or sexual harassment. Limitations or barriers to confidentiality of other employees should be addressed.
6. Definitions. Relevant words and phrases used in the policy should be defined consistent with applicable System rules and policies. (Definitions are included in **Appendix B**):
7. Education/Training. Identification of mandatory education and training concerning sexual violence and sexual harassment.
8. False Accusations. Information about response and consequences when an individual knowingly makes a material misstatement of fact in connection with a report of sexual violence or harassment. The information should indicate that the filing of a complaint that does not result in a finding of prohibited conduct is not alone evidence of intent to file a false report.
9. Office for Civil Rights Complaint. A description of how individuals can file a complaint with the Office for Civil Rights under Title IX.
10. Procedures. Reference to, or inclusion of, institutional policies governing procedures for reporting allegations of sexual violence and sexual harassment, including information for reporting to campus and local police.
11. Policy Statement. A statement expressing the institution's commitment to promoting an environment free from incidents of sexual violence and sexual harassment.
12. Prohibition against Retaliation. A statement explicitly prohibiting retaliation against those who are involved in the reporting of an incident of sexual violence or harassment, and identification of remedies for those who have been subject to retaliation under the policy.

13. Prompt Resolution. Inclusion of language that reflects the institution's efforts to pursue the prompt resolution of reports of sexual violence and harassment.
14. Purpose Statement. A statement that indicates that sexual violence and sexual harassment are prohibited and that expresses the institution's commitment to prevent and promptly and effectively respond to and redress incidents of sexual violence and sexual harassment, and that states how such actions support the System and institutional missions.
15. Record Keeping. A description of how records of reports of sexual violence and sexual harassment will be maintained.
16. Reporting Options and Obligations. Identification of employees to whom or offices to which an individual can report an allegation of sexual violence and sexual harassment, including the Office for Civil Rights; likewise, identification of employees who are obligated by law to notify university officials that they have received such a report.
17. Resources. A description of counseling, medical, legal, and other resources for complainants, victims, and accused persons.
18. Responsible Employees. Identification of those individuals who are considered "responsible employees" under the Department of Education's interpretation of Title IX.
19. Roles and Duties of University Officials and Employees. Identification of the role and responsibility of institutional officials regarding reporting, prevention, and response involving allegations of sexual violence and harassment.
20. Sanctions. Identification of potential sanctions for students and employees who are found responsible under the policy.
21. Scope Statement. Provision of a scope statement covering all institutional students and employees in programs and activities supported by or sponsored by the institution.
22. Title IX Committee. Provision for a campus Title IX Committee, tasked with the responsibility to, among other things, support the efforts of the Title IX Coordinator, implement the institutional Sexual Violence and Sexual Harassment policy, perform assessment, and address campus climate and culture issues.
23. Title IX Coordinator. Identification of the name and contact information for the institutional Title IX Coordinator and any Deputy Title IX Coordinators.

Related RPDs and Applicable Laws

RPD 14-3, RPD 14-3, “Equal Opportunities in Education: Elimination of Discrimination Based on Gender”

RPD 14-6, RPD 14-6, “Discrimination, Harassment, and Retaliation”

RPD 14-7, RPD 14-7, “Implementation of Statute on Discrimination Against Students”

RPD 14-8, RPD 14-8, “Consensual Relationships Policy”

Title IX of the Education Amendments of 1972 (20 U.S.C. §§ 1681 et seq.; 34 C.F.R. Part 106)

§ 36.11(22), Wis. Stats., Orientation Program; Information on Sexual Assault and Harassment

Violence Against Women Act (1994) 42 U.S.C. §§ 1371-14040

(See definitions in **Appendix B** for other statutory references.)

RPD 14-2 Appendix A: Template for UW Institutions' Policies

UW- [institution] Sexual Violence and Sexual Harassment Policy

Policy Statement

The mission of University of Wisconsin-_____ is to provide a teaching, learning and working environment in which faculty, staff, and students can discover, examine critically, preserve, and transmit the knowledge, wisdom, and values that will improve quality of life for all. To promote these institutional values, UW-_____ is committed to creating and maintaining a community environment that is free from sexual violence and sexual harassment.

Purpose and Scope of Policy

This policy prohibits acts of sexual violence and sexual harassment on university property, at university-sanctioned or university-affiliated events, and where off-campus conduct affects a member of the university community. This policy applies to all university students and employees. The university is committed to educating its community and to promptly and effectively respond to and redress conduct that violates this policy. This policy provides the UW-_____ community with information and resources to identify, report, and respond to sexual violence and sexual harassment including sexual assault, stalking, and dating and domestic violence. These efforts support the overall missions of UW-_____ and the UW System.

Title IX Statement

Title IX of the Education Amendments of 1972, 20 U.S.C. § 1681 et seq., prohibits discrimination on the basis of sex in any educational program or activity receiving federal financial assistance.

I. Definitions

(See Appendix B).

II. Role and Duties of University Officials and Employees

A. Title IX Coordinator

The duties of the UW-_____ Title IX Coordinator are described in the institutional position description. Those duties include: receiving reports of sexual violence and sexual harassment; maintaining appropriate records; providing or supporting the provision of appropriate education and training; maintaining ongoing communication with any Deputy Title IX Coordinators and the Title IX Committee; investigating allegations of sexual violence and sexual harassment, as appropriate; ensuring that applicable policies, resources, and other information is up-to-date and properly disseminated. The duties of the Title IX Coordinator will be guided by principles of trauma-informed care.

B. Title IX Committee

The Title IX committee at UW-_____ meets on a_____ [*Insert period of time, such as monthly*] basis to discuss policy implementation and revision; to assess the effectiveness of trainings and educational programming; to address campus climate issues; and to provide guidance to the Title IX Coordinator. The following are offices represented on this committee: [*Identify, refer to Title IX Committee Bylaws*].

C. Responsible Employees

UW-_____ has designated individuals with the following titles as “responsible employees” under this policy: [*Identify*]. These individuals should be properly trained to do the following:

1. Be familiar with definitions of sexual violence and sexual harassment.
2. Be familiar with this and other related policies.
3. Be prepared to respond should an individual report an incident of sexual violence or sexual harassment.
4. Be familiar with resources on campus to which to refer a reporting individual.

D. All Employees

In accordance with § 36.11(22), Wis. Stats., employees who witness an act of sexual assault, or who receive a first-hand report of sexual assault from an enrolled student, must report that information to the Office of the Dean of Students. Confidential employees, described below, are only required to report the occurrence of the sexual assault.

All employees must comply with Executive Order 54 which requires that university employees report incidents of child abuse and neglect which they observe or witness in the course of their employment. Such reports must be personally and immediately made to law enforcement or the county department of social services or human services. [*Link to information about EO 54*].

III. Reporting an Incident of Sexual Violence or Sexual Harassment

A. Reporting Options

Those who have been subjected to an incident of sexual violence or sexual harassment, or who have received a report of or witnessed an incident of sexual violence or sexual harassment, have several options for reporting the incident:

1. The individual may elect not to report (unless the individual is an employee who has information about a sexual assault as described in II.D. above)
2. The individual may report information to a confidential employee:
[*Name, contact information of confidential advisors*]

3. The individual may report information to the campus Title IX Coordinator:
[Name, contact information of institutional Title IX Coordinator].
4. The individual may report information to campus law enforcement:
[Name, contact information of campus law enforcement].
5. The individual may report information to local law enforcement:
[Name, contact information of local law enforcement].

Note: An individual may make a report to *one or more* of the offices or individuals noted above.

Individuals have the option to file a complaint with the **U.S. Department of Education, Office for Civil Rights:**

<http://www2.ed.gov/about/offices/list/ocr/docs/howto.html>

B. Amnesty for Students

Complainants, victims, and witnesses to incidents of sexual violence, including sexual assault, will not be issued citations or subject to disciplinary sanctions for violations of university policy at or near the time of the incident unless the institution determines that the violation was egregious, including actions that place the health or safety of any other person at risk.

C. Confidentiality

Individuals, including victims, who report to any of the offices or individuals noted above, or to any other university employee, except those noted below, cannot be assured absolute confidentiality. However, information provided in the report and in any subsequent, related proceeding will be maintained in a confidential manner; only those individuals who have a need to know to fulfill obligations consistent with university policies or laws will be privy to certain information.

D. Resources and Accommodations

1. Accommodations

The university will work with individuals involved in alleged incidents of sexual violence and sexual harassment to undertake appropriate measures to assist in their safety and wellbeing. These may include: no-contact directives, academic or work modifications, and relocation of living or working space.

2. Resources

The university offers a variety of resources that are available to individuals involved in incidents of sexual violence or sexual harassment, including the following:

[List of resources including medical, advocacy, counseling, tutoring.]

E. Procedures

1. When a report is made to the *Title IX Coordinator* alleging that a *student* has engaged in an act of sexual violence or sexual harassment, the procedures linked here apply. [[Link to Chapter UWS 17, Wis. Admin. Code](#)].
2. When a report is made to the *Title IX Coordinator* alleging that a *faculty member* has engaged in an act of sexual violence or sexual harassment, the procedures linked here apply. [[Link to Chapters UWS 4, 6, and 7, Wis. Admin. Code](#)].
3. When a report is made to the *Title IX Coordinator* alleging that a *member of the academic staff* has engaged in an act of sexual violence or sexual harassment, the procedures linked here apply. [[Link to Chapters UWS 11 and 13, Wis. Admin. Code](#)].
4. When a report is made to the *Title IX Coordinator* alleging that a *member of the university staff* has engaged in an act of sexual violence or sexual harassment, the procedures linked here apply. [[Link to University Staff Policy](#)].
5. When a report is made to *campus law enforcement* alleging that an individual has engaged in an act of sexual violence or sexual harassment, the procedures linked here apply [[Link to campus law enforcement procedures](#)].
6. When a report is made to *local law enforcement* alleging that an individual has engaged in an act of sexual violence or sexual harassment, the procedures linked here apply [[Link to local law enforcement procedures](#)].

When a report is made to more than one of the offices noted above, the offices will endeavor to cooperate as they are able. Attempts will be made to limit the number of times a complainant or respondent is required to repeat information about the allegations.

F. Prompt Resolution

The offices and individuals receiving a report of sexual assault or sexual harassment will endeavor to resolve the matter in a timely manner, with consideration to available information and context.

1. Potential Sanctions

The procedures identified above provide for disciplinary action against staff members and students who are found responsible for violating University policy. Such sanctions may include restrictions on a course or program, suspension, expulsion, suspension and dismissal from academic duties. Chapter UWS 17.10, Wis. Admin. Code provides a more comprehensive list of potential sanctions against students. Employee sanctions may include suspension from duties and dismissal.

2. Notice of Outcome

Both the complainant and the respondent will be provided with notice of the outcome of the final resolution of the complaint.

G. Prohibition Against Retaliation

This policy prohibits retaliation against an individual who reports, assists an individual in reporting, or participates in proceedings involving an allegation of sexual violence or sexual harassment. Retaliation under this policy includes threats, intimidation, or adverse employment/academic actions. Those who believe they have been subjected to retaliation under this section may report the allegations to the Title IX Coordinator or Deputy, campus law enforcement, or local law enforcement. (*See* contact information above.)

H. False Accusations

Knowingly making a material misstatement of fact in connection with reporting under this policy may subject the individual to disciplinary action. Anyone who believes that they have been the subject of a false complaint may meet with the Title IX Coordinator to discuss the allegations. The filing of a complaint that does not result in a finding of prohibited conduct is not alone evidence of the intent to file a false complaint.

IV. Education and Training

The Title IX Coordinator will be primarily responsible for facilitating the training and educational programs to the campus community. At a minimum, all students and employees will be required to complete the campus-supported on-line training covering issues of sexual violence and sexual harassment.

The Chancellor or designee will identify and offer more in-depth training for employees who are executives, supervisors, managers, directors, department heads, responsible employees, and those connected with the disciplinary process.

V. Record Keeping and Data Collection

As noted above, the Title IX Coordinator will maintain records of reports of sexual violence and sexual harassment consistent with the institutional records-retention policy. In addition, the Title IX Coordinator will track compliance with mandatory training programs, and maintain a list of training and education offered on campus.

The UW-_____ Police Department or other appropriate office will collect, maintain, and submit the Annual Security Report, consistent with the federal Clery Act.

The Office of the Dean of Students, or other appropriate office, will collect appropriate data and compile the state report required under § 36.11(22), Wis. Stats.

VI. Assessment

The (*insert campus office name*) will conduct a study that seeks to gather data and information concerning sexual violence and harassment on or near campus. Efforts will be made to conduct such a study once every ___ years. All students and employees are encouraged to participate. The office will also work to design methods for effectively evaluating the outcomes of campus training and educational programming. It is imperative that UW System institutions proactively integrate empirically informed assessment and evaluations into sexual violence and harassment prevention and awareness programs to measure whether they are achieving the intended outcomes.

RPD 14-2 Appendix B: Definitions to be Included in Institutional Policies

Complainant. Any individual who is reported to have been subjected to sexual harassment, sexual assault, dating violence, domestic violence, or stalking, as defined in the relevant Administrative Code provisions or policies. *See, e.g.*, Chpts. [UWS 4.015](#) (faculty), [UWS 11.015](#) (academic staff), and [UWS 17.02\(2m\)](#) (students).

Confidential Employee. Any employee, who is a licensed medical, clinical, or mental health professional, when acting in that role in the provision of services to a patient or client who is a university student or employee. A Confidential Employee will not report specific information concerning a report of sexual violence or sexual harassment received by that Employee in the Employee's professional capacity unless with the consent of the reporting individual or unless required by the Employee's license or by law.

Confidential Resource. Individuals or agencies in the community, whose professional license or certification permits that individual or agency to preserve the confidentiality of the patient or client.

Consent. Words or overt actions by a person who is competent to give informed consent, indicating a freely given agreement to have sexual intercourse or sexual contact. A person is unable to give consent if the person is incapacitated because of drugs, alcohol, physical or intellectual disability, or unconsciousness [[§. 940.225\(4\), Wis. Stats.](#)].

Dating Violence. Violence committed in a "dating relationship," which is defined as a romantic or intimate social relationship between two adult individuals; "dating relationship" does not include a casual relationship or an ordinary fraternization between two individuals in a business or social context. A court shall determine if a dating relationship existed by considering the length of the relationship, the type of the relationship, and the frequency of the interaction between the adult individuals involved in the relationship [[§ 813.12\(1\)\(ag\), Wis. Stats.](#)].

Domestic Violence. Any of the following engaged in by an adult family member or adult household member against another adult family member or adult household member, by an adult caregiver against an adult who is under the caregiver's care, by an adult against his or her adult former spouse, by an adult against an adult with whom the individual has or had a dating relationship, or by an adult against an adult with whom the person has a child in common [[§§ 813.12 \(1\)\(am\)](#) and [968.075, Wis. Stats.](#)]:

1. Intentional infliction of physical pain, physical injury, or illness.
2. Intentional impairment of physical condition.
3. A violation of the state statute regarding sexual assault [[§ 940.225\(1\), \(2\) or \(3\), Wis. Stats.](#)].
4. A violation of the state statute regarding stalking [[§ 940.32, Wis. Stats.](#)].
5. A violation of the state statute regarding damage to property [[§ 943.01, Wis. Stats.](#)], involving property that belongs to the individual.
6. A threat to engage in any of the conduct under 1 through 5 listed above [[§§ 813.12 \(1\)\(am\)](#) and [968.075, Wis. Stats.](#)].

Employee. Any individual who holds a faculty, academic staff, university staff, limited, student employment, employee-in-training, temporary, or project appointment. (*See, e.g.,* UPS Operational Policy, GEN 0, General Terms and Definitions
(<https://www.wisconsin.edu/ohrwd/download/policies/ops/gen0.pdf>)

Executive Order 54. Executive Order issued by Governor Walker in 2011 requiring that university employees report incidents of child abuse and neglect which they observe or witness in the course of their employment. Such reports must be personally and immediately made to law enforcement or the county department of social services or human services.
(https://docs.legis.wisconsin.gov/code/executive_orders/2011_scott_walker/2011-54.pdf)

Hostile Environment. A hostile work, academic, or program-related environment is created when one engages in harassment that consists of unwelcome verbal or physical conduct directed at another individual because of that individual's gender, and that has the purpose or effect of creating an intimidating, hostile, or offensive work, academic, or program-related environment or has the purpose or effect of substantially interfering with that individual's work or academic performance. Substantial interference with an employee's work or academic performance or creation of an intimidating, hostile, or offensive work, academic, or program-related environment is established when the conduct is such that a reasonable person under the same circumstances as the student or employee would consider the conduct sufficiently severe or pervasive to interfere substantially with the person's work or academic performance or to create an intimidating, hostile, or offensive work or learning environment. [*See, e.g.,* [§ 111.36\(1\)\(b\), Wis. Stats.](#)]

Incapacitation. As it applies to this policy, the state of being unable to physically and/or mentally make informed rational judgments and effectively communicate, and may include unconsciousness, sleep, or blackouts, and may result from the use of alcohol or other drugs. Where alcohol or other drugs are involved, evaluation of incapacitation requires an assessment of how the consumption of alcohol and/or drugs affects a person's decision-making ability; awareness of consequences; ability to make informed, rational judgments; capacity to appreciate the nature and quality of the act; or level of consciousness. The assessment is based on objectively and reasonably apparent indications of incapacitation when viewed from the perspective of a sober, reasonable person.

Office for Civil Rights. The U.S. Department of Education office that is responsible for enforcing Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, and other education-based discrimination acts.
<http://www2.ed.gov/about/offices/list/ocr/complaints-how.html>

Preponderance of the Evidence. Information that would persuade a reasonable person that a proposition is more probably true than not true. It is a lower standard of proof than "clear and convincing evidence" and is the minimum standard for a finding of responsibility. [Sections [UWS 17.02\(13\)](#), [UWS 11.015\(7\)](#), [UWS 4.015\(7\)](#), and [UWS 7.015\(5\)](#), Wis. Admin. Code]

Respondent. A student who is accused of violating a policy under Chapter UWS 17, Wis. Admin. Code, or an employee who is accused of violating a policy under Chapters UWS [4](#), [7](#), or [11](#), Wis. Admin. Code.

Responsible Employee. Any employee (other than a “confidential resource”):

1. Who has the authority to take action to redress sexual misconduct;
2. Who has been given the duty of reporting incidents of sexual misconduct by students or employees to the Title IX coordinator or other appropriate school designee; or
3. Who a student could reasonably believe has this authority or duty. April 29, 2014 “Dear Colleague Letter”, *available at* <http://www2.ed.gov/about/offices/list/ocr/docs/qa-201404-title-ix.pdf>.

Retaliation. An adverse action taken against an individual in response to, motivated by, or in connection with an individual’s complaint of discrimination or discriminatory harassment, participation in an investigation of such complaint, and/or opposition of discrimination or discriminatory harassment in the educational or workplace setting.

Sex Discrimination. Discrimination on the basis of sex or gender. Sexual harassment and sexual assault are forms of sex discrimination. [See [20 USC §§ 1681-1688](#)]

Sexual Assault. Sexual contact or sexual intercourse with another person without the consent of that person.

(1) FIRST DEGREE SEXUAL ASSAULT. Engaging in any of the following constitutes First Degree Sexual Assault:

- (a) Sexual contact or sexual intercourse with another person without consent of that person and that causes pregnancy or great bodily harm to that person.
- (b) Sexual contact or sexual intercourse with another person without consent of that person by use or threat of use of a dangerous weapon or any article used or fashioned in a manner to lead the victim reasonably to believe it to be a dangerous weapon.
- (c) Sexual contact or sexual intercourse with another person without the consent of that person by use or threat of force or violence, aided or abetted by one or more persons.

(2) SECOND DEGREE SEXUAL ASSAULT. Engaging in any of the following constitutes Second Degree Sexual Assault:

- (a) Sexual contact or sexual intercourse with another person without consent of that person by use or threat of force or violence.
- (b) Sexual contact or sexual intercourse with another person without consent of that person causing injury, illness, disease or impairment of a sexual or reproductive organ, or mental anguish requiring psychiatric care for the victim.
- (c) Sexual contact or sexual intercourse with a person who suffers from a mental illness or deficiency which renders that person temporarily or permanently incapable of appraising the person's conduct, and the defendant knows of such condition.
- (d) Sexual contact or sexual intercourse with a person who is under the influence of an intoxicant to a degree which renders that person incapable of giving consent if the defendant has actual knowledge that the person is incapable of giving consent and the defendant has the purpose to have sexual contact or sexual intercourse with the person while the person is incapable of giving consent.
- (e) Sexual contact or sexual intercourse with a person who the defendant knows is unconscious.

(f) Sexual contact or sexual intercourse with another person without the consent of that person, aided or abetted by one or more other persons.

(3) THIRD DEGREE SEXUAL ASSAULT. Sexual intercourse with a person without the consent of that person.

(4) FOURTH DEGREE SEXUAL ASSAULT. Sexual contact with a person without the consent of that person. [[§ 940.225, Wis. Stats.](#)]

Sexual Contact. Intentional touching, whether direct or through clothing, if that intentional touching is for the purpose of sexually degrading or sexually humiliating the complainant or sexually arousing or gratifying the defendant or if the touching contains the elements of actual or attempted battery under [§ 940.19\(1\)](#) or [§ 940.225\(5\)\(b\)\(1\), Wis. Stats.](#)

Sexual Harassment. Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitutes sexual harassment when (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or educational experience, (2) submission to or rejection of such conduct by an individual is used as the basis for employment or academic decisions affecting such an individual, or (3) such conduct has the purpose or effect of unreasonably interfering with an individual's work or academic performance or creating an intimidating, hostile, or offensive working or learning environment. [Adapted from [29 C.F.R. § 1604.11 \(1980\)](#).]

Sexual Intercourse. Penetration, as well as cunnilingus, fellatio or anal intercourse between persons or any other intrusion, however slight, of any part of a person's body or of any object into the genital or anal opening either by the defendant or upon the defendant's instruction [[§ 940.225\(5\)\(c\), Wis. Stats.](#)].

Sexual Violence. The phrase, as used in this policy, refers to incidents involving sexual assault, sexual harassment, stalking, dating violence, and domestic violence.

Stalking. Intentionally engaging in a course of conduct that would cause a reasonable person under the same circumstances to suffer serious emotional distress or to fear bodily injury to or the death of himself or herself or a member of his or her family or household [[§. 940.32, Wis. Stats.](#)].

Student. "Student" means any person who is registered for study in a University of Wisconsin System institution for the academic period in which the alleged act of sexual violence or sexual harassment occurred, or between academic periods for continuing students. [See [Chapter UWS 17.02\(14\), Wis. Admin. Code.](#)]

Title IX. Title IX of the Education Amendments of 1972 (20 U.S.C. sec. 1681 et seq.; 34 C.F.R. Part 106)(as amended) is a federal law that states, "[n]o person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance." [20 U.S.C. § 1681\(a\).](#)

Title IX Coordinator (and Deputies). An employee designated to coordinate compliance with Title IX, who plays an important role in an institution's efforts to ensure equitable opportunity for all students and employees, and who works with school officials to remind the school community that students and employees must have equal access to all programs. (Adapted and revised from April 24, 2015, "Dear Colleague Letter" available at <http://www2.ed.gov/about/offices/list/ocr/letters/colleague-201504-title-ix-coordinators.pdf>).

Trauma-Informed Care. Trauma-informed care reflects an understanding of trauma and emphasizes creating services and programs that are sensitive and directly responsive to the trauma that many victims and survivors experience following a violent crime. Trauma-informed care programs identify and limit potential triggers to reduce their re-traumatization and protect their mental and emotional health. <https://www.justice.gov/ovw/blog/importance-understanding-trauma-informed-care-and-self-care-victim-service-providers>. Trauma-informed care is an organizational structure and treatment framework that involves understanding, recognizing, and responding to the effects of all types of trauma. Trauma-informed care also emphasizes physical, psychological and emotional safety for both consumers and providers, and helps survivors rebuild a sense of control and empowerment. *See also:* <http://www.traumainformedcareproject.org/resources/SAMHSA%20TIC.pdf>; and http://www.nsvrc.org/sites/default/files/publications_nsvrc_guides_building_cultures-of-care.pdf

Violence Against Women Act (VAWA). Federal law enacted in 1994, which promotes the investigation and prosecution of violent crimes against women, among other objectives. Recently, it affected amendments to the Clery Act [[42 U.S.C. §§ 13701-14040](#)], through the Campus Sexual Violence Act (SaVE) provision, Section 304.

Revision of Regent Policy Document 14-8,
“Consensual Relationship Policy”

EDUCATION COMMITTEE

Resolution I.1.j:

That, upon the recommendation of the President of the University of Wisconsin System, the Board of Regents approves the attached revisions to Regent Policy Document 14-8, “Consensual Relationship Policy,” to be renamed “Consensual Relationships.”

**PROPOSED REVISIONS TO REGENT POLICY DOCUMENT 14-8,
CONSENSUAL RELATIONSHIPS POLICY**

BACKGROUND

In July 2014, UW System President Cross charged the UW System Task Force on Sexual Violence and Harassment to, among other efforts, promote compliance with new and existing requirements by making recommendations for the establishment of new and revision of existing UW System policies and practices related to sexual violence and harassment. Among the policies the Task Force considered was Regent Policy Document 14-8, "Consensual Relationship Policy." In considering this policy, the Task Force was cognizant of the fact that in consensual relationships where there is a power differential and a possible conflict of interest, problems that the Task Force was charged with addressing may occur, such as relationship violence, sexual harassment, and the creation of a hostile environment within the university community. Members of the Task Force found RPD 14-8 lacking in a number of areas, including clarity in terms of expectations as well as a recognition of and guidance concerning ways in which existing or potential conflicts could be avoided or mitigated.

The purpose of bringing forward a revised RPD 14-8 is to ensure that the employment and academic environment is free from real or perceived conflicts of interest when UW employees and students, in positions of unequal power, are involved in consensual romantic or sexual relationships.

At its December 2016 meeting, the Education Committee will be asked to consider revising Regent Policy Document 14-8, "Consensual Relationship Policy."

REQUESTED ACTION

Adoption of Resolution I.1.j, approving the revisions to RPD 14-8, "Consensual Relationship Policy," and renaming the policy "Consensual Relationships."

DISCUSSION

RPD 14-8, "Consensual Relationship Policy," outlines concerns about consensual romantic and/or sexual relationships where there is a power differential between the individuals engaged in the relationship, including concerns about conflict of interest and abuse of that power. The policy states that consensual romantic and/or sexual relationships involving a conflict of interest are "unacceptable," and that members of the university should be "alerted" to the potential for abuse. However, the policy does not provide clear guidance on the types of situations that could create a conflict or potential for abuse. Further, the term "unacceptable" in the context of the policy does not clearly convey expectations such that it is apparent when a violation of the policy occurs, nor does the policy address how such conflicts may be avoided or mitigated. Finally, the policy does not reference potential disciplinary action that may result from a violation of the policy. A copy of the existing RPD 14-8 is included as Attachment A.

The proposed revisions to RPD 14-8, as shown in Attachment B, unequivocally state that no "instructor" may commence a relationship with a student currently under that instructor's instruction, or whom the instructor reasonably believes in the future may be under the

individual's instruction. Doing so would constitute a violation of the policy, and be subject to disciplinary action. In addition, the instructional context is broadly defined to include academic instruction, advising, direct or indirect evaluation of a student's work, research collaboration or assistantships, and coaching.

If an employee in an instructional role is already in a consensual relationship with a student who comes under the employee's instruction, there is no violation of the policy so long as the employee takes the steps outlined in the policy to mitigate the conflict and potential for abuse.

Likewise, consensual relationships between employees constitute a violation of the policy, unless the employee in a position of authority or influence takes the required steps to report and mitigate the conflict and potential for abuse.

The proposed revisions to the policy state that violations may result in disciplinary action and note how to report potential violations, and that retaliation against persons who report is prohibited.

Each chancellor is responsible for implementing institutional procedures consistent with the policy.

The proposed revisions to RPD 14-8, as recommended by the UW System Task Force on Sexual Violence and Harassment, promote compliance with new and existing requirements established by state and federal laws and the expectations of enforcement agencies.

RELATED POLICIES

UPS Operational Policy GEN 8, "Consensual Relationships"

UPS Operational Policy GEN 28, "Sexual Misconduct"

RPD 14-2, "Sexual Harassment Policy Statement and Implementation"

RPD 14-6, "Discrimination, Harassment, and Retaliation"

ATTACHMENT A

Existing Regent Policy Document 14-8, *Consensual Relationship Policy*

It is in the interest of the University of Wisconsin System to provide clear direction and educational opportunities to the university community about the professional risks associated with consensual romantic and/or sexual relationships where a definite power differential between the parties exists. These relationships are of concern for two primary reasons.

1. **Conflict of Interest:** Conflicts of interest may arise in connection with consensual romantic and/or sexual relationships between faculty or other instructional staff and students, or between supervisors and subordinates. University policy and more general ethical principles preclude individuals from evaluating the work or academic performance of others with whom they have intimate familial relationships, or from making hiring, salary or similar financial decisions concerning such persons. The same principles apply to consensual romantic and/or sexual relationships, and require, at a minimum, that appropriate arrangements be made for objective decision-making with regard to the student, subordinate or prospective employee.
2. **Abuse of Power Differential:** Although conflict of interest issues can be resolved, in a consensual romantic and/or sexual relationship involving a power differential the potential for serious consequences remains. Individuals entering into such relationships must recognize that:
 - a. the reasons for entering such a relationship may be a function of the power differential;
 - b. where power differentials exists, even in a seemingly consensual relationship, there are limited after-the-fact defenses against charges of sexual harassment; and
 - c. the individual with the power in the relationship will bear the burden of accountability.
3. **Guidelines for Implementation:** To make it clear that romantic and/or sexual relationships involving conflict of interest are unacceptable in the University of Wisconsin System and to ensure that members of the university community are alerted to the potential for abuse in power differential relationships, even where conflict of interest issues are resolved, each institution within the University of Wisconsin System shall develop a statement on Consensual Relationships that is consistent with the above.
 - a. The statement shall be developed in consultation with faculty, academic staff and student governing bodies.
 - b. The statement shall be published in faculty and student handbooks and comparable academic staff publications.
 - c. A means of educating instructors, supervisors, and other employees and students on the meaning of the statement shall be provided.
 - d. These guidelines shall be implemented by the end of the academic year 1991-92.

History: Res. 5867 adopted 7/12/91.

ATTACHMENT B
Proposed new RPD 14-8: Consensual Relationships

**Proposed Revision
Regent Policy Document 14-8: “Consensual Relationships”**

Scope

This policy describes the Board of Regents’ expectations with respect to consensual romantic or sexual relationships where a power differential exists. This policy covers all UW System employees, students, and affiliated individuals.

Purpose

The purpose of this policy is to ensure that the employment and academic environment is free from real or perceived conflicts of interest when UW employees, students, and affiliated individuals, in positions of unequal power, are involved in consensual romantic or sexual relationships.

Definitions

1. Consensual Relationships: A consensual relationship refers to any relationship, either past or present, which is romantic, physically intimate, or sexual in nature, and to which the parties consent or consented. This includes marriage.
2. Conflict of Interest: A conflict of interest exists when there is incompatibility between private/personal interests and official/professional responsibilities.
3. Instructor: An instructor includes faculty and academic staff members who serve in instructional roles in relation to students. The instructional context includes: academic instruction, advising, direct or indirect evaluation of a student’s work, research collaboration or assistantships, and coaching.
4. Power Differential: A power differential exists when individuals possess different degrees of power or influence due to their professional or student standing.
5. Employees: Employees include, but are not limited to, administrators, faculty, academic staff, university staff, student staff, graduate assistants, and interns.
6. Students: Students are individuals enrolled in courses at the university, including online.
7. Affiliated Individuals: Affiliated individuals include, but are not limited to, volunteers, vendors, and contractors. In this policy, all references to employees should also be considered references to affiliated individuals.

Policy Statement

It is the policy of the University of Wisconsin System Board of Regents that consensual relationships that might be appropriate in other circumstances are not appropriate when they occur between (1) an employee of the university and a student over whom the employee has or potentially will have supervisory, advisory, evaluative, or other authority or influence, or (2) an employee of the university and another employee over whom the employee has or potentially will have supervisory, advisory, evaluative, or other authority or influence. Even where negative consequences to the participants do not result, such relationships create an environment charged with potential or perceived conflicts of interest and possible use of academic or supervisory leverage to maintain or promote the relationship. Romantic or sexual

relationships that the parties may view as consensual may still raise questions of favoritism, as well as of an exploitative abuse of trust and power.

The following two types of consensual relationships are addressed in this policy: (1) employee with a student; and (2) employee with another employee.

A. Employee with a student:

1. It is a violation of this policy for an instructor to commence a consensual relationship with a student currently under their instruction or whom the instructor reasonably believes in the future may be under the instructor's instruction. If an instructor and a student are already in a consensual relationship when the student comes under the instructor's instruction, then the provisions of A.2. apply.
2. A consensual relationship between (1) an employee, who is not an instructor as defined by this policy, and a student over whom the employee has supervisory, advisory, evaluative, or other authority or influence, or (2) an instructor and a student where the instructor has supervisory, advisory, evaluative, or other authority or influence over the student, and where the instructor and student were already in a consensual relationship prior to the student coming under the instructor's instruction, is a violation of this policy unless:
 - a. The employee immediately reports the relationship to their supervisor/department chair, to the hiring official, or to the administrator who supervises the hiring official; and
 - b. The employee cooperates in actions taken to eliminate any actual or potential conflicts of interest and to mitigate adverse effects on the other party to the relationship.
3. The supervisor or university official who receives the report shall treat the information sensitively and shall promptly:
 - a. Consult with the director of equity/diversity and/or human resources; and
 - b. In cooperation with the director of equity/diversity and/or human resources, eliminate conflicts of interest and mitigate adverse effects on the other party to the relationship, by:
 - i. Documenting the steps taken, providing all parties a copy; and
 - ii. Transferring one of the individuals to another position; and/or
 - iii. Transferring the student into a different class or section; and/or
 - iv. Transferring supervisory, evaluative, academic, or advisory responsibilities; and/or

- v. Securing a source of funding for the student that is not dependent upon the employee with whom the student is in a consensual relationship, if applicable.

B. Employee with another employee:

1. A consensual relationship between an employee and another employee where one employee has supervisory, advisory, evaluative, or other authority or influence over the other employee or where the employee reasonably believes the employee will have supervisory, advisory, evaluative, or other authority or influence over the other employee, is a violation of this policy, unless:
 - a. The employee with the supervisory, advisory, evaluative, or other authority or influence over the other employee immediately reports the relationship to their supervisor/department chair, to the hiring official, or to the administrator who supervises the hiring official; and
 - b. The employee with the supervisory, advisory, evaluative, or other authority or influence over the other employee cooperates in actions taken to eliminate any actual or potential conflicts of interest and to mitigate adverse effects on the other employee.
2. The supervisor or university official who receives the report shall treat the information sensitively and shall promptly:
 - a. Consult with the director of equity/diversity, and/or human resources, and
 - b. In cooperation with the director of equity/diversity and/or human resources, eliminate conflicts of interest and mitigate adverse effects on the other party to the relationship, by:
 - i. Documenting the steps taken, providing all parties a copy; and
 - ii. Transferring supervisory, evaluative, academic, or advisory responsibilities; and/or
 - iii. Securing a source of funding for the employee that is not dependent upon the employee with supervisory, advisory, or evaluative responsibility with whom the employee is in a consensual relationship, if applicable.

C. Violations

It is a violation of this policy for an instructor to commence a consensual relationship with a student currently under their instruction, and may result in disciplinary action against that employee. If an instructor or other employee fails to meet the requirements for disclosing the relationship with a student or another employee, or fails to cooperate in the actions described above, such a failure constitutes a violation of this policy and

may result in disciplinary action taken against that employee. If the employee is also a student, it may also result in disciplinary actions under Chapter UWS 14 and/or 17, Wis. Admin. Code.

To report potential violations of this policy, individuals should contact either the Director of Human Resources or the Title IX Coordinator.

Retaliation against persons who report concerns about potential violations of this policy is prohibited.

Each UW institution shall publish this policy in a location accessible to faculty, staff, students, and the public.

Each institution shall educate faculty, staff, and students on the requirements of the policy.

Oversight, Roles, and Responsibilities

Each chancellor or his or her designee shall be responsible for implementing institutional procedures consistent with this policy.

Related Policies

UPS Operational Policy GEN 8, "Consensual Relationships"
UPS Operational Policy GEN 28, "Sexual Misconduct"
RPD 14-2, "Sexual Harassment Policy Statement and Implementation"
RPD 14-6, "Discrimination, Harassment, and Retaliation"

EDUCATION COMMITTEE

Resolution I.1.k:

That, upon the recommendation of the Chancellor of the University of Wisconsin-Green Bay and the President of the University of Wisconsin System, the Chancellor is authorized to implement the University's Post-Tenure Review Policy.

UW-GREEN BAY POST-TENURE REVIEW POLICY EXECUTIVE SUMMARY

BACKGROUND

UWS 2.02, Wis. Admin. Code (“Faculty Rules: Coverage and Delegation”), requires that rules, policies, and procedures developed by each institution in the UW System pursuant to Chapters UWS 3, 4, 5, 6 and 8 be approved by the Board of Regents prior to taking effect.

On March 10, 2016, the UW System Board of Regents adopted Regent Policy Document (RPD) 20-9, “Periodic Post-Tenure Review in Support of Tenured Faculty Development,” available at <https://www.wisconsin.edu/regents/policies/periodic-post-tenure-review-in-support-of-tenured-faculty-development>). RPD 20-9 states that “[w]ithin nine (9) months of the effective date of this Regent policy each institution shall submit an institutional policy to the Board of Regents. Once the institutional policy has been approved, the chancellor, with the advice and counsel of the faculty, is responsible for implementing the policy and operating the institution consistent with its provisions.”

A memo from Chancellor Miller dated November 15, 2016, requests approval of the UW-Green Bay post-tenure review policy by the Board of Regents; it is attached to this document. The UW System Office of General Counsel and the Office of Academic and Student Affairs reviewed the proposed policy. The UW System President recommends approval of the UW-Green Bay post-tenure review policy.

At its December 2016 meeting, the Education Committee will consider the proposed UW-Green Bay post-tenure review policy for approval.

REQUESTED ACTION

Adoption of Resolution I.1.k, approving the UW-Green Bay Post-Tenure Review Policy.

DISCUSSION

At the UW-Green Bay Faculty Senate meeting held on November 14, 2016, the Senate approved the university’s proposed new Post-Tenure Review Policy. Attached to this document is Appendix A, containing the new UW-Green Bay post-tenure review policy as it would read if approved by the Board of Regents. For comparison, Appendix B contains the former post-tenure review policy, entitled “Guidelines for Tenured Faculty Review and Development,” contained within the 2016 UW-Green Bay Faculty Handbook. These existing guidelines will be replaced in their entirety with the proposed new UW-Green Bay Post-Tenure Review Policy, if approved by the Regents.

RELATED REGENT POLICIES AND LAWS

Chapters UWS 3 and 5, Wis. Admin. Code
Regent Policy Document 20-23

APPENDIX A
Proposed New UW-Green Bay Post-Tenure Review Policy

**Guidelines for Periodic Post-Tenure Review
in Support of Tenured Faculty Development**

(passed by UWGB Faculty Senate on 2016-11-14)

This policy has been created in pursuance of Regent Policy Document 20-9: Periodic Post-Tenure Review in Support of Tenured Faculty Development (adopted 3/10/2016).

I. DEFINITIONS

1. For the purposes of this document, the following definitions are used:
 - a. “Annual review” refers to any review of a faculty member that is carried out annually in accordance with University or System policies.
 - b. “Merit review” refers to the periodic review of a faculty member, carried out by their unit, for the purposes of determining a merit score for compensation increases, when available.
 - c. “Post-tenure review” refers to the review of a tenured faculty member every five years, starting with the fifth academic year following the awarding of tenure.
 - d. “Unit” refers to the primary budgetary unit to which a given faculty member belongs, viz., the unit that holds the budgetary line for the given faculty position.

II. PURPOSE AND PRINCIPLES

1. Post-tenure review shall be a formative process with the goal of continuing to develop and support, to the fullest extent possible, the talents and aspirations of each faculty member. The review shall not infringe on existing faculty rights and protections, including those of academic freedom, as defined by the University of Wisconsin–Green Bay Faculty Handbook. The review shall not be construed as a re-tenuring process.
2. The University should have an appropriately funded faculty development program that is available to all faculty members to support their professional development at any time during their careers. Evaluation of professional development and scholarly and creative activities should take into consideration the available resources and support (e.g, a freeze on travel or a lack of funds for travel or research, etc.).
3. These guidelines are intended to provide a framework and basic procedures for post-tenure review. Each unit is responsible for generating more specific policies, evaluation criteria, etc., consistent with the basic guidelines articulated herein.

III. PROCEDURES

1. Post-tenure review is a separate and distinct process from any annual and merit reviews conducted by a unit. However, the post-tenure review process fulfills any annual review requirement for the year in which it is carried out, and, at the discretion of the unit, a review for merit may happen at the same meeting as the post-tenure review. Moreover, a faculty member seeking promotion to full professor may use

- review and evaluation for promotion to meet the requirements for post-tenure review. The substitution is permissible only when promotion is sought in the same year as, or sooner than, the faculty member's scheduled post-tenure review. An individual receiving a positive recommendation for promotion consideration will be awarded a "meets expectations" status for the post-tenure review and will not be required to undergo another post-tenure review for five years. If the individual receives a negative recommendation for promotion consideration, the executive committee will subsequently vote on the post-tenure review determination as specified in Section III.9 below. A negative recommendation for promotion shall not be construed as a determination that the faculty member "does not meet expectations."
2. Post-tenure review shall be performed every fifth year after the year of the faculty member's promotion to tenure. The review may be deferred upon the request of a faculty member only with the approval of the Provost/Vice Chancellor for Academic Affairs, for unusual circumstances such as when the review would coincide with a sabbatical, other approved leave, promotion review, announced retirement, or an appointment to a full-time administrative position. In such cases, the Provost will specify the new review cycle that applies to the faculty member. As a general rule, a faculty member who assumes a full-time administrative position should have a new five-year review schedule begin upon resumption of normal faculty duties.
 3. The review shall be based upon the faculty member's current activities and the performance of the faculty member since their last post-tenure review, or since gaining tenure (for faculty who are having their first post-tenure review). The updated personnel file of the faculty member shall be used for the documentation of appropriate activities. This file shall contain the following materials, in addition to any other materials required by the relevant unit's policy: updated curriculum vita, Professional Activity Reports for the period under review, a summary of student evaluation data for the period under review, any annual and merit review memos from the period under review, and a one-page statement addressing the three areas of evaluation (see below).
 4. The outcome of the post-tenure review should be consistent with the evaluations of materials from any annual and merit reviews from the same time period while taking into consideration materials from any unreviewed period.
 5. Faculty shall have at least three-month's notice of the intent of a unit to perform their post-tenure review. However, failure to meet this notice requirement does not obviate the requirement to conduct and participate in the review. If notification requirements have not been met, the faculty member may accept a review date with less than three-months notice, or the review may be delayed, so long as the review takes place before the end of the academic year for which the faculty member is due to be reviewed.
 6. Each unit shall develop criteria by which they will evaluate their tenured faculty. The criteria should be based upon the professional obligations of the faculty of the unit. The criteria should: allow for the effective evaluation of the tenured faculty member's performance; be consistent with the mission and expectations of the university and the faculty member's college and unit; and be sufficiently flexible to permit shifts in the faculty member's professional emphasis. All criteria must fall within the following three categories: teaching; scholarly and creative activities; and university and community service. Minimal standards include:

- a. Teaching: Faculty consistently meet all of their classes and hold appropriate office hours (or maintain equivalent engagement with students for online courses); they continually reflect on their teaching and respond to constructive feedback; and they update their course content and pedagogy as appropriate, in light of scholarly and pedagogical developments in their fields.
 - b. Scholarly and Creative Activities: Faculty maintain familiarity with recent developments in their disciplinary field(s) and maintain scholarly or creative engagement, whether through attending conferences, publishing, or otherwise participating in scholarly or creative communities or dialogues.
 - c. Departmental, Institutional, and Community Service: Faculty contribute to departmental, college, university, professional, and community life through participation in committees, panels, forums, projects, etc. While regular participation is expected at the unit and departmental level, contributions to other groups will vary over time, and major commitments in one area (*e.g.*, serving as a committee chair) may compensate for fewer contributions in other areas (*e.g.*, community-level service).
7. Post-tenure reviews will usually occur during the first half of the spring semester. Supporting documentation to be considered during the review should be available to the review committee at least one week before the scheduled review.
 8. The review shall be conducted by the executive committee of the unit, or by a review committee agreed upon by the executive committee, employing procedures to be determined by the unit.
 9. Based upon the materials submitted for review, the review committee should consider whether the faculty member under review has discharged conscientiously and with professional competence the duties appropriately associated with the faculty member's position and then find the member to either meet expectations or not, as follows:
 - a. Meets expectations. This category is awarded to those tenured faculty members whose performance reflects the expected level of accomplishment over the previous five years.
 - b. Does not meet expectations. This designation should be given to those tenured faculty members whose performance reflects a level of accomplishment below the expected level and which requires correction. All reviews resulting in "does not meet expectations," unless overturned upon further review, will result in a remediation plan as described below.
 10. For faculty members who receive the "meets expectations" award:
 - a. The review committee shall produce a written report for each faculty member reviewed. The report should summarize the accomplishments of the faculty member and address how the university can support their professional development goals. The reviewed faculty member shall be given access to the report and shall have the opportunity to provide a written response to the report. The report and any responses to the report shall be provided to the faculty member, their unit chair, and Dean.
 - b. The Dean, upon the full examination of the faculty member's post-tenure review documentation, the report of the review committee, and any statements from the faculty member under review addressing the findings of the review committee,

must either concur with or dissent from the findings of the review committee. If the Dean concurs with the “meets expectations” determination, then the review process is complete, and the Dean shall notify the Provost/Vice Chancellor for Academic Affairs of the outcome.

- c. If the Dean dissents from the “meets expectations” finding of the review committee, then the Dean shall inform the faculty member under review and the review committee in writing of the reasons for this decision, based upon the criteria established under III.6 above. The faculty member and/or the review committee shall have thirty days to submit a response (unless granted an extension by the Dean). The Dean shall forward the case materials and any responses to the Chancellor (or the Chancellor’s designee) for consideration, at which point the review process continues in accordance with III.11.c and subsequent guidelines stated below.
 - d. The faculty member deemed to meet expectations shall be eligible for professional development funds and merit and star salary adjustments during the period leading up to their next post-tenure review, subject to availability of resources.
11. For faculty members who receive the “does not meet expectations” designation:
- a. The review committee shall produce a written report identifying the deficiencies identified in the record that require remediation before a “meets expectations” award can be given. Said report shall specify which of the three categories (teaching, scholarship and creative activity, and/or university and community service) needs improvement for the faculty member to be recognized as meeting expectations. The faculty member will be given the opportunity to provide the review committee with a written statement addressing the findings of the review committee. (The faculty member’s response shall be submitted within thirty days, unless an extension is granted by the Dean.) The report, along with any statements by the faculty member under review, shall be forwarded to their unit chair and Dean.
 - b. The Dean, upon the full examination of the faculty member’s post-tenure review documentation, the report of the review committee, and any statements from the faculty member under review addressing the findings of the review committee, must either concur with or dissent from the findings of the review committee and forward the case to the Chancellor (or the Chancellor’s designee) for consideration.
 - c. The Chancellor (or designee) may, upon review of the case, inform the faculty member that a finding of “meets expectation” has been awarded to the faculty member or may identify which deficiencies must be addressed in a remediation plan.
 - d. Upon the request of the Chancellor (or designee) to develop a remediation plan, the faculty member, in consultation with their Dean, will develop a plan to address the deficiencies identified by the Chancellor (or designee).
 - i. The primary focus of the remediation plan shall be developmental and to provide the faculty member with appropriate support from the unit, department, or Dean as applicable.

- ii. The plan will contain one or more specific measureable achievements for each deficiency identified by the chancellor or designee. The plan will specify what array of achievements will constitute the completion of the plan.
- iii. The timeline for the completion of the plan should not be more than three consecutive semesters (not including summer terms) starting at the beginning of the semester after the chancellor or designee has requested a remediation plan. In remediation plans related to a performance shortfall in research, where more than three academic semesters may be necessary to correct identified deficiencies, an extension of one academic semester shall be permitted only with the approval of the Chancellor, which shall trigger a notification of that extension to the UW System Administration Vice President for Academic and Student Affairs.
- iv. The remediation plan should indicate that: 1) progress meetings will be scheduled with the Dean, the chair, and the faculty member near the conclusion of each semester during which the plan is in effect in order to help determine progress and identify additional improvement resources that may aid the faculty member; and 2) a final remediation follow-up meeting will occur between the Dean, the chair, and the faculty member after the deadline, but before the start of the next academic semester, and not to exceed 21 calendar days past the deadline (e.g., if three semesters are provided, within 21 calendar days of the close of the third semester to allow for student evaluations to be accessed, etc.). At the meeting, the Dean will consult with the faculty member and the chair about the evidence indicating that the faculty member has met or not met the obligations of the remediation plan. The Dean may request additional evidence from the unit, the faculty member, and other sources (such as a publisher) prior to or following the meeting.
- v. The faculty member is also advised to consult with the Secretary of the Faculty and Staff (SOFAS), as University Ombudsperson, throughout the remediation period.
- vi. The faculty member may submit to the Dean evidence of the completion of the remediation plan at any time during the timeline of the remediation plan. Upon review of this material and following the remediation follow-up meeting described in III.11.d.iv above, the Dean may:
 - 1. deem the remediation plan to be completed and restore the faculty member to a status of “meets expectations.”
 - 2. deem the evidence to be insufficient to constitute the completion of the remediation plan and provide the faculty member with specific reasons for this determination.
- vii. If the remediation plan is not completed to the satisfaction of the Dean by the end of its timeline, the Dean may file a complaint against the faculty member to the Chancellor regarding the faculty member’s failure to meet the expectations of their employment. Upon review of the complaint, the Chancellor, after consulting with the Dean, shall determine whether sanctions are necessary and, if so, shall pursue the appropriate sanctions,

in compliance with UWGB 6.01 (for disciplinary action) or UWGB Chapter 4 (for dismissal).

- viii. Faculty members who are completing a remediation plan, or who have been found to have not met the conditions of a remediation plan, are not eligible for merit-based pay increases. After the faculty member is restored to “meets expectations” status, the faculty member is once again eligible for merit pay, but retroactive pay cannot be awarded.
12. A full written record of each faculty member’s post-tenure review shall be provided to the Dean and Chancellor (or designee). Information and documentation relating to the review shall be maintained by the Dean and disclosed only at the discretion, or with the explicit consent, of the faculty member, unless required by business necessity or by law.
13. Each unit chair is required to report annually to the Dean and Chancellor (or designee) that all post-tenure reviews for tenured faculty in their annual cycle have been completed. The Chancellor (or designee) has responsibility for ensuring the reviews are completed on schedule.
14. The reviews conducted and remediation plans developed in accordance with this policy are not subjected to the grievance process set forth in Chapter UWS 6.02, Wis. Admin. Code.

APPENDIX B
UW-Green Bay Existing Post-Tenure Review Policy

~~Guidelines for Tenured Faculty Review and Development~~

~~BASIC PRINCIPLES GUIDING TENURED FACULTY REVIEW AND DEVELOPMENT AT
UW-GREEN BAY~~

- ~~1. The review should be a formative process with the goal of continuing to develop and support, to the fullest extent possible, the talents and aspirations of each faculty member.~~
- ~~2. The review of performance will be based, in part, on a professional development proposal which the faculty member has prepared in concert with the unit. This proposal will be compatible with the mission and goals of the institution, and with those of the unit and programs with which the faculty is affiliated, and be consistent with available resources.~~
- ~~3. Reviews are conducted in the unit, employing procedures to be determined by the unit. The results are shared with the appropriate Dean(s).~~
- ~~4. The review will take place on a regular schedule to be determined by the unit.~~
- ~~5. If the review determines that the faculty member is not effectively pursuing the professional development proposal agreed to by the faculty member and the unit, the faculty member and the unit will develop a plan designed to assist the faculty member in doing so.~~
- ~~6. The tenured faculty review and development process is not a retenuring process and, therefore, does not invoke continuation or loss of tenure as an outcome of the process.~~

~~PROCEDURES~~

~~A. Responsibility for the Review~~

- ~~1. The review may be conducted as part of the existing merit review process or as a special review of tenured faculty by either the unit executive committee or by a review committee agreed to by the executive committee.~~
- ~~2. For faculty holding appointments in more than one unit, the review will be the responsibility of the unit in which tenure is held.~~

~~B. The Faculty Member's Professional Development Proposal~~

~~A distinguishing characteristic of the review process is the preparation by each faculty member of a statement setting forth his or her objectives for professional development, including teaching, scholarship, outreach and service. This professional development proposal should be a flexible document, subject to change as conditions change.~~

~~Together with institutional and unit goals and priorities, it will serve as a focal point for the review.~~

- ~~1. The professional development proposal shall be prepared or revised at least every five years by the faculty member in negotiation with the executive committee of the unit. Negotiations with the executive committee may take place in the context of existing merit reviews.~~
- ~~2. The professional development proposal should be prepared in the context of unit and program mission, needs, and resources.~~
- ~~3. The current professional development proposal will be part of the faculty member's official merit and promotion file.~~

C. Conduct of the Review

- ~~1. Regent Policy requires a review at least once every five years. Within that requirement, units may schedule such reviews on a timetable allowing the most effective and efficient assessment of professional performance, including consideration as an element of regularly scheduled merit reviews or reviews for promotion to Full Professor.~~
- ~~2. It is the intent of this document that the review shall include discussion with the faculty member.~~
- ~~3. The review will be prospective as well as retrospective with the faculty member encouraged to present his or her plans and priorities for upcoming years as well as accomplishments since the preceding review. In addition to the professional development proposal, documentation for the review will include all materials prepared for merit reviews and promotions since the previous review.~~
- ~~4. Units will provide an assessment of the faculty member's professional development proposal and accomplishments and, if specific needs for improvement are identified, a plan for this purpose will be developed jointly by the faculty member and the unit executive committee.~~
- ~~5. A summary of the review will be sent to the faculty member and to the appropriate Dean(s), and a copy will be submitted to the faculty member's official merit and promotion file. The faculty member may wish to make a written response to the review summary. The response will be included with the review summary before it is submitted to the dean and to the file.~~

D. Official Record of the Reviews

~~As with other faculty reviews, official record of each review is held in the permanent files maintained by the Secretary of the Faculty and Staff.~~

E. Oversight of the Process

1. ~~Monitoring the tenured faculty review and development process is the responsibility of the Provost/Vice Chancellor in conjunction with the University Committee.~~
2. ~~This document is subject to review every two years or as deemed necessary by the faculty or the administration. Meeting jointly, the Personnel Council and the Committee of Six will review the document and submit the results including any recommendations for change to the University Committee and the Provost/Vice Chancellor.~~

UWGB Faculty Senate Approved 19 May 1993



Office of the Vice President

NOV 21 2016


Academic & Student Affairs

November 15, 2016

GARY L. MILLER
Chancellor

MEMORANDUM

TO: James P. Henderson, Vice President for Academic and Student Affairs

FROM: Gary L. Miller, Chancellor 

SUBJECT: **CHANGES TO UW-GREEN BAY FACULTY CODIFICATION**

It is my pleasure to submit for your consideration "Guidelines for Periodic Post-Tenure Review in Support of Tenured Faculty Development." This policy has been created in pursuance of Regent Policy Document 20-9: Periodic Post-Tenure Review in Support of Tenured Faculty Development (adopted 3/10/2016).

In the following pages of this document, I have attached the current Post Tenure Review Policy ("Guidelines for Tenured Faculty Review and Development"), found on pages 103-105 of the 2016 UW-Green Bay Faculty Handbook. It is our intention to replace the "Guidelines for Tenured Faculty Review and Development" in its entirety (hence the strike-through of the entire policy) with the recently approved "Guidelines for Periodic Post-Tenure Review in Support of Tenured Faculty Development" document based on Regent Policy Document 20-9.

I ask that these proposed changes be brought to the Board of Regents for review, approval, and immediate implementation.

Thank you.

Enclosure

c: Steve Meyer, Secretary of the Faculty and Staff

I N N O V A T I O N T R A N S F O R M A T I O N P L A C E

2420 NICOLET DRIVE • GREEN BAY, WISCONSIN 54311-7001 • 920-465-2207 • FAX 920-465-2192 • millerg@uwgb.edu

EDUCATION COMMITTEE

Resolution I.1.1:

That, upon the recommendation of the Chancellor of the University of Wisconsin-River Falls and the President of the University of Wisconsin System, the Chancellor is authorized to implement the University's Post-Tenure Review Policy.

UW-RIVER FALLS POST-TENURE REVIEW POLICY EXECUTIVE SUMMARY

BACKGROUND

UWS 2.02, Wis. Admin. Code (“Faculty Rules: Coverage and Delegation”), requires that rules, policies, and procedures developed by each institution in the UW System pursuant to Chapters UWS 3, 4, 5, 6 and 8 be approved by the Board of Regents prior to taking effect.

On March 10, 2016, the UW System Board of Regents adopted Regent Policy Document (RPD) 20-9, "Periodic Post-Tenure Review in Support of Tenured Faculty Development," available at <https://www.wisconsin.edu/regents/policies/periodic-post-tenure-review-in-support-of-tenured-faculty-development>). RPD 20-9 states that “[w]ithin nine (9) months of the effective date of this Regent policy each institution shall submit an institutional policy to the Board of Regents. Once the institutional policy has been approved, the chancellor, with the advice and counsel of the faculty, is responsible for implementing the policy and operating the institution consistent with its provisions.”

A memo from Chancellor Van Galen dated November 22, 2016, requests approval of the UW-River Falls post-tenure review policy by the Board of Regents; it is attached to this document. The UW System Office of General Counsel and the Office for Academic and Student Affairs reviewed the proposed policy. The UW System President recommends approval of the UW-River Falls post-tenure review policy.

At its December 2016 meeting, the Education Committee will consider the proposed UW-River Falls post-tenure review policy for approval.

REQUESTED ACTION

Adoption of Resolution I.1.1, approving the UW-River Falls Post-Tenure Review Policy.

DISCUSSION

On November 16, 2016, the UW-River Falls Faculty Senate approved the university’s new post-tenure review policy. Further attached to this document is Appendix A, containing the new UW-River Falls post-tenure review policy as it would read if approved by the Board of Regents. For comparison, Appendix B contains the former post-tenure review policy presented as a complete strikeout.

RELATED REGENT POLICIES AND LAWS

Chapters UWS 3 and 5, Wis. Admin. Code
Regent Policy Document 20-23

APPENDIX A
New UW-River Falls Post-Tenure Review Policy
UNIVERSITY OF WISCONSIN – River Falls
Faculty and Staff Handbook

Chapter IV: Faculty Personnel Rules and Procedures of UW-River Falls

4.5 Periodic Review-Faculty Personnel Rules

Post tenure review of tenured faculty members is essential to promoting faculty development, including recognizing innovation and creativity; enhancing the educational environment for students; and identifying and readdressing deficiencies in overall performance of duties through a supportive and developmental remediation process.

To support the developmental role of post-tenure reviews, the Faculty Senate and/or each College will identify and maintain a list of opportunities available to all faculty.

Post tenure reviews do not infringe on existing faculty rights and protections, including those of academic freedom, as noted in the Faculty Handbook, by the UW System Board of Regents, or the UW System Policies.

Post tenure reviews are separate and distinct from more frequent reviews of tenured faculty as noted in 4.5.1 [course evaluations, peer evaluations, or other reviews as determined by the Department or College]

Post tenure reviews and remediation plans are not subject to the grievance process set forth in Chapter UWS 6.02, Wis. Admin. Code. This policy adaptation is a directive from UW System.

4.5.1 Post-tenure Review of Professional Activities of Faculty

The post tenure review period begins in the academic year following the granting of tenure. Every five years the professional activities of tenured faculty will be reviewed to inform each faculty member of his or her performance. The review may be conducted simultaneously with merit review or with promotion review. For the purpose of this review the criteria used are those found in the Faculty and Staff Handbook under Section 4.3.2.1c [1, 2, and 3], the appropriate department's criteria and expectations, and additional College criteria and expectations. The criteria used in the review must fall within the three categories of teaching, scholarship/research/creative activities and service as stated in RPD 20-9(6). Such department and college statements are to be communicated to faculty in writing and be on file in the Office of the Provost and Vice Chancellor for Academic Affairs.

The post-tenure review may be deferred, only with the approval of the Provost, for unusual circumstances such as when it may coincide with an approved leave or other appointment. In such cases, the Provost will specify the new review cycle that applies to the faculty member.

4.5.2 Conducting the Review

The departmental academic unit will determine whether a committee of tenured faculty or the Chair will conduct the review. The reviewers must not have a lower academic rank than the person being reviewed. In the case of a tie, the Dean will be consulted. The reviewer(s) shall:

- a. Review the teaching portfolio, the personal reflective statement (see Section 4.3.2.3 above) and other pertinent data submitted by the faculty member. The faculty member has primary responsibility for assembling the data for review. The faculty member will include an inventory of the data submitted, and the Chair will verify the inventory contents. The faculty member is responsible for promptly submitting the information for his or her review. The reviewer(s) will prepare a summary of their findings.

The summary of the reviewer[s] findings must reflect the overall results of the review by determining the category that reflects the faculty member's professional competency and their discharging of the duties associated with the faculty member's position.

- "Exceeds Expectations:" Performance reflects a significant level of accomplishment beyond what is expected by the faculty member's department.
 - "Meets Expectations:" Performance reflects the expectations of accomplishment established by the faculty member's department.
 - "Does Not Meet Expectations:" Performance reflects a level of accomplishment below the expected level established by the faculty member's department and which requires correction.
- b. Discuss with the faculty member his or her performance in continuing to meet the criteria under Section 4.3.2.1.c. Following this discussion the reviewer(s) will prepare a final summary of findings and recommendations, which will be signed by the chair and any other reviewers and by the faculty member reviewed to acknowledge that the review was completed.
 - c. Enter into the faculty member's departmental professional file the inventory, the final summary report, and any other pertinent information used in the review. The faculty member reviewed will be given a copy of the final summary report. The faculty member may provide a written response to the report. The summary report will be provided to the appropriate academic Dean. The Dean shall provide an administrative review of the final summary report. In the event the Dean changes the performance rating, that Dean shall provide in writing credible rationale and evidence for the change in performance rating. All changes made at this administrative review level, and their accompanying rationale and evidence, shall be reported to the faculty member, the reviewer(s), the Provost, and the Chancellor, within one week of the Dean's receipt of the final summary report. Regardless of the outcome of an administrative review, the summary report needs to be provided to the Dean and Provost next. The Deans will keep a record of the number of tenured faculty who meet expectations, exceed expectations, or fail to meet expectations and will report those numbers to the Provost, who will report the aggregated numbers to the Faculty Senate each May.
 - d. If the faculty member's performance is deemed to "exceed expectations,"

- The Department Chair will recommend to the Dean an appropriate recognition for achieving an “exceeds expectations.”
 - Recognition should be significant, up to and including an adjustment to base pay.
 - If approved by the Dean, the recommendation will be forwarded to the Provost.
- e. If the faculty member’s performance is deemed to “meet expectations,”
- The Department Chair will recommend to the Dean an appropriate recognition for achieving a “meets expectations.”
 - Recognition may be in the form of a one-time additional compensation, reassigned time for professional development, or another appropriate recognition.
 - If approved by the Dean, the recommendation will be forwarded to the Provost.
- f. If the faculty member's review [4.5.2.c] reveals a “does not meet expectations,” the chair will report this in writing, to the academic Dean for review. Following the Dean’s review the report will be submitted to the Provost and Vice Chancellor for Academic Affairs for review. The faculty member may provide a written statement to accompany these reviews. Following the Provost and Vice Chancellor for Academic Affairs’ review, the faculty member will be informed by the Provost and Vice Chancellor for Academic Affairs that the faculty member has received a revised result of at least a “meets expectations,” or that a remediation plan will be developed.

The Dean and the faculty member, in consultation with the Chair, will develop the remediation plan according to RPD 20-9(12)(c).

- The primary focus of the remediation plan shall be developmental and provide the faculty member with appropriate support from the Department or Dean as applicable.
- The remediation plan must identify the criteria that will be used to show that the faculty member has satisfied the expectations of the remediation plan.
 - The remediation plan must contain explicit narrative that identifies how all deficiencies will be satisfied.
 - The remediation plan must contain a timeline for each deficiency identified.
 - The timeline must identify progress checkpoints and required documentation of progress [e.g. scholarly work, teaching evaluations, etc.].
 - The timeline must reflect scheduled meetings with the Dean, Department Chair and/or other peer mentors identified in the remediation plan chosen by the faculty member under remediation.
- The Provost and Vice Chancellor for Academic Affairs shall assist the Dean to find resources to fund such a plan. This plan may include, but is not limited to, additional coursework, referral to the Employee Assistance Program, participation in professional meetings in the discipline, and/or appointment of a peer mentor.
 - Resources should not be removed from existing faculty development programs for programs

to remedy deficiencies.

- All elements of the remediation plan must be satisfied within a reasonable time period, commensurate with the identified deficiencies as determined by the Dean. The time period may not exceed three academic semesters with the following exception:
 - If a performance shortfall is related to research where more than three academic semesters may be necessary to correct the identified deficiencies, an extension of one academic semester shall be permitted only with the permission of the Provost and Vice Chancellor of Academic Affairs. Notification of the extension will be submitted to the UW System Administration Vice President for Academic and Student Affairs.
- If the faculty member successfully fulfills the remediation plan, the Dean will notify the Provost and the faculty member.
- If the faculty member fails to meet the expectations established in the remediation plan:
 - If the recommendation is not approved or if the additional time fails to achieve at least a “meets expectations” in all of the deficiencies, the Dean will follow the existing complaint process and will take disciplinary action as appropriate up to and including dismissal for cause under UWS Chapter 4.
 - The faculty member may provide a written statement to accompany these actions.
- Unless noted elsewhere in this section, all information related to the post-tenure review and remediation plans, if relevant, will be disclosed only at the discretion, or with the explicit consent, of the faculty member, unless required by business necessity or by law.

4.5.3 Challenging the Review

4.5.3.1 Procedures: Post-tenure Review

- a. Names of faculty members subject to post-tenure review are forwarded to heads of academic units no later than May 1 of the academic year preceding review.
- b. Head of academic unit notifies faculty member no later than May 15 of the academic year preceding review.
- c. Department sets post-tenure review dates and decides whether post-tenure review will be conducted by the Chair or by committee no later than September 30.
- d. Selection of committee, if necessary, is completed by October 15.
- e. Head of academic unit notifies faculty member and post-tenure review committee (if committee option is in effect) of review dates by October 30.
- f. Faculty member compiles portfolio and other pertinent data of previous five years' contributions no later than January 30.

- g. Chair or committee reviews portfolio during one-week review period between January 30 and April 15. (Post-tenure review dates set by Department no later than September 30 - see (c) above.)
- h. Chair or committee meets with faculty member to discuss performance. Following this meeting, final written summary of findings and recommendations is prepared and signed, with faculty member receiving copy of post-tenure review report no later than two weeks after post-tenure review period. (Post-tenure review dates set by department no later than September 30 - see (c) above.)
- i. Post-tenure review report is forwarded to Dean for review by one week after the faculty member receives a copy of the post-tenure review report.
- j. Dean forwards post-tenure review report and any response to the Provost and Vice Chancellor for Academic Affairs by one week after post-tenure review report forwarded to Dean.
- k. Within one week of receiving a “does not meet expectations” recommendation, the Provost and Vice Chancellor for Academic Affairs will inform the Dean and faculty member that the faculty member has received a revised result of at least a “meets expectation” or that a remediation plan will be developed.
- l. Within one month of receiving notification that a remediation plan will need to be developed, the Dean, Department Chair, and faculty member will develop a remediation plan.
- m. Each Department Chair must report annually to the Dean that all post-tenure reviews for tenured faculty in that annual cycle have been completed. The Provost and Vice Chancellor for Academic Affairs is responsible for ensuring that reviews are completed on schedule.

4.5.3.2 Table: Post-tenure Review Calendar

Action	Date
Names forwarded to heads of academic units	By May 1 of the academic year preceding review
Head of academic unit notifies faculty member	By May 15 of the academic year preceding review
Department sets post-tenure review dates and method	By September 30
Selection of committee, if necessary	By October 15
Head of academic unit notifies faculty member and committee of review dates	By October 30
Faculty member completes portfolio	By January 30

Chair or committee reviews portfolio

One-week review period between January 30 and April 15

Chair or committee member meets with faculty member and final summary is sent to faculty member

No later than two weeks after the post-tenure review period

Post-tenure review report forwarded to Dean

By one week after meeting with faculty member

Dean conducts administrative review and forwards report and any response or change in rating and accompanying rationale and evidence to the Provost and Vice Chancellor for Academic Affairs

By one week after post-tenure review report is forwarded to Dean. If "meets" or "exceeds" is recommended, the procedure stops here for Chairs and Committees

Provost and Vice Chancellor for Academic Affairs review reports. For those that "do not meet expectations" the Dean will be notified that a remediation plan needs to be developed

By one week after post-tenure review report is forwarded to the Provost if it does not "meet" or "exceed" expectations

Dean, Department Chair and faculty member develops a remediation plan to address deficiencies

By one month after notification is received from the Provost and Vice Chancellor for Academic Affairs

Dean notifies faculty member in writing that the remediation plan has not addressed all of the deficiencies

By one week after the ending date of the remediation plan

If appropriate, the Dean requests in writing that the Chancellor extends the remediation completion date. A revised remediation plan must accompany the request

By one month after a negative notification, the result is received from the Dean

The Chancellor accepts/rejects the request for an extension of the remediation plan to a fourth academic semester RPD 20-9(1) (c) (ii)

Within one week of receiving the written request

The Dean makes a written recommendation for discipline for faculty members who fail to address all deficiencies noted in the post-tenure review

To the appropriate Senate Committee and Provost within one month of the non-fulfillment of the remediation plan

Faculty and Staff Handbook

25th Edition, 2015-16 Version UNIVERSITY OF WISCONSIN – River Falls

Faculty and Staff Handbook

Chapter IV: Faculty Personnel Rules and Procedures of UW-River Falls

4.5 Periodic Review-Faculty Personnel Rules

Post tenure review of tenured faculty members is essential to promoting faculty development, including recognizing innovation and creativity; enhancing the educational environment for students; and identifying and readdressing deficiencies in overall performance of duties through a supportive and developmental remediation process.

To support the developmental role of post-tenure reviews, the Faculty Senate and/or each College will identify and maintain a list of opportunities available to all faculty.

Post tenure reviews do not infringe on existing faculty rights and protections, including those of academic freedom, as noted in the Faculty Handbook, by the UW System Board of Regents, or the UW System Policies.

Post tenure reviews are separate and distinct from more frequent reviews of tenured faculty as noted in

4.5.1 [course evaluations, peer evaluations, or other reviews as determined by the Department or College]

Post tenure reviews and remediation plans are not subject to the grievance process set forth in Chapter UWS 6.02, Wis. Admin. Code. This policy adaptation is a directive from UW System.

4.5.1 Post-tenure Review of Professional Activities of Faculty

UW-River Falls

At least once everyThe post tenure review period begins in the academic year following the granting of tenure. Every five years the professional activities of tenured faculty will be reviewed to inform each faculty member –of his or her performance. The review may

be conducted simultaneously with merit review or with promotion review. For the purpose of this review the criteria used are those found in the Faculty and Staff Handbook under Section 4.3.2.1c and the appropriate department's statement applying these criteria to the department mission, such statement to [1, 2, and 3], the appropriate department's criteria and expectations, and additional College criteria and expectations. The criteria used in the review must fall within the three categories of teaching, scholarship/research/creative activities and service as stated in RPD 20-9(6). Such department and college statements are to be communicated to faculty in writing and be on file in the Office of the Provost and Vice Chancellor for Academic Affairs.

The post-tenure review may be deferred, only with the approval of the Provost, for unusual circumstances such as when it may coincide with an approved leave or other appointment. In such cases, the Provost will specify the new review cycle that applies to the faculty member.

4.5.2 Conducting the Review

The departmental academic unit will determine whether a committee of its tenured faculty or the chair/Chair will conduct the review. The reviewers must not have a lower academic rank than the person being reviewed. In the case of a tie, the Dean will be consulted. The reviewer(s) shall:

- a. Review the teaching portfolio, the personal reflective statement (see Section 4.3.2.3 above) and other pertinent data submitted by the faculty member. The faculty member has primary responsibility for assembling the data for review. The faculty member will include an inventory of the data submitted, and the chair/Chair will verify the inventory contents. The faculty member is responsible for promptly submitting the information for his or her review. The reviewer(s) will prepare a summary of their findings.

The summary of the reviewer[s] findings must reflect the overall results of the review by determining the category that reflects the faculty member's professional competency and their discharging of the duties associated with the faculty member's position.

- "Exceeds Expectations:" Performance reflects a significant level of accomplishment beyond what is expected by the faculty member's department.
- "Meets Expectations:" Performance reflects the expectations of

accomplishment established by the faculty member's department.

- "Does Not Meet Expectations:" Performance reflects a level of accomplishment below the expected level established by the faculty member's department and which requires correction.

b. Discuss with the faculty member his or her performance in continuing to meet the criteria under Section-

b. 4.3.2.4e1.c. Following this discussion the reviewer(s) will prepare a final summary of findings and recommendations, which will be signed by the chair and any other reviewers, and by the faculty member reviewed to acknowledge that the review was completed.

c. Enter into the faculty member's departmental professional file the inventory, the final summary report, and any other pertinent information used in the review. The faculty member reviewed will be given a copy of the final summary report. If the faculty member's performance is deemed outstanding, a copy of the report shall be entered into the peer merit file as evidence to support a high merit ranking, and the chair shall consider the faculty member in the recommendations to the Dean for special merit awards. The faculty member may provide a written response to the report. The summary report will be provided to the appropriate academic Dean. The Dean shall provide an administrative review of the final summary report. In the event the Dean changes the performance rating, that Dean shall provide in writing credible rationale and evidence for the change in performance rating. All changes made at this administrative review level, and their accompanying rationale and evidence, shall be reported to the faculty member, the reviewer(s), the Provost, and the Chancellor, within one week of the Dean's receipt of the final summary report. Regardless of the outcome of an administrative review, the summary report needs to be provided to the Dean and Provost next. The Deans will keep a record of the number of tenured faculty who meet expectations, exceed expectations, or fail to meet expectations and will report those numbers to the Provost, who will report the aggregated numbers to the Faculty Senate each May.

d. If the faculty member's performance is deemed to "exceed expectations,"

- The Department Chair will recommend to the Dean an appropriate recognition for achieving an "exceeds expectations."
- Recognition should be significant, up to and including an adjustment to base pay.
- If approved by the Dean, the recommendation will be forwarded to the Provost.

e. If the faculty member's performance is deemed to "meet expectations,"

- The Department Chair will recommend to the Dean an appropriate recognition for achieving a "meets expectations."
- Recognition may be in the form of a one-time additional compensation, reassigned time for professional development, or another appropriate recognition.
- If approved by the Dean, the recommendation will be forwarded to the Provost.

f. If the faculty member's review [4.5.2.c] reveals a need for significant improvement in performance, "does not meet expectations," the chair will report such this in writing, to the academic Dean. The Dean and the chair, in consultation with the faculty member, will recommend a retraining or redevelopment program for review. Following the Dean's review the report will be submitted to the Provost and Vice Chancellor for Academic Affairs, who for review. The faculty member may provide a written statement to accompany these reviews. Following the Provost and Vice Chancellor for Academic Affairs' review, the faculty member will be informed by the Provost and Vice Chancellor for Academic Affairs that the faculty member has received a revised result of at least a "meets expectations," or that a remediation plan will be developed.

The Dean and the faculty member, in consultation with the Chair, will develop the remediation plan according to RPD 20-9(12)(c).

- The primary focus of the remediation plan shall be developmental and provide the faculty member with appropriate support from the Department or Dean as applicable.
- The remediation plan must identify the criteria that will be used to show that the faculty member has satisfied the expectations of the remediation plan.
 - The remediation plan must contain explicit narrative that identifies how all deficiencies will be satisfied.
 - The remediation plan must contain a timeline for each deficiency identified.
 - The timeline must identify progress checkpoints and required documentation of progress [e.g. scholarly work, teaching evaluations, etc.].
 - The timeline must reflect scheduled meetings with the Dean, Department Chair and/or other peer mentors identified in the remediation plan chosen

by the faculty member under remediation.

- The Provost and Vice Chancellor for Academic Affairs shall assist the Dean to find resources to fund such a program plan. This program plan may include, but is not limited to, additional coursework, referral to the Employee Assistance Program, participation in professional meetings in the discipline, and/or appointment of a peer mentor.

- Resources should not be removed from existing faculty development programs for programs to remedy deficiencies.

- All elements of the remediation plan must be satisfied within a reasonable time period, commensurate with the identified deficiencies as determined by the Dean. The time period may not exceed three academic semesters with the following exception:

- If a performance shortfall is related to research where more than three academic semesters may be necessary to correct the identified deficiencies, an extension of one academic semester shall be permitted only with the permission of the Provost and Vice Chancellor of Academic Affairs. Notification of the extension will be submitted to the UW System Administration Vice President for Academic and Student Affairs.

- If the faculty member successfully fulfills the remediation plan, the Dean will notify the Provost and the faculty member.

- If the faculty member fails to meet the expectations established in the remediation plan:

- If the recommendation is not approved or if the additional time fails to achieve at least a "meets expectations" in all of the deficiencies, the Dean will follow the existing complaint process and will take disciplinary action as appropriate up to and including dismissal for cause under UWS Chapter 4.

- The faculty member may provide a written statement to accompany these actions.

- Unless noted elsewhere in this section, all information related to the post-tenure review and remediation plans, if relevant, will be disclosed only at the discretion, or with the explicit consent, of the faculty member, unless required by business

necessity or by law.

4.5.3 Challenging the Review

~~The faculty member may challenge the summary report before the reviewer(s) and/or before the tenured faculty of his or her department. Subsequently, the faculty member may take the matter to the University Faculty Hearing, Grievance, and Appeals Committee.~~

4.5.3.1 Procedures: Post-tenure Review ~~Timeline~~

- a. Names of faculty members subject to post-tenure review are forwarded to heads of academic units no later than May 1 of the academic year preceding review.
- b. Head of academic unit notifies faculty member no later than May 15 of the academic year preceding review.
- c. Department sets post-tenure review dates and decides whether post-tenure review will be conducted by the ~~chair~~Chair or by committee no later than September 30.
- d. Selection of committee, if necessary, is completed by October 15.
- e. Head of academic unit notifies faculty member and post-tenure review committee (if committee option is in effect) of review dates by October 30.
- f. Faculty member compiles portfolio and other pertinent data of previous five years' years' contributions no later than January 30.
- g. Chair or committee reviews portfolio during one-week review period between January 30 and April-
15. (Post-tenure review dates set by ~~department~~Department no later than September 30 - see (c) above.)
- h. Chair or committee meets with faculty member to discuss performance. Following this meeting, final written summary of findings and recommendations is prepared and signed, with faculty member receiving copy of post-tenure review report no later than two weeks after post-tenure review period. (Post-tenure review dates set by department no later than September 30 - see (c) above.)
- i. Post-tenure review report is forwarded to Dean for review by one week week after ~~meeting with~~the faculty member receives a copy of the post-tenure review report.
- j. Dean forwards post-tenure review report and any response to the Provost

Provost and Vice Chancellor for Academic Affairs by one week after post-tenure review report forwarded to Dean.

- k. Within one week of receiving a “does not meet expectations” recommendation, the Provost and Vice Chancellor for Academic Affairs will inform the Dean and faculty member that the faculty member has received a revised result of at least a “meets expectation” or that a remediation plan will be developed.
- l. Within one month of receiving notification that a remediation plan will need to be developed, the Dean, Department Chair, and faculty member will develop a remediation plan.
- m. Each Department Chair must report annually to the Dean that all post-tenure reviews for tenured faculty in that annual cycle have been completed. The Provost and Vice Chancellor for Academic Affairs is responsible for ensuring that reviews are completed on schedule.

4.5.3.2 Table: -Post-tenure Review Calendar

Action	Date
Names forwarded to heads of academic units	By May 1 of the academic year preceding <u>preceding</u> review
Head of academic unit notifies faculty member	By May 15 of the academic year preceding review
Department sets post-tenure review dates and method	By September 30
Selection of committee, if necessary	By October 15
Head of Academic <u>academic</u> unit notifies faculty member and committee of review dates	By October 30
Faculty member completes portfolio	By January 30

Chair or committee reviews portfolio	One-week review period between January 30 and April 15
Chair or committee member meets with faculty member and final summary is submitted sent to faculty member	No later than two weeks after the post-tenure review period
Post-tenure review report forwarded to Dean	By one week after meeting with faculty member
Dean <u>conducts administrative review and</u> forwards report and any response <u>or change in rating and accompanying rationale and evidence</u> to the Provost and Vice Chancellor for Academic Affairs	By one week after post-tenure review report is forwarded to Dean. <u>If “meets” or “exceeds” is recommended, the procedure stops here for Chairs and Committees</u>
<u>Provost and Vice Chancellor for Academic Affairs review reports. For those that “do not meet expectations” the Dean will be notified that a remediation plan needs to be developed</u>	<u>By one week after post-tenure review report is forwarded to the Provost if it does not “meet” or “exceed” expectations</u>
<u>Dean, Department Chair and faculty member develops a remediation plan to address deficiencies</u>	<u>By one month after notification is received from the Provost and Vice Chancellor for Academic Affairs</u>
<u>Dean notifies faculty member in writing that the remediation plan has not addressed all of the deficiencies</u>	<u>By one week after the ending date of the remediation plan</u>
<u>If appropriate, the Dean requests in writing that the Chancellor extends the remediation completion date. A revised remediation plan must accompany the request</u>	<u>By one month after a negative notification, the result is received from the Dean</u>
<u>The Chancellor accepts/rejects the request for an extension of the remediation plan to a fourth academic semester RPD 20-9(1) (c) (ii)</u>	<u>Within one week of receiving the written request</u>

The Dean makes a written recommendation for discipline for faculty members who fail to address all deficiencies noted in the post-tenure review

To the appropriate Senate Committee and Provost within one month of the non-fulfillment of the remediation plan

~~If significant improvement in performance is needed, the faculty member, the chair, the Dean and the Provost and Vice Chancellor for Academic Affairs confer to draft an appropriate retraining or development program. Resources should not be removed from existing faculty development programs for programs to remedy deficiencies.~~



NOV 22 2016

November 17, 2016

OFFICE OF THE CHANCELLOR

Dear Regent President Regina Millner and President Ray Cross,

On March 2, 2016, the UW-River Falls Faculty Senate (motion 2015-16/64) created an Ad Hoc Committee to "review and propose revision to current Faculty & Staff Handbook policies relating to tenure, post-tenure review, faculty termination and program discontinuance in reference to UW System Board of Regents policy." The committee was composed of eight faculty (two from each college) with three being full professors, two associate professors, and three assistant professors. The Chairs of Faculty Welfare and Personnel Policies and the Termination Committee were also members of the ad hoc committee.

The committee met several times throughout the summer and early fall semester. I am very appreciative of the time and effort that went into developing the post-tenure review policy. The new policy was developed directly from the Board of Regent's policy, RPD 20-9. The policy was reviewed by the Termination Committee and Faculty Welfare and Personnel Policies Committee and forwarded to the full Faculty Senate. A first reading was conducted on October 19 and the policy passed by a vote of 13-5-2 on November 2.

The approved policy was shared with UW System leadership, including System Legal, and returned to the campus in order to amend the policy to add an additional level of review when faculty are found to "meet expectations" at the department level. Additional language was added to the policy and returned to the Termination Committee and Faculty Welfare and Personnel Policies Committee. On November 16, the Faculty Senate approved the amendment to the policy by a vote of 16-1-3, which includes the additional level of administrative review. I approved the amended policy.

I greatly appreciate the work of the Ad Hoc Committee, the members of the Termination Committee and the Faculty Welfare and Personnel Policies, Faculty Senate, Provost Faye Perkins, and Faculty Senate President, Dr. Mialisa Moline.

Sincerely,

A handwritten signature in black ink, appearing to read "Dean Van Galen".

Dean Van Galen, Ph.D.
Chancellor, UW-River Falls

EDUCATION COMMITTEE

Resolution I.1.m:

That, upon the recommendation of the Chancellor of the University of Wisconsin-Platteville and the President of the University of Wisconsin System, the Chancellor is authorized to implement the University's Post-Tenure Review Policy.

UW-PLATTEVILLE POST-TENURE REVIEW POLICY EXECUTIVE SUMMARY

BACKGROUND

UWS 2.02, Wis. Admin. Code (“Faculty Rules: Coverage and Delegation”), requires that rules, policies, and procedures developed by each institution in the UW System pursuant to Chapters UWS 3, 4, 5, 6 and 8 be approved by the Board of Regents prior to taking effect.

On March 10, 2016, the UW System Board of Regents adopted Regent Policy Document (RPD) 20-9, "Periodic Post-Tenure Review in Support of Tenured Faculty Development," available at <https://www.wisconsin.edu/regents/policies/periodic-post-tenure-review-in-support-of-tenured-faculty-development>). RPD 20-9 states that “[w]ithin nine (9) months of the effective date of this Regent policy each institution shall submit an institutional policy to the Board of Regents. Once the institutional policy has been approved, the chancellor, with the advice and counsel of the faculty, is responsible for implementing the policy and operating the institution consistent with its provisions.”

The UW System Office of General Counsel and the Office for Academic and Student Affairs reviewed the proposed policy. The UW System President recommends approval by the Board of Regents.

At its December 2016 meeting, the Education Committee will consider the proposed UW-Platteville post-tenure review policy for approval.

REQUESTED ACTION

Adoption of Resolution I.1.m, approving the UW-Platteville Post-Tenure Review Policy.

DISCUSSION

A memo from Chancellor Shields dated November 14, 2016, requests approval of the UW-Platteville post-tenure review policy by the Board of Regents; it is attached to this document. The UW-Platteville Faculty Senate approved the post-tenure review policy document on November 8, 2016. It will replace the current policy contained in the UW-Platteville Faculty Handbook, known as Chapter 6.

Attached to this document is Appendix A, containing the new UW-Platteville post-tenure review policy as it would read if approved by the Board of Regents. For comparison, Appendix B contains the existing UW-Platteville post-tenure review policy.

RELATED REGENT POLICIES AND LAWS

Chapters UWS 3 and 5, Wis. Admin. Code
Regent Policy Document 20-23

APPENDIX A
UW-Platteville New Post-Tenure Review Policy

Approved by UW-Platteville Faculty Senate 11-08-16

Portions of section 6.3.10 are taken directly from Regent Policy Document (RPD) 20-9 "Periodic Post-Tenure Review in Support of Tenured Faculty Development," approved by the Board of Regents on March 10, 2016, and are included as quotations. (See <https://www.wisconsin.edu/regents/policies/periodic-post-tenure-review-in-support-of-tenured-faculty-development/> for the full text of RPD 20-9.)

6.3.10.1 Purpose

The purpose of the post-tenure review is to encourage and support the growth and development of faculty so that they may positively contribute to the mission and goals of the department, the college, and the university. The post-tenure review "shall not infringe on existing faculty rights and protections, including those of academic freedom" (RPD 20-9, 2). Post-tenure review is not a re-tenuring process. It should be considered a supplement to the normal merit review involving goal setting. Each department will develop a process for conducting post-tenure reviews. Department chairs will report results of all post tenure reviews conducted for the year to the dean and provost. Monitoring the post-tenure review process is the responsibility of the provost in conjunction with the University Rank, Salary, and Tenure Policy Commission (URSTPC).

The post-tenure review process is separate and distinct from the salary review conducted annually for both tenured and tenure-track faculty. (See section 6.3.9 for the salary review process.)

6.3.10.2 Review Cycle

The professional performance of tenured faculty will be reviewed on a five-year cycle, beginning with the academic year following the granting of tenure. "The review may be deferred, only with the approval of the provost, for unusual circumstances, such as when it may coincide with an approved leave, promotion review, or other appointment. In such cases, the provost will specify the new review cycle that applies to the faculty member" (RPD 20-9, 4).

6.3.10.3 The Post-Tenure Review File

The post-tenure review file is separate from both the promotion file and the annual salary file.

Newly tenured faculty will complete section I of Form 7 "Post-Tenure Review" and place the form in a binder, along with a copy of the section on post-tenure review from the department/school RST plan, to be retained for the initial full five-year review.

Faculty who are up for the full five-year review will complete section II of Form 7 and place the form in a binder, along with a copy of the section on post-tenure review from the department/school RST plan and any supporting ancillary materials. Copies of Form 7 from any and all prior post-tenure reviews must remain in the binder.

6.3.10.4 Review Timeline

November 1 – The department chair will issue a courtesy notice alerting faculty who are up for a five-year review of the need to submit a post-tenure review file, which includes a personal plan for continuing growth and development. (See section 6.6 of the Faculty Handbook for Form 7 “Post-Tenure Review.”) The department chair will also notify newly tenured faculty of the need to complete section I of Form 7, which outlines the broad goals for the faculty member’s initial five-year review. “Failure to meet this notice deadline does not obviate the requirement to conduct and participate in the review” (RPD 20-9, 5). Department chairs are responsible for ensuring that reviews are completed on schedule. (See also section 6. 4 “Calendars.”)

February 1 – Faculty members who are up for a five-year post-tenure review will submit their full file to the department chair. Newly tenured faculty members will submit only Form 7 (with section I completed) to the department chair. (See section 6.3.10.3 for a description of the file.)

Faculty members who are up for a five-year review will then meet with the department chair to review the full file, including the personal plan for continuing growth and development that is part of Form 7. Newly tenured faculty members will also meet with the department chair to review their broad goals for the initial five-year review (section I of Form 7), at which time the department chair will provide informal feedback to the faculty member and check the appropriate box in section I. This will complete the evaluation process for the newly tenured faculty member.

February 20 – The department chair will complete the appropriate portion of section III of Form 7 for faculty members up for a five-year review and provide the faculty members with a copy of the form by February 20. If the department chair’s evaluation is “does not meet expectations,” he/she must meet the requirement in RPD 20-9 that “the identification of any deficiencies be described in writing and provided to the faculty member” (RPD 20-9, 12). The faculty member under review may place a written response in his/her file. Such written response should be received by the department chair by February 28.

March 5 – The department chair will send the files of those faculty members who are up for a five-year review to the dean of the college. The department chair will flag any file for which he/she has included an evaluation of “does not meet expectations.” (See section 6.3.10.5 below.)

March 15 – The dean will complete the appropriate portion of section III of Form 7 for faculty members up for a five-year review and provide the faculty members with a copy of the form by March 15. If the dean’s evaluation is “does not meet expectations,” he/she must meet the requirement in RPD 20-9 that “the identification of any deficiencies be described in writing and provided to the faculty member” (RPD 20-9, 12). The faculty member under review may place a written response in his/her file. Such written response should be received by the dean by March 23.

March 30 -- The dean will forward any files for which there is an evaluation of “does not meet expectations” at the department or dean level for further review by the provost as the chancellor’s designee. (See section 6.3.10.5 below.) “Information and documentation relating to the review shall be maintained by the appropriate department, college or school, or university personnel or bodies, and disclosed otherwise only at the discretion, or with the explicit consent, of the faculty member, unless required by business necessity or by law” (RPD 20-9, 14).

April 10 -- For files forwarded to the provost, the provost will complete the appropriate portion of section III of Form 7 and provide the faculty members with a copy of the form by April 10. If the provost’s evaluation is “does not meet expectations,” he/she must meet the requirement in RPD 20-9 that “the identification of any deficiencies be described in writing and provided to the faculty member” (RPD 20-9, 12). The faculty member under review may place a written response in his/her file. If the provost determines that a remediation plan must be developed, he/she will set the appropriate deadline for its development, not to exceed the end of the academic year faculty contract period. A copy of the remediation plan must be held by the faculty member, department chair, dean, and provost.

6.3.10.5 Review Process for Faculty up for a Five-Year Post-Tenure Review

Faculty will be reviewed in the three areas of teaching (and/or job effectiveness), scholarship/professional development/creative activity, and service. Departments will identify in their RST plans the criteria by which they evaluate the tenured faculty member’s performance in these three areas. (See also section 6.3.5.4 “Criteria for Review.”) The criteria must be “effective and consistent with the mission and expectations of the department, school or college, and institution, as applicable, and sufficiently flexible to permit shifts in professional emphasis” (RPD 20-9, 6). The criteria will be regularly reviewed by the URSTPC as part of its annual review of department RST plans. Assistance prior to and following the review must be made available to all faculty members to support their professional development at any time in their careers.

In the event that a faculty member feels that his/her professional goals will significantly change before the next post-tenure review, he/she should meet with the department chair to revise the appropriate section of Form 7.

Faculty will be rated using the three categories as defined below. "In determining the category, the review will consider whether the faculty member under review has discharged conscientiously and with professional competence the duties appropriately associated with the faculty member's position" (RPD 20-9, 9).

- a. Exceeds expectations. This category is assigned to tenured faculty who have demonstrated performance significantly above what is normal for the institution, college, or department.
- b. Meets expectations. This category is assigned to those tenured faculty members whose performance reflects the expected level of accomplishment.
- c. Does not meet expectations. This category is assigned to those tenured faculty members whose performance reflects a level of accomplishment below the expected level, which therefore requires remediation. "All reviews resulting in 'does not meet expectations,' unless overturned upon further review, will result in a remediation plan as described below" (RPD 20-9, 9).

After the faculty member turns in his/her post tenure review file, he/she will meet with the department chair. The meeting will address development needs of the faculty member to make progress toward achieving the plan's goals, and the department chair will recommend ways of helping the faculty member meet those goals. Any faculty member may request assistance prior to and following the review, regardless of the results of the faculty member's post-tenure review, for support of his/her professional development.

A faculty member who receives a recommendation of "meets" or "exceeds expectations" may request additional resources, including additional compensation, from the department, college and/or institution. All awards in these instances are subject to the availability of resources.

A faculty member who receives a recommendation of "does not meet expectations" at any level of review, including the level of provost, must be provided written identification of deficiencies and has a right to place a response in his/her file.

Following the provost's review, a faculty member who received a recommendation of "does not meet expectations" at the department and/or the college level will be informed by the provost that he/she has received either a revised result of "meets expectations" or that a remediation plan will "be developed by the faculty member in consultation with the dean to assist the faculty member in addressing those deficiencies identified in the review" (RPD 20-9, 12). The dean should consult with the department chair in developing the remediation plan.

The provost will set the appropriate deadline for the development of the remediation plan, not to exceed the end of the academic year faculty contract period. (See section 6.3.10.4 "Review Timeline.") "The primary focus of the remediation plan shall be developmental and provide the faculty member with appropriate support from the department or dean as applicable"

(RPD 20-9, 12). The plan should clearly outline “how and when the faculty member will have satisfied the expectations of the remediation plan as determined by the dean in consultation with the chancellor and the faculty member” (RPD 20-9, 12). The dean and the chair will assist the faculty to find resources to fund appropriate future development plans of the faculty member. The remediation plan must be satisfied within no more than “three academic semesters” (RPD 20-9, 12). “In those few remediation plans related to a performance shortfall in research where more than three academic semesters may be necessary to correct identified deficiencies, an extension of one academic semester shall be permitted only with the approval of the chancellor, which shall trigger a notification of that extension to the UW System Administration Vice President for Academic and Student Affairs” (RPD 20-9, 12).

Should the faculty member not meet the plan’s expectations and/or within the time specified as set forth in the remediation plan, he/she has rights to the faculty complaints process (see section 6.3.16) and is subject to “the imposition of discipline, as appropriate, up to and including dismissal for cause under Chapter UWS 4” (RPD 20-9, 12). “The reviews conducted and remediation plans developed in accordance with this policy are not subject to the grievance process set forth in Chapter UWS 6.02, Wis. Admin. Code” (RPD 20-9, 16).

Appendix B
Existing UW-Platteville Post-Tenure Review Policy

University of Wisconsin-Platteville
Faculty Handbook, Chapter 6
Currently in Effect—10-26-2016
Post-Tenure Review Policy*

6.3.10 Post-Tenure Review

6.3.10.1 Review Cycle

The professional performance of tenured faculty will be reviewed on a five-year cycle. ~~This review may be conducted simultaneously with the faculty annual merit review;~~ it is not a retenuing process. It should be considered a supplement to the normal merit review. The purpose of the review is to encourage and support the growth and development of faculty so that they may positively contribute to the mission and goals of the department, the college, and the university.

~~A department or other administrative unit may define an alternative cycle as part of its RST guidelines as long as it ensures that tenured faculty are reviewed on a regular basis.~~

~~Post tenure reviews must be completed at the department level by March 31 of the assigned year.~~

6.3.10.2 Review Process

~~The faculty member will complete the form for post-tenure review (see section 6.6), which includes a personal plan for continuing growth and development. The form will be submitted to the department chair by March 1 of the specified year. The faculty member will then meet with the department chair. The meeting will address development needs of the faculty member to make progress toward achieving the plan's goals, and the department chair will recommend ways of helping the faculty member meet those goals.~~

~~Results of the post-tenure faculty reviews will be transmitted by the department chair to the college dean. The post-tenure reviews will become part of a personnel file of the faculty member concerned. The file will be retained in the college dean's office.~~

~~If the faculty member's review reveals a need for significant improvement, the department chair will report such to the college dean. The dean and the chair will assist the faculty to find resources to fund appropriate future development plans of the faculty member.~~

~~The dean will send a summary of the post-tenure reviews to the provost by April 15 of the assigned year.~~

Monitoring the post-tenure review process is the responsibility of the provost in conjunction with the URSTPC.

*The unstruck language in this document is used in the draft post-tenure review policy below passed by the UW-Platteville Faculty Senate on October 25, 2016 and forwarded to Provost Throop.

Proposed University of Wisconsin-Platteville Post-Tenure Review Policy*

Approved by UW-Platteville Faculty Senate 10-25-16

Portions of section 6.3.10 are taken directly from Regent Policy Document (RPD) 20-9 “Periodic Post-Tenure Review in Support of Tenured Faculty Development,” approved by the Board of Regents on March 10, 2016, and are included as quotations. (See <https://www.wisconsin.edu/regents/policies/periodic-post-tenure-review-in-support-of-tenured-faculty-development/> for the full text of RPD 20-9.)

6.3.10.1 Purpose

The purpose of the post-tenure review is to encourage and support the growth and development of faculty so that they may positively contribute to the mission and goals of the department, the college, and the university. The post-tenure review “shall not infringe on existing faculty rights and protections, including those of academic freedom” (RPD 20-9, 2). Post-tenure review is not a re-tenuring process. It should be considered a supplement to the normal merit review involving goal setting. Each department will develop a process for conducting post-tenure reviews. Department chairs will report results of all post tenure reviews conducted for the year to the dean and provost. Monitoring the post-tenure review process is the responsibility of the provost in conjunction with the University Rank, Salary, and Tenure Policy Commission (URSTPC).

The post-tenure review process is separate and distinct from the salary review conducted annually for both tenured and tenure-track faculty. (See section 6.3.9 for the salary review process.)

6.3.10.2 Review Cycle

The professional performance of tenured faculty will be reviewed on a five-year cycle, beginning with the academic year following the granting of tenure. “The review may be deferred, only with the approval of the provost, for unusual circumstances, such as when it may coincide with an approved leave, promotion review, or other appointment. In such cases, the provost will specify the new review cycle that applies to the faculty member” (RPD 20-9, 4).

6.3.10.3 The Post-Tenure Review File

The post-tenure review file is separate from both the promotion file and the annual salary file.

Newly tenured faculty will complete section I of Form 7 “Post-Tenure Review” and place the form in a binder, along with a copy of the section on post-tenure review from the department/school RST plan, to be retained for the initial full five-year review.

Faculty who are up for the full five-year review will complete section II of Form 7 and place the form in a binder, along with a copy of the section on post-tenure review from the department/school RST plan and any supporting ancillary materials. Copies of Form 7 from any and all prior post-tenure reviews must remain in the binder.

6.3.10.4 Review Timeline

November 1 – The department chair will issue a courtesy notice alerting faculty who are up for a five-year review of the need to submit a post-tenure review file, which includes a personal plan for continuing growth and development. (See section 6.6 of the Faculty Handbook for Form 7 “Post-Tenure Review.”) The department chair will also notify newly tenured faculty of the need to complete section I of Form 7, which outlines the broad goals for the faculty member’s initial five-year review. “Failure to meet this notice deadline does not obviate the requirement to conduct and participate in the review” (RPD 20-9, 5). Department chairs are responsible for ensuring that reviews are completed on schedule. (See also section 6. 4 “Calendars.”)

February 1 – Faculty members who are up for a five-year post-tenure review will submit their full file to the department chair. Newly tenured faculty members will submit only Form 7 (with section I completed) to the department chair. (See section 6.3.10.3 for a description of the file.)

Faculty members who are up for a five-year review will then meet with the department chair to review the full file, including the personal plan for continuing growth and development that is part of Form 7. Newly tenured faculty members will also meet with the department chair to review their broad goals for the initial five-year review (section I of Form 7), at which time the department chair will provide informal feedback to the faculty member and check the appropriate box in section I. This will complete the evaluation process for the newly tenured faculty member.

February 20 – The department chair will complete the appropriate portion of section III of Form 7 for faculty members up for a five-year review and provide the faculty members with a copy of the form by February 20. If the department chair’s evaluation is “does not meet expectations,” he/she must meet the requirement in RPD 20-9 that “the identification of any deficiencies be described in writing and provided to the faculty member” (RPD 20-9, 12). The faculty member under review may place a written response in his/her file. Such written response should be received by the department chair by February 28.

March 5 – The department chair will summarize the results of all faculty post-tenure reviews for which there is an evaluation of “exceeds expectations” or “meets expectations” in a report to the dean and provost. The department chair will forward any file for which he/she has included an evaluation of “does not meet expectations.” (See section 6.3.10.5 below.)

March 15 – For files forwarded to the dean, the dean will complete the appropriate portion of section III of Form 7 and provide the faculty members with a copy of the form by March 15. If the dean’s evaluation is “does not meet expectations,” he/she must meet the requirement in RPD 20-9 that “the identification of any deficiencies be described in writing and provided to the faculty member” (RPD 20-9, 12). The faculty member under review may place a written response in his/her file. Such written response should be received by the dean by March 23.

March 30 -- The dean will forward any files for which there is an evaluation of “does not meet expectations” at the department or dean level for further review by the provost as the chancellor’s designee. (See section 6.3.10.5 below.) “Information and documentation relating to the review shall be maintained by the appropriate department, college or school, or university personnel or bodies, and disclosed otherwise only at the discretion, or with the explicit consent, of the faculty member, unless required by business necessity or by law” (RPD 20-9, 14).

April 10 -- For files forwarded to the provost, the provost will complete the appropriate portion of section III of Form 7 and provide the faculty members with a copy of the form by April 10. If the provost’s evaluation is “does not meet expectations,” he/she must meet the requirement in RPD 20-9 that “the identification of any deficiencies be described in writing and provided to the faculty member” (RPD 20-9, 12). The faculty member under review may place a written response in his/her file. If the provost determines that a remediation plan must be developed, he/she will set the appropriate deadline for its development, not to exceed the end of the academic year faculty contract period. A copy of the remediation plan must be held by the faculty member, department chair, dean, and provost.

6.3.10.5 Review Process for Faculty up for a Five-Year Post-Tenure Review

Faculty will be reviewed in the three areas of teaching (and/or job effectiveness), scholarship/professional development/creative activity, and service. Departments will identify in their RST plans the criteria by which they evaluate the tenured faculty member’s performance in these three areas. (See also section 6.3.5.4 “Criteria for Review.”) The criteria must be “effective and consistent with the mission and expectations of the department, school or college, and institution, as applicable, and sufficiently flexible to permit shifts in professional emphasis” (RPD 20-9, 6). The criteria will be regularly reviewed by the URSTPC as part of its annual review of department RST plans. Assistance prior to and following the review must be made available to all faculty members to support their professional development at any time in their careers.

In the event that a faculty member feels that his/her professional goals will significantly change before the next post-tenure review, he/she should meet with the department chair to revise the appropriate section of Form 7.

Faculty will be rated using the three categories as defined below. “In determining the category, the review will consider whether the faculty member under review has discharged conscientiously and with professional competence the duties appropriately associated with the faculty member’s position” (RPD 20-9, 9).

- a. Exceeds expectations. This category is assigned to tenured faculty who have demonstrated performance significantly above what is normal for the institution, college, or department.
- b. Meets expectations. This category is assigned to those tenured faculty members whose performance reflects the expected level of accomplishment.
- c. Does not meet expectations. This category is assigned to those tenured faculty members whose performance reflects a level of accomplishment below the expected level which therefore requires remediation. “All reviews resulting in ‘does not meet expectations,’ unless overturned upon further review, will result in a remediation plan as described below” (RPD 20-9, 9).

After the faculty member turns in his/her post tenure review file, he/she will meet with the department chair. The meeting will address development needs of the faculty member to make progress toward achieving the plan’s goals, and the department chair will recommend ways of helping the faculty member meet those goals. Any faculty member may request assistance prior to and following the review, regardless of the results of the faculty member’s post-tenure review, for support of his/her professional development.

A faculty member who receives a recommendation of “meets” or “exceeds expectations” may request additional resources, including additional compensation, from the department, college and/or institution. All awards in these instances are subject to the availability of resources.

A faculty member who receives a recommendation of “does not meet expectations” at any level of review, including the level of provost, must be provided written identification of deficiencies and has a right to place a response in his/her file.

Following the provost’s review, a faculty member who received a recommendation of “does not meet expectations” at the department and/or the college level will be informed by the provost that he/she has received either a revised result of “meets expectations” or that a remediation plan will “be developed by the faculty member in consultation with the dean to assist the faculty member in addressing those deficiencies identified in the review” (RPD 20-9, 12). The dean should consult with the department chair in developing the remediation plan.

The provost will set the appropriate deadline for the development of the remediation plan, not to exceed the end of the academic year faculty contract period. (See section 6.3.10.4 “Review Timeline.”) “The primary focus of the remediation plan shall be developmental and provide the faculty member with appropriate support from the department or dean as applicable” (RPD 20-9, 12). The plan should clearly outline “how and when the faculty member will have satisfied the expectations of the remediation plan as determined by the dean in consultation with the chancellor and the faculty member” (RPD 20-9, 12). The dean and the chair will assist the faculty to find resources to fund appropriate future development plans of the faculty member. The remediation plan must be satisfied within no more than “three academic semesters” (RPD 20-9, 12). “In those few remediation plans related to a performance shortfall in research where

more than three academic semesters may be necessary to correct identified deficiencies, an extension of one academic semester shall be permitted only with the approval of the chancellor, which shall trigger a notification of that extension to the UW System Administration Vice President for Academic and Student Affairs” (RPD 20-9, 12).

Should the faculty member not meet the plan’s expectations and/or within the time specified as set forth in the remediation plan, he/she has rights to the faculty complaints process (see section 6.3.16) and is subject to “the imposition of discipline, as appropriate, up to and including dismissal for cause under Chapter UWS 4” (RPD 20-9, 12). “The reviews conducted and remediation plans developed in accordance with this policy are not subject to the grievance process set forth in Chapter UWS 6.02, Wis. Admin. Code” (RPD 20-9, 16).

*The language highlighted and marked by underlining above is that retained from the old post-tenure review policy.



UNIVERSITY OF WISCONSIN
PLATTEVILLE

OFFICE OF THE CHANCELLOR

November 14, 2016

Regent President Regina Millner
Regent Vice President John Behling
UW System Board of Regents

Dear Regents Millner & Behling:

Attached please find UW-Platteville's post-tenure review policy document. This document was approved by Faculty Senate on November 8, 2016. I approve the attached revised post-tenure policy and request it also be presented to and approved by the Board of Regents. Thank you.

If any additional information or clarification is needed, please feel free to contact me.

Sincerely,

A handwritten signature in blue ink, appearing to read 'Dennis J. Shields'.

Dennis J. Shields
Chancellor

DJS/jb

Attachment

EDUCATION COMMITTEE

Resolution I.1.n:

That, upon the recommendation of the Chancellor of the University of Wisconsin-Milwaukee and the President of the University of Wisconsin System, the Chancellor is authorized to implement the University's Post-Tenure Review Policy.

UW-MILWAUKEE POST-TENURE REVIEW POLICY EXECUTIVE SUMMARY

BACKGROUND

UWS 2.02, Wis. Admin. Code (“Faculty Rules: Coverage and Delegation”), requires that rules, policies, and procedures developed by each institution in the UW System pursuant to Chapters UWS 3, 4, 5, 6 and 8 be approved by the Board of Regents prior to taking effect.

On March 10, 2016, the UW System Board of Regents adopted Regent Policy Document (RPD) 20-9, "Periodic Post-Tenure Review in Support of Tenured Faculty Development," available at <https://www.wisconsin.edu/regents/policies/periodic-post-tenure-review-in-support-of-tenured-faculty-development>). RPD 20-9 states that “[w]ithin nine (9) months of the effective date of this Regent policy each institution shall submit an institutional policy to the Board of Regents. Once the institutional policy has been approved, the chancellor, with the advice and counsel of the faculty, is responsible for implementing the policy and operating the institution consistent with its provisions.”

A memo from Chancellor Mone dated November 18, 2016, requests approval of the UW-Milwaukee post-tenure review policy by the Board of Regents; it is attached to this document. The UW System Office of General Counsel and the Office of Academic and Student Affairs, reviewed the proposed policy. The UW System President recommends approval of the UW-Milwaukee post-tenure review policy.

At its December 2016 meeting, the Education Committee will consider the proposed UW-Milwaukee post-tenure review policy for approval.

REQUESTED ACTION

Adoption of Resolution I.1.n, approving the UW-Milwaukee Post-Tenure Review Policy.

DISCUSSION

On November 17, 2016, the UW-Milwaukee Faculty Senate approved the university’s new post-tenure review policy. Attached to this document is Appendix A, containing the new UW-Milwaukee post-tenure review policy as it would read if approved by the Board of Regents. For comparison, Appendix B contains the former post-tenure review policy with tracked changes.

RELATED REGENT POLICIES AND LAWS

Chapters UWS 3 and 5, Wis. Admin. Code
Regent Policy Document 20-23

APPENDIX A
New UW-Milwaukee Post-Tenure Review Policy Document

University of Wisconsin - Milwaukee Faculty Document No. 3083, November 17, 2016
October 20, 2016

**Recommendation of the University Committee to
Revise the Post-Tenure Review Policy**

Post-Tenure Review Policy

I. RATIONALE

The UWS Board of Regents adopted its Guidelines covering the review and development of tenured faculty on March 10, 2016. Each UWS institution has been directed to develop its own policy consistent with the Board's policy that includes the following elements:

- A. Provision for a review, at least once every five years, of each tenured faculty member's activities and performance, in accordance with the mission of the department, college, and institution.
- B. Effective criteria against which to measure progress and accomplishments of faculty during this review and a description of the methods for conducting the evaluation.
- C. Delineation of responsibilities for conducting reviews.
- D. Means by which the merit process and faculty review and development process may be linked and used to facilitate, enhance and reward outstanding performance.
- E. Procedures defining means for remedying problems in cases where deficiencies are revealed.
- F. Provision for a written record of each faculty review; designation of the location for the written record of post-tenure review.
- G. Nothing in this policy is intended to alter the existing rules dealing with tenure determination.

II. GENERAL PRINCIPLES

Given the mission of UWM and the currently codified expectations of the faculty role, three general principles are operative, namely tenured faculty review and development activities are designed (1) to develop the talents of the faculty member, (2) to enhance the academic program(s) to which the faculty member contributes, and (3) to protect the right of open and free inquiry (academic freedom).^{*} Strong academic programs housed within equally strong departments (or equivalent units) are the sure and demonstrable measure of UWM's accountability to the citizens of the State of Wisconsin. With the general tenets of academic freedom as its basis, the strength of academic programs depends on the right of open inquiry and

maximum use of faculty talent in teaching, research, outreach and service. The UWM faculty envision the review of tenured faculty as one that focuses on collegial assessment and provides an opportunity for faculty to review past performance and develop future plans.

Appendix I contains examples of characteristics of effective departmental review procedures. Appendix II contains recommendations for departments on guidelines they should consider adopting regarding annual and post-tenure reviews. Appendix III contains a timeline for actions and their corresponding deadlines.

III. PROCEDURES

A. In keeping with the principles stated above, all tenured faculty members will develop a written 5-year development plan within the context of the overall mission of the Department. As annual reviews are conducted and appropriate modifications made, these plans may be modified while still maintaining a 5-year prospective timeline. Specifically:

1. The Faculty Development Plan will include planned activities in teaching, research and service/outreach. The Plan should not ordinarily exceed five pages.
2. The Department Executive Committee will ensure that the collective Faculty Development Plans for its Department meet the overall mission of the Department and that they provide sufficient flexibility to accommodate faculty with differing responsibilities.
3. Faculty Development Plans and any modifications resulting from regular reviews must be filed with the department's dean.¹ These modifications resulting from regular reviews shall not ordinarily exceed two pages.

B. Comprehensive post-tenure reviews shall occur at least once every five years. The post-tenure review period begins in the academic year following the granting of tenure. Deferral of the review may be requested by the faculty member scheduled to be reviewed. Reasons for such a request include, but are not limited to, the review coinciding with approved leave, other appointments, and pending announced retirement. A deferral request must be approved by the department executive committee(s), dean(s), and provost, except in the case of a faculty member holding a full-time administrative appointment. For such a case, the deferral request needs only approval by the provost. If a deferral is granted, the provost will specify the new review cycle that applies to the faculty member. The periodic post-tenure review may substitute for annual review in the year a faculty member is scheduled for such review.

C. A review for promotion consideration may be considered as a comprehensive post-tenure review. An individual receiving a positive recommendation for promotion consideration will be considered as having met expectations in the post-tenure review. If the individual receives a negative recommendation for promotion consideration, the executive committee will subsequently vote on the post-tenure review determination as specified in Section III.F.5 below.

D. The department chair will provide written notice of the post-tenure review to the faculty member at least 3 months prior to the commencement of the review. If a post-tenure review is to

be conducted during the first month of an academic year's contractual period, the faculty member should receive written notification of the post-tenure review no later than April 1 of the previous academic year.

E. The department's executive committee shall assign two or more tenured faculty members of the department to conduct the review. If there is an insufficient number of tenured faculty members in the department, the executive committee of the department may be augmented following UWM Faculty P&P 4.08. In the case of a faculty member with appointments in more than one department, the department chairs of the involved departments shall agree on procedures for the conduct of the review.

F. Review procedures shall include

1. A review of the qualitative and quantitative evidence of the faculty member's performance over at least the previous five-year period. The evidence should include a current curriculum vitae, annual activity reports, teaching evaluations or summaries of evaluations, and other materials providing evidence of the faculty member's accomplishments and contributions that the department or the faculty member feel are relevant to the review. The reviewers should be provided with the faculty member's Faculty Development Plan, and their review should be based on the faculty member's performance with respect to their Plan. The reviewers shall examine materials to the degree needed to accomplish the purposes of the review.
2. Discussion with the faculty member about his or her contributions to the profession, the department, and the university if either the reviewers or the faculty member so desire.
3. Appropriate consideration of a faculty member's contributions outside the department to interdisciplinary and other programs, governance, administration, and other forms of service to the university and the community.
4. Other steps the executive committee considers useful in making a fair and informed judgment, including but not limited to consultation with individuals who have knowledge of the faculty member's work.
5. The review will result in a recommendation by the committee of whether the faculty member "Meets Expectations," or "Does Not Meet Expectations." The result of the review will be communicated to the executive committee within 14 days of the commencement of the review.

G. The executive committee will assess the findings of the review committee, and within 10 days of receiving the findings vote by written ballot whether the faculty member "Meets Expectations," or "Does Not Meet Expectations." The result of the vote shall be recorded in the minutes of the executive committee.

H. For reviews resulting in an executive committee determination of "meets expectations," the chair of the executive committee shall provide the faculty member with a written statement of the review within 30 days of the determination. The faculty member shall have the right to submit a written response within 15 days of receipt of the statement from the chair of the executive committee. The chair of the executive committee will forward the written statement of

the review and the faculty member's response, if received, within 5 days of the deadline for receiving the faculty member's response to the dean(s), provost, and chancellor.

I. The dean(s) shall conduct a sufficiency review to ensure that the executive committee's review was conducted according to the criteria and procedures established by the executive committee and that the results of the review are within reasonable expectations for a faculty member. In the event that the dean(s) considers that the review was insufficient, he/she shall provide the reasons to the executive committee in writing why the review was insufficient within five working days of receiving the report. The executive committee may provide a response addressing the dean's concerns about the sufficiency of the review within 10 working days. The dean(s) may conduct an independent review of the submitted materials. As part of the independent review, the dean(s) shall request advice from the appropriate divisional executive committee which shall be provided with all submitted materials for the review. The dean(s) shall request advice from the divisional committee within 5 days of receiving the report, and the divisional committee will provide their advice within 14 days of receiving the request from the dean(s). The dean will then make a recommendation to the Chancellor on whether or not the faculty member "meets expectations" or "does not meet expectations".

J. When executive committee and dean reviews result in "meets expectations," a copy of the summary shall be placed in the department's file of post-tenure reviews. The department shall also preserve in this file all documents that played a substantive role in the review (other than documents such as publications that are readily accessible elsewhere). The dean(s) shall make every effort to offer tangible recognition to those faculty identified as "meets expectations", including but not limited to increased monetary compensation and nomination for university, national and international awards.

K. For executive committee reviews resulting in "does not meet expectations," the executive committee shall provide the faculty member with a written summary of the review within 5 working days of the decision. The faculty member shall have the right to prepare a written response to the summary within 10 working days after receipt of the summary.

L. For reviews resulting in "does not meet expectations," the executive committee decision, along with any additional response from the faculty member, will be transmitted to the dean(s), within 5 working days after the faculty member's written response deadline. The dean(s) will perform their own review, including a request for advice from the appropriate divisional executive committee, which also will be provided with the executive committee decision and any additional faculty response. (See UWM P&P, Ch.3 Sec 3.20 "Advice on other Personnel Matters.") The dean(s) shall request advice from the divisional committee within 5 days of receiving the report, and the divisional committee will provide their advice within 14 days of receiving the request from the dean(s).

M. If the dean(s) finds that the faculty member's performance "does not meet expectations," the dean(s) must provide written reasons to the faculty member for the decision, within 10 working days of receiving advice from the divisional committee. The faculty member may provide a written response to the dean(s) within 10 days upon notification of the decision. This statement can include new documentation on the faculty member's accomplishments.

N. Within 5 working days of the end of the faculty member written response deadline, the dean(s) will forward their review, which includes the advice from the divisional committee, the executive committee's review, and any written response statements from the faculty member, to the provost and the chancellor (or designee). The chancellor (or designee) will review the case, and following the chancellor's (or designee's) review, the faculty member will be informed by the chancellor (or designee) of the final determination of the review. This result shall be provided to the faculty member in writing no later than 30 days prior to the end of the academic year during which the post-tenure review is conducted.

O. In the event that the chancellor's (or designee's) review results in a "does not meet expectations" designation for the faculty member, the department chair and the faculty member shall develop a written plan for mentoring and professional development to address all issues identified in the review, in consultation with the appropriate dean(s). This plan shall be completed no later than 30 days after the chancellor (or designee) has informed the faculty member of decision. This plan shall be the product of mutual discussion between the faculty member, the chair, and the dean(s), shall respect academic freedom and professional self-direction, and shall be flexible enough to allow for subsequent alteration. Such a plan could include review and adjustment of the faculty member's responsibilities, development of a new research program or teaching strategy, referral to campus resources, assignment of a mentoring committee, institution of mandatory annual reviews for a specified period, written performance expectations, and/or other elements.

P. A faculty member who has received a "does not meet expectations" review will have three academic semesters to fully satisfy all the elements of the remediation plan. If the remediation plan includes performance shortfall in research, an extension of one academic semester may be granted by the chancellor (or designee). In such a case, the chancellor (or designee) will notify the UW System Administration Vice President for Academic and Student Affairs of the extension.

Q. The process for determination of the successful completion of the remediation is as follows.

1. The faculty member will submit documentation of his or her activities that address issues identified in the remediation plan to the faculty member's executive committee. This documentation will include any information that the faculty member deems relevant. This documentation can be provided at any time during the remediation period, but must be provided no later than 4 weeks before the end of the remediation plan period.
2. Within 30 days, the executive committee will review the materials submitted, and will make a determination as to whether all elements of the remediation plan have been satisfied. The executive committee will formulate a written explanation for their determination. The executive committee will then submit the faculty member's documentation along with their determination to the dean(s).
3. The dean(s) will review the materials submitted and the executive committee's determination. If the dean(s) determine that all elements of the remediation plan have been satisfied, the faculty member's performance is to be considered to "meet expectations."

4. The next post-tenure review evaluation of a faculty member who has satisfied all the elements of the remediation plan will be no later than 5 years after the previous post-tenure review.
5. If the dean(s) determines that the faculty member has not satisfied all elements of the remediation plan, then within 10 working days the decision and written reasons for this decision are provided to the faculty member, the provost and the chancellor, or designee. Within 5 working days of receiving the notification from the dean(s), the faculty member can submit to the chancellor (or designee) an additional written statement addressing the decisions made by the executive committee and the dean(s).
6. If the dean(s) determines that the faculty member has failed to meet the expectations set forth in the remediation plan, discipline may be imposed (as listed in UWM P&P 5.43), as appropriate, up to and including dismissal for cause under Chapter UWS 4. The chancellor will notify the University Committee of the intention to pursue disciplinary action of a faculty member prior to the initiation of the process. If discipline other than dismissal for cause is to be pursued, the procedures outlined in UWM P&P 5.41-5.47 will be followed. If dismissal for cause is to be pursued, the procedures outlined in UWM P&P 5.23-5.29 will be followed.

IV. ACCOUNTABILITY

- A. Copies of the departmental criteria and procedures for reviews of tenured faculty shall be filed with the appropriate dean, the provost, and the secretary of the university.
- B. At the beginning of each academic year, the chair shall identify faculty to be reviewed during the academic year, and the executive committee shall establish a calendar for reviews.
- C. Departments shall maintain a record of review completed, including the names of all reviewers.
- D. At the end of each academic year, department chairs shall send a report to the appropriate deans listing the names of faculty members reviewed during that academic year and summarizing the outcomes of those reviews. The dean(s) will submit these reports to the provost.
- E. If a department fails to conduct requisite reviews by the end of the academic year, the dean shall appoint reviewers to conduct reviews based on the department's specified criteria.

(*Open and free inquire provides for the freedom to pursue novel, unpopular, or unfashionable lines of inquiry.)

¹ Development plans are subject to the routine review by respective school or college deans.

UWM Tenured Faculty Review and Development Policy

Appendix I

Some characteristics of departments with effective tenured faculty review and development procedures

General Principles

An effective, supportive tenured faculty review and development program:

1. acknowledges that a faculty career can evolve over time, can have different emphases at different periods, and is best evaluated over periods longer than one year.
2. formulates and communicates clear expectations of faculty work within the context of the department mission,
3. recognizes the need to improve regularly the procedures and documentation used to evaluate faculty work.
4. includes procedures that encourage individuals to work and review each other collaboratively.
5. provides incentives for faculty members to do better what they already do well and to pursue professional development and curricular innovation.
6. has a prospective as well as a retrospective component, that is, encourages the individuals to outline future activities in the context of department, unit, and campus needs.
7. includes qualitative and quantitative measures of performance.

Teaching

An effective, supportive tenured faculty review and development program:

1. recognizes that reviewing teaching involves **not only** the evaluation of classroom technique and the use of standardized student evaluation forms **but also** regular, direct peer review of teaching through classroom observation, syllabus and test review, etc.
2. uses student evaluation instruments that are reliable and valid, and that members have confidence in.
3. makes regular and consistent attempts to harmonize individual teaching interests and the needs of the program/department.

4. encourages individuals wishing to develop new expertise, new courses, and new ways to organize curriculum.
5. clearly distinguishes between adequate and inadequate performance.
6. includes actual student results as one measure of individual effectiveness.
7. recognizes and rewards other forms of teaching such as advising, directing theses, coordinating multi-section courses, directing faculty development and curriculum workshops, etc.

Scholarship

An effective, supportive tenured faculty review and development program:

1. understands that scholarship can be expressed in a variety of appropriate ways (e.g., advancing knowledge; synthesizing and integrating knowledge; applying knowledge; crafting knowledge by engaging with community and the public; generating knowledge through creative and imaginative work; and representing knowledge through teaching. cf. Scholarship Reconsidered, Boyer Report)
2. encourages each of these scholarly activities appropriately within the context of the department's mission and that of the institution.
3. clearly distinguishes between adequate and inadequate work.
4. encourages innovative directions.
5. encourages the **application** of scholarly expertise as well as its **publication**.

Service

An effective, supportive tenured faculty review and development program:

1. encourages faculty members to use their expertise on campus and in the larger community.
2. lays out clear expectations for all members of the department.
3. clearly distinguishes between adequate and inadequate work.
4. encourages and rewards faculty members for appropriate service to the profession.

UWM TENURED FACULTY REVIEW AND DEVELOPMENT POLICY

APPENDIX II

Guidelines for Conducting Faculty Review and Development Activities within Departments

Departments and their respective schools/colleges are strongly encouraged to consider using these guidelines:

1. Departments will develop a statement of criteria for annual compensation and comprehensive post-tenure reviews that is based upon the Department Mission Statement, that is sensitive to strengths of individual faculty, and clearly tied to Faculty Development Plans. This statement and the procedures listed below will be sent to all department faculty and filed with the unit's dean.
2. Executive Committees will use Faculty Development Plans and appropriate supporting evidence in their annual reviews for compensation and comprehensive post-tenure reviews. These reviews will incorporate the progress made by a faculty member and the quality of his/her contributions in meeting the expectations outlined in the plan. Faculty will be rewarded accordingly.
3. For annual reviews, each reviewed faculty member will be provided with a written statement of assessment and compensation recommendations. This statement will use the Faculty Development Plan as its basis.
4. For annual reviews, chairs (or designee) will go over the written statement with each faculty member. The faculty member shall have the opportunity to provide additional written comments, which must be attached to the written statement.
5. Annual written statements of review and confirmation of the personal interview will be placed in each faculty member's personnel file in the school/college dean's office.
6. Department Chairs and Executive Committees are strongly encouraged to discuss developmental expectations with individual faculty members throughout the year.
7. Department Executive Committees are strongly encouraged to pursue formal training in personnel evaluation.
8. Campus administrators are strongly encouraged to work with faculty bodies to provide adequate financial support for faculty development activities.

UWM TENURED FACULTY REVIEW AND DEVELOPMENT POLICY

APPENDIX III

Post-Tenure Review Timelines

For all post-tenure review designations:

Action	Deadline
Notification of faculty member of post-tenure review – case’s initial consideration date	3 months prior to the review committee’s meeting on the case (or April 1 of prior academic year if the case is scheduled to be heard in the first month of the academic year)
Review Committee recommendation to Executive Committee	14 days after the date of the commencement of the review
Executive Committee vote	10 days after receiving Review Committee recommendation

For designations by the executive committee of “Meets Expectations:”

Action	Deadline
Executive Committee informs the faculty member, provost, and chancellor of the decision	30 days after the Executive Committee vote
Faculty response to report	15 days after receipt of report for designation
Executive Committee transmittal of report to dean	5 working days after the faculty response to the executive committee deadline
Dean’s written feedback to Executive Committee on sufficiency	5 working days after receiving report from the Executive Committee
Executive Committee response to Dean regarding sufficiency	10 working days after receiving Dean’s feedback
Dean request for divisional committee advice	5 days after Executive Committee response to Dean’s feedback on sufficiency
Divisional Committee advice to dean	14 days after committee’s receipt of the request
Dean decision	10 working days after receiving advice from divisional committee

For designations by the executive committee of “Does Not Meet Expectations:”

Action	Deadline
Delivery of written summary to faculty member	5 working days after executive committee vote
Faculty response to report	10 working days after receipt of report for designation

Executive Committee transmittal of report to dean	5 working days after the faculty response to the executive committee deadline
Dean request for divisional committee advice	5 days after receiving report
Divisional Committee advice to dean	14 days after committee's receipt of the request
Dean decision	10 working days after receiving advice from divisional committee
Faculty response to dean decision	10 days after notification
Dean submission of report to chancellor, provost, and faculty member	5 working days after the end of the faculty response to the dean deadline
Chancellor notification of faculty member of "Does Not Meet Expectations" designation	30 days prior to end of academic year
Creation of remediation plan	End of academic year

Consideration of Remediation Actions:

Action	Deadline
Faculty submission of documentation of completed remediation	4 weeks prior to the end of the remediation plan period
Executive Committee determination of whether the remediation plan is satisfied / transmission of materials to dean(s)	30 days after the receipt of documentation from faculty member (no later than the end of the remediation plan period)
Dean transmission of decision to faculty member, provost, and chancellor	10 working days after receipt of executive committee decision
Faculty member response to chancellor	5 working days after receiving dean decision

APPENDIX B

Existing UW-Milwaukee Post-Tenure Policy with Tracked Changes

University of Wisconsin - Milwaukee Faculty Document No. 3083, November 17, 2016
October 20, 2016

Recommendation of the University Committee to Revise the Post-Tenure Review Policy

Post-Tenure Review Policy

I. RATIONALE

The UWS Board of Regents adopted its Guidelines covering the review and development of tenured faculty on March 10, 2016. Each UWS institution has been directed to develop its own policy consistent with the Board's policy that includes the following elements:

- A. Provision for a review, at least once every five years, of each tenured faculty member's activities and performance, in accordance with the mission of the department, college, and institution.
- B. Effective criteria against which to measure progress and accomplishments of faculty during this review and a description of the methods for conducting the evaluation.
- C. Delineation of responsibilities for conducting reviews.
- D. Means by which the merit process and faculty review and development process may be linked and used to facilitate, enhance and reward outstanding performance.
- E. Procedures defining means for remedying problems in cases where deficiencies are revealed.
- F. Provision for a written record of each faculty review; designation of the location for the written record of post-tenure review.
- G. Nothing in this policy is intended to alter the existing rules dealing with tenure determination.

II. GENERAL PRINCIPLES

Given the mission of UWM and the currently codified expectations of the faculty role, three general principles are operative, namely tenured faculty review and development activities are designed (1) to develop the talents of the faculty member, (2) to enhance the academic program(s) to which the faculty member contributes, and (3) to protect the right of open and free inquiry (academic freedom).^{*} Strong academic programs housed within equally strong departments (or equivalent units) are the sure and demonstrable measure of UWM's accountability to the citizens of the State of Wisconsin. With the general tenets of academic freedom as its basis, the strength of academic programs depends on the right of open inquiry and maximum use of faculty talent in teaching, research, outreach and service. The UWM faculty

envision the review of tenured faculty as one that focuses on collegial assessment and provides an opportunity for faculty to review past performance and develop future plans.

Appendix I contains examples of characteristics of effective departmental review procedures. Appendix II contains recommendations for departments on guidelines they should consider adopting regarding annual and post-tenure reviews. Appendix III contains a timeline for actions and their corresponding deadlines.

III. PROCEDURES

A. In keeping with the principles stated above, all tenured faculty members will develop a written 5-year development plan within the context of the overall mission of the Department. As annual reviews are conducted and appropriate modifications made, these plans may be modified while still maintaining a 5-year prospective timeline. Specifically:

1. The Faculty Development Plan will include planned activities in teaching, research and service/outreach. The Plan should not ordinarily exceed five pages.
2. The Department Executive Committee will ensure that the collective Faculty Development Plans for its Department meet the overall mission of the Department and that they provide sufficient flexibility to accommodate faculty with differing responsibilities.
3. Faculty Development Plans and any modifications resulting from regular reviews must be filed with the department's dean.¹ These modifications resulting from regular reviews shall not ordinarily exceed two pages.

B. Comprehensive post-tenure reviews shall occur at least once every five years. The post-tenure review period begins in the academic year following the granting of tenure. Deferral of the review may be requested by the faculty member scheduled to be reviewed. Reasons for such a request include, but are not limited to, the review coinciding with approved leave, other appointments, and pending announced retirement. A deferral request must be approved by the department executive committee(s), dean(s), and provost, except in the case of a faculty member holding a full-time administrative appointment. For such a case, the deferral request needs only approval by the provost. If a deferral is granted, the provost will specify the new review cycle that applies to the faculty member. The periodic post-tenure review may substitute for annual review in the year a faculty member is scheduled for such review.

C. A review for promotion consideration may be considered as a comprehensive post-tenure review. An individual receiving a positive recommendation for promotion consideration will be considered as having met expectations in the post-tenure review. If the individual receives a negative recommendation for promotion consideration, the executive committee will subsequently vote on the post-tenure review determination as specified in Section III.F.5 below.

D. The department chair will provide written notice of the post-tenure review to the faculty member at least 3 months prior to the commencement of the review. If a post-tenure review is to be conducted during the first month of an academic year's contractual period, the faculty

member should receive written notification of the post-tenure review no later than April 1 of the previous academic year.

E. The department's executive committee shall assign two or more tenured faculty members of the department to conduct the review. If there is an insufficient number of tenured faculty members in the department, the executive committee of the department may be augmented following UWM Faculty P&P 4.08. In the case of a faculty member with appointments in more than one department, the department chairs of the involved departments shall agree on procedures for the conduct of the review.

F. Review procedures shall include

1. A review of the qualitative and quantitative evidence of the faculty member's performance over at least the previous five-year period. The evidence should include a current curriculum vitae, annual activity reports, teaching evaluations or summaries of evaluations, and other materials providing evidence of the faculty member's accomplishments and contributions that the department or the faculty member feel are relevant to the review. The reviewers should be provided with the faculty member's Faculty Development Plan, and their review should be based on the faculty member's performance with respect to their Plan. The reviewers shall examine materials to the degree needed to accomplish the purposes of the review.
2. Discussion with the faculty member about his or her contributions to the profession, the department, and the university if either the reviewers or the faculty member so desire.
3. Appropriate consideration of a faculty member's contributions outside the department to interdisciplinary and other programs, governance, administration, and other forms of service to the university and the community.
4. Other steps the executive committee considers useful in making a fair and informed judgment, including but not limited to consultation with individuals who have knowledge of the faculty member's work.
5. The review will result in a recommendation by the committee of whether the faculty member "Meets Expectations," or "Does Not Meet Expectations." The result of the review will be communicated to the executive committee within 14 days of the commencement of the review.

G. The executive committee will assess the findings of the review committee, and within 10 days of receiving the findings vote by written ballot whether the faculty member "Meets Expectations," or "Does Not Meet Expectations." The result of the vote shall be recorded in the minutes of the executive committee.

H. For reviews resulting in an executive committee determination of "meets expectations," the chair of the executive committee shall provide the faculty member with a written statement of the review within 30 days of the determination. The faculty member shall have the right to submit a written response within 15 days of receipt of the statement from the chair of the executive committee. The chair of the executive committee will ~~inform~~ forward the written

statement of the review and the faculty member's response, if received, within 5 days of the deadline for receiving the faculty member's response to the dean(s), provost, and chancellor of the decision within 30 days of the determination of "meets expectations."

I. The dean(s) shall conduct a sufficiency review to ensure that the executive committee's review was conducted according to the criteria and procedures established by the executive committee and that the results of the review are within reasonable expectations for a faculty member. In the event that the dean(s) considers that the review was insufficient, he/she shall provide the reasons to the executive committee in writing why the review was insufficient within five working days of receiving the report. The executive committee may provide a response addressing the dean's concerns about the sufficiency of the review within 10 working days. The dean(s) ~~can~~ may conduct an independent review of the submitted materials, ~~and reach a decision on whether the faculty member "meets expectations" or "does not meet expectations".~~ In this process As part of the independent review, the dean(s) ~~may~~ shall request advice from the appropriate divisional executive committee which shall be provided with all submitted materials for the review. The dean(s) shall request advice from the divisional committee within 5 days of receiving the report, and the divisional committee will provide their advice within 14 days of receiving the request from the dean(s). The dean will then make a recommendation to the Chancellor on whether or not the faculty member "meets expectations" or "does not meet expectations".

J. ~~For~~ When executive committee and dean reviews resulting in "meets expectations," a copy of the summary shall be placed in the department's file of post-tenure reviews. The department shall also preserve in this file all documents that played a substantive role in the review (other than documents such as publications that are readily accessible elsewhere). The dean(s) shall make every effort to offer tangible recognition to those faculty identified as "meets expectations", including but not limited to increased monetary compensation and nomination for university, national and international awards.

K. For executive committee reviews resulting in "does not meet expectations," the executive committee shall provide the faculty member with a written summary of the review within 5 working days of the decision. The faculty member shall have the right to prepare a written response to the summary within 10 working days after receipt of the summary.

L. For reviews resulting in "does not meet expectations," the executive committee decision, along with any additional response from the faculty member, will be transmitted to the dean(s), within 5 working days after the faculty member's written response deadline. The dean(s) will perform their own review, including a request for advice from the appropriate divisional executive committee, which also will be provided with the executive committee decision and any additional faculty response. (See UWM P&P, Ch.3 Sec 3.20 "Advice on other Personnel Matters.") The dean(s) shall request advice from the divisional committee within 5 days of receiving the report, and the divisional committee will provide their advice within 14 days of receiving the request from the dean(s).

M. If the dean(s) finds that the faculty member's performance "does not meet expectations," the dean(s) must provide written reasons to the faculty member for the decision, within 10 working days of receiving advice from the divisional committee. The faculty member may provide a written response to the dean(s) within 10 days upon notification of the decision. This statement can include new documentation on the faculty member's accomplishments.

NL. Within 5 working days of the end of the faculty member written response deadline, the dean(s) will forward their review, which includes the advice from the divisional committee, the executive committee's review, and any written response statements from the faculty member, to the provost and the chancellor (or designee). The chancellor (or designee) will review the case, and following the chancellor's (or designee's) review, the faculty member will be informed by the chancellor (or designee) of the final determination of the review. This result shall be provided to the faculty member in writing no later than 30 days prior to the end of the academic year during which the post-tenure review is conducted.

OM. In the event that the chancellor's (or designee's) review results in a "does not meet expectations" designation for the faculty member, the department chair and the faculty member shall develop a written plan for mentoring and professional development to address all issues identified in the review, in consultation with the appropriate dean(s). This plan shall be completed no later than 30 days after the chancellor (or designee) has informed the faculty member of decision. This plan shall be the product of mutual discussion between the faculty member, the chair, and the dean(s), shall respect academic freedom and professional self-direction, and shall be flexible enough to allow for subsequent alteration. Such a plan could include review and adjustment of the faculty member's responsibilities, development of a new research program or teaching strategy, referral to campus resources, assignment of a mentoring committee, institution of mandatory annual reviews for a specified period, written performance expectations, and/or other elements.

PN. A faculty member who has received a "does not meet expectations" review will have three academic semesters to fully satisfy all the elements of the remediation plan. If the remediation plan includes performance shortfall in research, an extension of one academic semester may be granted by the chancellor (or designee). In such a case, the chancellor (or designee) will notify the UW System Administration Vice President for Academic and Student Affairs of the extension.

QE. The process for determination of the successful completion of the remediation is as follows.

1. The faculty member will submit documentation of his or her activities that address issues identified in the remediation plan to the faculty member's executive committee. This documentation will include any information that the faculty member deems relevant. This documentation can be provided at any time during the remediation period, but must be provided no later than 4 weeks before the end of the remediation plan period.
2. Within 30 days, the executive committee will review the materials submitted, and will make a determination as to whether all elements of the remediation plan have been satisfied. The executive committee will formulate a written explanation for their

determination. The executive committee will then submit the faculty member's documentation along with their determination to the dean(s).

3. The dean(s) will review the materials submitted and the executive committee's determination. If the dean(s) determine that all elements of the remediation plan have been satisfied, the faculty member's performance is to be considered to "meet expectations."
4. The next post-tenure review evaluation of a faculty member who has satisfied all the elements of the remediation plan will be no later than 5 years after the previous post-tenure review.
5. If the dean(s) determines that the faculty member has not satisfied all elements of the remediation plan, then within 10 working days the decision ~~is transmitted to the provost and the chancellor (or designee),~~ and written reasons for this decision are provided to the faculty member, the provost and the chancellor, or designee. Within 5 working days of receiving the notification from the dean(s), the faculty member can submit to the chancellor (or designee) an additional written statement addressing the decisions made by the executive committee and the dean(s). ~~The chancellor (or designee) will then conduct an evaluation of the faculty member's documentation. If the chancellor (or designee) determines that all elements of the remediation plan have been satisfied, the faculty member's performance is to be considered "meets expectations."~~
5. ~~The next post-tenure review evaluation of a faculty member who has satisfied all the elements of the remediation plan will be no later than 5 years after the previous post-tenure review.~~
- 7.6. If the ~~chancellor (or designee)~~ dean(s) determines that the faculty member has failed to meet the expectations set forth in the remediation plan, discipline may be imposed (as listed in UWM P&P 5.43), as appropriate, up to and including dismissal for cause under Chapter UWS 4. The chancellor will notify the University Committee of ~~his/her~~ the intention to pursue disciplinary action of a faculty member prior to ~~the~~ the initiation of ~~ng~~ the process. If discipline other than dismissal for cause is to be pursued, the procedures outlined in UWM P&P 5.41-5.47 will be followed. If dismissal for cause is to be pursued, the procedures outlined in UWM P&P 5.23-5.29 will be followed.

IV. ACCOUNTABILITY

- A. Copies of the departmental criteria and procedures for reviews of tenured faculty shall be filed with the appropriate dean, the provost, and the secretary of the university.
- B. At the beginning of each academic year, the chair shall identify faculty to be reviewed during the academic year, and the executive committee shall establish a calendar for reviews.
- C. Departments shall maintain a record of review completed, including the names of all reviewers.

D. At the end of each academic year, department chairs shall send a report to the appropriate deans listing the names of faculty members reviewed during that academic year and summarizing the outcomes of those reviews. The dean(s) will submit these reports to the provost.

E. If a department fails to conduct requisite reviews by the end of the academic year, the dean shall appoint reviewers to conduct reviews based on the department's specified criteria.

(*Open and free inquire provides for the freedom to pursue novel, unpopular, or unfashionable lines of inquiry.)

¹ Development plans are subject to the routine review by respective school or college deans.

UWM Tenured Faculty Review and Development Policy

Appendix I

Some characteristics of departments with effective tenured faculty review and development procedures

General Principles

An effective, supportive tenured faculty review and development program:

1. acknowledges that a faculty career can evolve over time, can have different emphases at different periods, and is best evaluated over periods longer than one year.
2. formulates and communicates clear expectations of faculty work within the context of the department mission,
3. recognizes the need to improve regularly the procedures and documentation used to evaluate faculty work.
4. includes procedures that encourage individuals to work and review each other collaboratively.
5. provides incentives for faculty members to do better what they already do well and to pursue professional development and curricular innovation.
6. has a prospective as well as a retrospective component, that is, encourages the individuals to outline future activities in the context of department, unit, and campus needs.
7. includes qualitative and quantitative measures of performance.

Teaching

An effective, supportive tenured faculty review and development program:

1. recognizes that reviewing teaching involves **not only** the evaluation of classroom technique and the use of standardized student evaluation forms **but also** regular, direct peer review of teaching through classroom observation, syllabus and test review, etc.
2. uses student evaluation instruments that are reliable and valid, and that members have confidence in.
3. makes regular and consistent attempts to harmonize individual teaching interests and the needs of the program/department.

4. encourages individuals wishing to develop new expertise, new courses, and new ways to organize curriculum.
5. clearly distinguishes between adequate and inadequate performance.
6. includes actual student results as one measure of individual effectiveness.
7. recognizes and rewards other forms of teaching such as advising, directing theses, coordinating multi-section courses, directing faculty development and curriculum workshops, etc.

Scholarship

An effective, supportive tenured faculty review and development program:

1. understands that scholarship can be expressed in a variety of appropriate ways (e.g., advancing knowledge; synthesizing and integrating knowledge; applying knowledge; crafting knowledge by engaging with community and the public; generating knowledge through creative and imaginative work; and representing knowledge through teaching. cf. Scholarship Reconsidered, Boyer Report)
2. encourages each of these scholarly activities appropriately within the context of the department's mission and that of the institution.
3. clearly distinguishes between adequate and inadequate work.
4. encourages innovative directions.
5. encourages the **application** of scholarly expertise as well as its **publication**.

Service

An effective, supportive tenured faculty review and development program:

1. encourages faculty members to use their expertise on campus and in the larger community.
2. lays out clear expectations for all members of the department.
3. clearly distinguishes between adequate and inadequate work.
4. encourages and rewards faculty members for appropriate service to the profession.

UWM TENURED FACULTY REVIEW AND DEVELOPMENT POLICY

APPENDIX II

Guidelines for Conducting Faculty Review and Development Activities within Departments

Departments and their respective schools/colleges are strongly encouraged to consider using these guidelines:

1. Departments will develop a statement of criteria for annual compensation and comprehensive post-tenure reviews that is based upon the Department Mission Statement, that is sensitive to strengths of individual faculty, and clearly tied to Faculty Development Plans. This statement and the procedures listed below will be sent to all department faculty and filed with the unit's dean.
2. Executive Committees will use Faculty Development Plans and appropriate supporting evidence in their annual reviews for compensation and comprehensive post-tenure reviews. These reviews will incorporate the progress made by a faculty member and the quality of his/her contributions in meeting the expectations outlined in the plan. Faculty will be rewarded accordingly.
3. For annual reviews, each reviewed faculty member will be provided with a written statement of assessment and compensation recommendations. This statement will use the Faculty Development Plan as its basis.
4. For annual reviews, chairs (or designee) will go over the written statement with each faculty member. The faculty member shall have the opportunity to provide additional written comments, which must be attached to the written statement.
5. Annual written statements of review and confirmation of the personal interview will be placed in each faculty member's personnel file in the school/college dean's office.
6. Department Chairs and Executive Committees are strongly encouraged to discuss developmental expectations with individual faculty members throughout the year.
7. Department Executive Committees are strongly encouraged to pursue formal training in personnel evaluation.
8. Campus administrators are strongly encouraged to work with faculty bodies to provide adequate financial support for faculty development activities.

UWM TENURED FACULTY REVIEW AND DEVELOPMENT POLICY

APPENDIX III

Post-Tenure Review Timelines

For all post-tenure review designations:

Action	Deadline
Notification of faculty member of post-tenure review – case’s initial consideration date	3 months prior to the review committee’s meeting on the case (or April 1 of prior academic year if the case is scheduled to be heard in the first month of the academic year)
Review Committee recommendation to Executive Committee	14 days after the date of the commencement of the review
Executive Committee vote	10 days after receiving Review Committee recommendation

For designations by the executive committee of “Meets Expectations:”

Action	Deadline
Executive Committee informs the faculty member, provost, and chancellor of the decision	30 days after the Executive Committee vote
Faculty response to report	15 days after receipt of report for designation
Executive Committee transmittal of report to dean	5 working days after the faculty response to the executive committee deadline
Dean’s written feedback to Executive Committee on sufficiency	5 working days after receiving report from the Executive Committee
Executive Committee response to Dean regarding sufficiency	10 working days after receiving Dean’s feedback
Dean request for divisional committee advice	5 days after receiving Executive Committee response to Dean’s feedback on sufficiency report
Divisional Committee advice to dean	14 days after committee’s receipt of the request
Dean decision	10 working days after receiving advice from divisional committee

For designations by the executive committee of “Does Not Meet Expectations:”

Action	Deadline
Delivery of written summary to faculty member	5 working days after executive committee vote

Faculty response to report	10 working days after receipt of report for designation
Executive Committee transmittal of report to dean	5 working days after the faculty response to the executive committee deadline
Dean request for divisional committee advice	5 days after receiving report
Divisional Committee advice to dean	14 days after committee's receipt of the request
Dean decision	10 working days after receiving advice from divisional committee
Faculty response to dean decision	10 days after notification
Dean submission of report to chancellor, provost, and faculty member	5 working days after the end of the faculty response to the dean deadline
Chancellor notification of faculty member of "Does Not Meet Expectations" designation	30 days prior to end of academic year
Creation of remediation plan	End of academic year

Consideration of Remediation Actions:

Action	Deadline
Faculty submission of documentation of completed remediation	4 weeks prior to the end of the remediation plan period
Executive Committee determination of whether the remediation plan is satisfied / transmission of materials to dean(s)	30 days after the receipt of documentation from faculty member (no later than the end of the remediation plan period)
Dean transmission of decision to faculty member, provost, and chancellor	10 working days after receipt of executive committee decision
Faculty member response to chancellor	5 working days after receiving dean decision

MEMORANDUM

November 18, 2016

To: Regent President Regina Millner

From: Mark A. Mone, Chancellor



Re: Post-Tenure Review policy

I am pleased to forward UW-Milwaukee's post-tenure review policy for approval by the Board of Regents.

The Faculty Senate originally adopted revisions to the existing UW-Milwaukee post-tenure review policy to comply with the requirements of RPD 20-9 at its meeting on October 20, 2016. I transmitted the policy for approval by the Board of Regents on October 31. Following a review by General Counsel Tomas Stafford and Vice President James Henderson, we received suggestions for additional revisions to conform with RPD 20-9 as well as to include a provision for an independent review of all faculty who were determined to "meet expectations" by the appropriate executive committees. The policy was further revised in collaboration with the University Committee and was presented to the Faculty Senate for approval at its meeting on November 17, 2016. I am pleased to transmit the approved policy with my endorsement for approval by the Board. As written, the policy is consistent with the Board guidelines and expectations. It is designed to develop the talents of the faculty member, to enhance the academic program(s) to which the faculty member contributes, and to protect the right of open and free inquiry.

Highlights of the policy:

1. Each tenured faculty member is reviewed at least once every five years.
2. The review is based on the faculty member's 5-year development plan in the areas of teaching, research, and service/outreach.
3. Department executive committees conduct the first-level review. In that process, the executive committees will ensure that the collective faculty development plans for its department meet the overall mission of the department and that they provide sufficient flexibility to accommodate faculty with differing responsibilities.

4. The post-tenure review by the executive committee will determine if the faculty member “meets expectations” or “does not meet expectations”.
5. The policy provides the opportunity for the dean to conduct an independent review based on input from the executive committee, the appropriate Divisional Committee, and the faculty member’s input.
6. The dean will forward his/her recommendation on whether the faculty member “meets expectations” or “does not meet expectations” along with all materials used in the review including the written responses from the faculty member to the Provost and the Chancellor.
7. If the Chancellor’s review results in a “does not meet expectations” determination, the department chair and faculty member shall develop a written remediation plan, in consultation with the dean, for mentoring and professional development to address the identified issues. The faculty member will have three academic semesters to fully satisfy all elements of the remediation plan.
8. The faculty member’s documentation of the completion of the remediation plan is reviewed by the executive committee and the dean.
9. If the dean determines that the faculty member has failed to meet the expectations set forth in the remediation plan, discipline may be imposed, as appropriate, up to and including dismissal for cause under Chapter UWS 4.

The policy includes these accountability provisions:

1. Each year, department chairs shall send a report to the appropriate deans listing the names of faculty members reviewed during that academic year and summarizing the outcomes of those reviews. The dean(s) will submit these reports to the provost.
2. If a department fails to conduct requisite reviews by the end of the academic year, the dean shall appoint reviewers to conduct reviews based on the department’s specified criteria.

I have attached the old policy on post-tenure review, the new policy on post-tenure review, and a tracked version indicating the changes for your review and consideration.

I will be happy to address any questions related to this policy.

C: James Henderson, Senior Vice President, UWSA
Tomas Stafford, UW General Counsel
Johannes Britz, Provost, UW-Milwaukee
John Reisel, Chair, University Committee, UW-Milwaukee
Trudy Turner, Secretary of the University, UW-Milwaukee

EDUCATION COMMITTEE

Resolution I.1.o:

That, upon the recommendation of the Chancellor of the University of Wisconsin-Eau Claire and the President of the University of Wisconsin System, the Chancellor is authorized to implement the University's Post-Tenure Review Policy.

UW-EAU CLAIRE POST-TENURE REVIEW POLICY EXECUTIVE SUMMARY

BACKGROUND

UWS 2.02, Wis. Admin. Code (“Faculty Rules: Coverage and Delegation”), requires that rules, policies, and procedures developed by each institution in the UW System pursuant to Chapters UWS 3, 4, 5, 6 and 8 be approved by the Board of Regents prior to taking effect.

On March 10, 2016, the UW System Board of Regents adopted Regent Policy Document (RPD) 20-9, "Periodic Post-Tenure Review in Support of Tenured Faculty Development," available at <https://www.wisconsin.edu/regents/policies/periodic-post-tenure-review-in-support-of-tenured-faculty-development>). RPD 20-9 states that “[w]ithin nine (9) months of the effective date of this Regent policy each institution shall submit an institutional policy to the Board of Regents. Once the institutional policy has been approved, the chancellor, with the advice and counsel of the faculty, is responsible for implementing the policy and operating the institution consistent with its provisions.”

A memo from Chancellor Schmidt dated November 28, 2016, requests approval of the UW-Eau Claire post-tenure review policy by the Board of Regents; it is attached to this document. The UW System Office of General Counsel and the Office of Academic and Student Affairs reviewed the proposed policy. The UW System President recommends approval of the UW-Eau Claire post-tenure review policy.

At its December 2016 meeting, the Education Committee will consider the proposed UW-Eau Claire post-tenure review policy for approval.

REQUESTED ACTION

Adoption of Resolution I.1.o, approving the UW-Eau Claire Post-Tenure Review Policy.

DISCUSSION

On November 8, 2016, the UW-Eau Claire Faculty Senate approved the university’s new post-tenure review policy. Attached to this document is Appendix A, containing the new UW-Eau Claire post-tenure review policy as it would read if approved by the Board of Regents, followed by the former post-tenure review policy with strikeout language.

RELATED REGENT POLICIES AND LAWS

Chapters UWS 3 and 5, Wis. Admin. Code
Regent Policy Document 20-23

UNIVERSITY OF WISCONSIN-EAU CLAIRE

NOTIFICATION OF UNIVERSITY SENATE ACTION

TO: The Chancellor

REFERRAL DATE: November 10, 2016

RE: Senate Action Concerning: Post-Tenure Review Amended

DATE of Senate Action: November 8, 2016

FROM: 
(Signed) University Senate Chair

TEXT OF MOTION:

Replace Part III, Article 5: Personnel Policies and Procedures, Section B.2.f: Faculty: Post Tenure Review (page 64) in the FASRP with the following language:

f. Faculty: Post-Tenure Review (RPD 20-9) (US 10/16)

- 1) The overriding purpose of the periodic, post-tenure review is tenured faculty development; such review shall not infringe on existing faculty rights and protections (with the exception noted in f.2), including those of academic freedom.
- 2) All policies, procedures, and definitions for post-tenure review, unless otherwise specified, are taken from RPD 20-9. The reviews conducted and remediation plans developed in accordance with this policy are subject to the complaint process set forth in Chapter UWS 6.01, Wis. Admin Code, but are not subject to the grievance process set forth in Chapter UWS 6.02, Wis. Admin. Code. Cases where failed remediation leads to a recommendation of termination for cause are subject to Chapter UWS 4.01, Wis. Admin. Code. The post tenure review process is separate and distinct from all other review processes, including all annual, salary, and promotion reviews.
- 3) Definition of Review Categories

The review will result in the assignment of an overall category reflecting faculty performance. In determining the category, the review shall consider whether the faculty member under review has discharged conscientiously and with professional competence the contractual duties appropriately associated with the faculty member's position. All tenured faculty members under review shall be assigned one of the following three categories.

- a) Exceeds Expectations: This category reflects a significant level of accomplishment through performance of contractual duties beyond what is expected for the institution, college, department, or program as reflected in the approved evaluation plan. All faculty in this category shall be included in the salary adjustment pool as outlined in the Comprehensive Salary Plan approved by the University Senate.
- b) Meets expectations. This category reflects the expected level of accomplishment through performance of contractual duties for the institution, college, department, or program as reflected in the approved evaluation plan.
- c) Does not meet expectations. This category reflects a level of accomplishment

through performance of contractual duties below the expected level for the institution, college, department, or program as reflected in the approved evaluation plan, and which requires remediation. All reviews resulting in "does not meet expectations," unless overturned upon further review, will result in a remediation plan as described below.

- 4) Post-Tenure Review Subcommittee of the Department Personnel Committee (DPC)
 - a) Membership
 - 1) Each post-tenure review subcommittee shall consist of members of the Department Personnel Committee (DPC) who hold the same or higher rank as that individual being reviewed.
 - b) Organization
 - 1) 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 by that subcommittee.
 - 2) 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. 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 two, then for the purpose of those actions, the functional equivalent (see below) shall replace the committee. (US 11/10)
 - c) Functional Equivalent
 - 1) If any of the post-tenure review subcommittees cannot be formed because of insufficient numbers of eligible members, then, unless the 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)
 - 2) 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.

- 3) In those cases where the Department Chair is the sole member of the functional equivalent, the normal meeting announcement procedures do not apply.
- d) Charge to the Committee
- 1) 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 performance evaluation shall only address the performance criteria contained in the most recently approved personnel evaluation plan. The committee shall forward to the Department Chair the written performance evaluation and separate form recording the recommended category and the votes for and against the recommended category. Following the post-tenure review, a faculty member may request the Department Chair to recommend a salary adjustment as outlined in the Comprehensive Salary Plan approved by the University Senate. (US 5/08; US 11/10)

e) Procedures

- 1) The Provost will inform faculty members who are scheduled for post-tenure review no later than May 1 of the academic year preceding the start of the review cycle. Furthermore, 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.
- 2) 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 forwarded to the Department Chair. 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 seven days of the notice.

5) Role of the Department Chair In Post-Tenure Review

- a) After reviewing the submitted materials, the Department Chair shall submit a recommendation to the Dean, along with the subcommittee report and any written response from the faculty member to the subcommittee report. The Chair's letter shall assign the faculty member to one of the three categories outlined in Section f.3. The Department Chair shall provide the faculty member with a copy of the recommendation and inform the faculty member of his/her right to discuss the recommendation with the Dean and of his/her right to submit to the Dean a written response to the Chair's recommendation within seven days of the notice. The Department Chair shall forward any such response from the faculty member to the Dean.
- 6) Role of The Dean In Post-Tenure Review
 - a) After reviewing the submitted materials, the Dean shall submit a recommendation to the Provost, along with the materials from the subcommittee and Department Chair report. The Dean's letter shall recommend the faculty member be assigned to one of the three categories outlined in Section f.3. The Dean shall provide the faculty member with a copy of the recommendation and inform the faculty member of his/her right to discuss the recommendation with the Provost and of his/her right to submit to the Provost a written response to the Dean's recommendation within seven days of the notice. The Dean shall forward any such response from the faculty member to the Provost.
- 7) Role of the Provost In Post-Tenure Review
 - a) After reviewing the submitted materials the Provost (or designee) shall submit a recommendation to the Chancellor, along with materials from the previous reviews. The Provost's letter shall recommend the faculty member be assigned to one of the three categories listed in Section f.3. The Provost shall provide the faculty member with a copy of the recommendation and inform the faculty member of his/her right to discuss the recommendation with the Chancellor and of his/her right to submit to the Chancellor a written response to the Provost's recommendation within seven days of the notice. The Provost shall forward any such response from the faculty member to the Chancellor.
- 8) Role of the Chancellor In Post-Tenure Review
 - a) After reviewing the submitted materials, the Chancellor (or designee) shall make a determination that assigns the faculty member to one of the three categories outlined in Section f.3. The Chancellor shall forward this determination to the faculty member, the Department Chair, the Dean, and the Provost.
- 9) Post-Tenure Review of the Department Chair
 - a) 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, unless that person is the sole member of the committee, in which case the Dean will serve the role of department chair and the senior most member will constitute the review committee. As with all post-tenure reviews, the evaluation of the Department Chair shall be conducted relative to the faculty performance criteria outlined in evaluation plan of the Chair's department. In particular, the Department Chair is to be evaluated against criteria for teaching, scholarship, and service. In those cases where there are no eligible faculty to serve on the post-

tenure review subcommittee for the Department Chair, the Dean shall serve the role of department chair and shall, in consultation with the Department Chair, select up to two 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 evaluation plan of the Chair's department. (US 11/10)

10) Post-Tenure Remediation

- a) The Dean shall identify any performance deficiencies that result from the process described above and provide a written report to the faculty member.
- b) After receiving the report from the Dean, the faculty member shall, in consultation with the Dean and the Department Chair, devise a remediation plan. The Dean has final approval over the remediation plan.
 - 1) The remediation plan shall address all of the criteria outlined in RPD 20-9 (teaching, scholarship, and service) regarding deficiencies that led to the assignment of the category "does not meet expectations" by the Chancellor.
 - 2) The primary focus of the remediation plan shall be developmental and provide the faculty member with appropriate support from the department or college as appropriate.
 - 3) The remediation plan shall include details of the support needed for implementation and shall specify a range of possible sanctions should it be determined that the faculty member has not met the remediation plan expectations.
 - a. Possible sanctions may include, but are not limited to: workload reassignment, limited access to discretionary institutional support resources, reduction in salary, reduction in rank, or dismissal for cause (UWS 4.01).
 - 4) The remediation plan shall include a semester-by-semester timeline that includes the three-semester timespan outlined in RPD 20-9, if necessary. The timespan shall begin with the next full academic semester but does not include the summer term unless it is specified in the remediation plan and the faculty member has summer term financial support designated for the remediation plan.
 - 5) If the remediation plan includes a research component, the faculty member may be granted an extension of one semester if approved by the Chancellor.
- c) At the conclusion of the remediation plan, or at any time prior to the end of the remediation plan, the faculty member in remediation shall submit a report to the Department Chair describing how the faculty member has met the goals of the remediation plan.
- d) After reviewing the report from the faculty member in remediation, the Department Chair shall submit a written recommendation to the Dean. The recommendation shall include the Department Chair's determination regarding whether the remediation goals have been met. The Department Chair shall inform the faculty member of his/her right to discuss the

recommendation with the Dean and of his/her right to submit to the Dean a written response to the Chair's recommendation within seven days of the notice.

- e) After reviewing the report from the faculty member in remediation and the Department Chair, the Dean shall make a determination as to the achievement of the goals of the remediation plan.
 - 1) If the Dean determines the faculty member has achieved the goals of the remediation plan, the Dean shall inform the faculty member, the Department Chair, the Provost and the Chancellor that the plan has been completed and that no further action will be taken.
 - 2) If the Dean determines the faculty member has not achieved the goals of the remediation plan, the Dean shall submit a report to the Provost. The report shall include an explanation of any unresolved deficiencies. The Dean shall inform the faculty member of his/her right to discuss the report with the Provost and of his/her right to submit to the Provost a written response to the Dean's report within seven days of the notice.
- f) If the Provost receives notification from the Dean that the faculty member in remediation has not achieved the goals of the remediation plan, the Provost shall convene a consultative meeting that includes the faculty member in remediation, the Department Chair, and the Dean.
 - 1) If the Provost determines the goals of the remediation plan have been met, the Provost shall inform the faculty member, the Department Chair, the Dean and the Chancellor that the plan has been completed and that no further action will be taken.
 - 2) If the Provost determines the goals of the remediation plan have not been met, the Provost will, in consultation with the Chancellor, determine which sanctions outlined in the remediation plan shall be applied.

~~f. Faculty: Post Tenure Review (US 9/04)~~

~~1) Post Tenure Review Subcommittee of the Department Personnel Committee~~

~~a) 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.~~

~~b) 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.~~

appropriate post-tenure review 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 two, then for the purpose of those actions, the functional equivalent (see below) shall replace the committee. (US 11/10)

e) ~~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.~~

d) ~~Charge to the Committee~~

~~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, nor any salary recommendation. Following the post-tenure review, a faculty member may request the Department Chair to recommend a salary adjustment as outlined in the Comprehensive Salary Plan approved by the University Senate. (US 5/08; US 11/10)~~

e) ~~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 five 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.

2) ~~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, unless that person is the sole member of the committee, in which case the Dean will serve the role of department chair and the senior most member will constitute the review committee. 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 shall serve the role of department chair and shall, in consultation with the Department Chair, select up to two 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. (US 11/10)~~

Implementation Date: Upon July 2017 publication of the FASRP

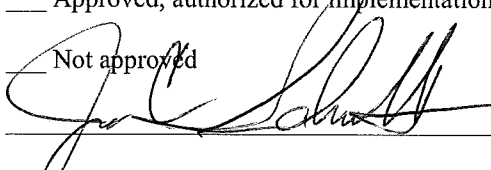
Appropriate response is requested. Please notify the Senate by completing this form and returning the yellow copy to the University Senate Office.

Approved, authorized for implementation

Held for further consideration

Not approved

Received/acknowledged



11-28-16

Chancellor's Signature

Date of Response



University of Wisconsin-Eau Claire

105 Garfield Avenue • P.O. Box 4004 • Eau Claire, WI 54702-4004

November 28, 2016

Ms. Regina Millner, Regent President
University of Wisconsin Board of Regents
1860 Van Hise Hall, 1220 Linden Drive
Madison, WI 53706

Raymond Cross, President
University of Wisconsin System
1700 Van Hise Hall, 1220 Linden Drive
Madison, WI 53706

Dear Regent President Regina Millner and UW System President Ray Cross:

On November 8, 2016, the University Senate of the University of Wisconsin-Eau Claire (UW-Eau Claire) voted to forward UW-Eau Claire's Post-Tenure Review Policy to the University of Wisconsin System (UW System). The policy was developed by the University Senate Faculty Personnel Committee for approval by the University Senate. Prior to University Senate approval, the policy was vetted by academic deans, academic department chairs, and program directors (August 31, 2016) and a faculty open forum (September 27, 2016). In addition, Tom Stafford, General Counsel, and Jim Henderson, Vice President, UW System for Academic and Student Affairs, provided feedback on an earlier draft and this most recent draft.

The UW-Eau Claire policy was built from the foundations of the UW System Board of Regents' policy and the existing UW-Eau Claire Post-Tenure Review Policy. [University of Wisconsin-Eau Claire *Faculty and Academic Staff Rules and Procedures, 11th Edition – July 2016* (FASRP).] Upon approval, the policy will be entered into the UW-Eau Claire *Faculty and Academic Staff Rules and Procedures, 13th Edition – July 2017*.

UW-Eau Claire's University Senate conducted a first reading of the post-tenure review policy on Tuesday, October 11, 2016. The second reading of the policy occurred on Tuesday, October 25, 2016, at which time the original policy was amended to affirm the policy was not subject to the FASRP grievance policy and to change language in the policy from five to seven days by which a faculty member under review could respond to a review at all levels of the recommendation process (e.g., department chair, dean, provost). The amended policy passed and was forwarded to the Office of the Chancellor.

Upon further review, it was determined by UW System, in consultation with the Board of Regents, provisions for "reconsideration" in the University Senate approved policy needed to be removed. The UW-Eau Claire University Senate approved the removal of the provision on November 8, 2016.

I'm greatly appreciative of the work of the University Senate and endorse the policy as written.

Sincerely,

James C. Schmidt
Chancellor

Excellence. Our measure, our motto, our goal.

Office of the Chancellor • Schofield 204 • 715-836-2327 • fax: 715-836-2902

cc: James P. Henderson, Vice President for Academic and Student Affairs (UW System)
Patricia A. Kleine, Provost and Vice Chancellor for Academic Affairs (UW-Eau Claire)
Tomas L. Stafford, General Counsel (UW System)
Jessica Tormey, Chief of Staff, Office of the President (UW System)
Mitch Freymiller, Faculty Senate Chair (UW-Eau Claire)
Geoff Peterson, Faculty Personnel Committee Chair and Faculty Representative (UW-Eau Claire)

EDUCATION COMMITTEE

Resolution I.1.p:

That, upon the recommendation of the Chancellor of the University of Wisconsin-Oshkosh and the President of the University of Wisconsin System, the Chancellor is authorized to implement the University's Post-Tenure Review Policy.

UW-OSHKOSH POST-TENURE REVIEW POLICY EXECUTIVE SUMMARY

BACKGROUND

UWS 2.02, Wis. Admin. Code (“Faculty Rules: Coverage and Delegation”), requires that rules, policies, and procedures developed by each institution in the UW System pursuant to Chapters UWS 3, 4, 5, 6 and 8 be approved by the Board of Regents prior to taking effect.

On March 10, 2016, the UW System Board of Regents adopted Regent Policy Document (RPD) 20-9, "Periodic Post-Tenure Review in Support of Tenured Faculty Development," available at <https://www.wisconsin.edu/regents/policies/periodic-post-tenure-review-in-support-of-tenured-faculty-development>). RPD 20-9 states that “[w]ithin nine (9) months of the effective date of this Regent policy each institution shall submit an institutional policy to the Board of Regents. Once the institutional policy has been approved, the chancellor, with the advice and counsel of the faculty, is responsible for implementing the policy and operating the institution consistent with its provisions.”

A memo from Chancellor Leavitt and Provost Earns dated November 28, 2016, requests approval of the UW-Oshkosh post-tenure review policy by the Board of Regents; it is attached to this document. The UW System Office of General Counsel and the Office of Academic and Student Affairs reviewed the proposed policy. The UW System President recommends approval of the UW-Oshkosh Claire post-tenure review policy.

At its December 2016 meeting, the Education Committee will consider the proposed UW-Oshkosh post-tenure review policy for approval.

REQUESTED ACTION

Adoption of Resolution I.1.p, approving the UW-Oshkosh Post-Tenure Review Policy.

DISCUSSION

On November 22, 2016, the UW-Oshkosh Faculty Senate approved the university’s new post-tenure review policy. Attached to this document is Appendix A, containing the new UW-Oshkosh post-tenure review policy as it would read if approved by the Board of Regents, followed by Appendix B containing the former post-tenure review policy with strikeout language.

RELATED REGENT POLICIES AND LAWS

Chapters UWS 3 and 5, Wis. Admin. Code
Regent Policy Document 20-23

APPENDIX A

FAC 6.3: Post-Tenure Review **Approved by UW Oshkosh Faculty Senate– November 22, 2016**

6.3.A Regent Policy 20-9 Periodic Post-Tenure Review in Support of Tenured Faculty Development

Scope

This policy applies to all UW System institutions and tenured faculty members. The post-tenure review described by this policy is not intended to serve as a substitute for annual or other evaluations of tenured faculty performance that may occur at an institution, nor is it intended as a re-evaluation of tenure.

Purpose

The purpose of this policy is to reflect the Board of Regents' commitment to promoting the continued high-quality teaching, research/scholarship, and service of its tenured faculty, and thereby to enhance the educational environment for its students and the larger community. The primary purpose of the periodic, post-tenure review of tenured faculty is to support tenured faculty development.

Policy Statement

Tenure is an essential part of the guarantee of academic freedom that is necessary for university-based intellectual life to flourish. The grant of indeterminate tenure to faculty members represents an enormous investment of university and societal resources, and those who receive this investment do so only after rigorous review which established that their scholarship, research, teaching, and service met the highest standards and are congruent with the needs of the university.

It is the policy of the Board of Regents that a periodic, post-tenure review of tenured faculty members is essential to promoting faculty development, including recognizing innovation and creativity; enhancing the educational environment for students; and identifying and redressing deficiencies in overall performance of duties through a supportive and developmental remediation process.

Nothing in this policy shall be interpreted to alter or to infringe upon existing tenure rights, as set forth in UW System Board of Regents or UW System policies, nor shall this policy diminish the important guarantees of academic freedom. Specifically, this policy does not supersede administrative rules providing for termination for cause set forth in Chapter UWS 4 of the Wisconsin Administrative Code.

Each institution, through its normal governance process, shall develop and implement a policy for periodic, posttenure review of tenured faculty members that contains, at a minimum, the following:

1. A definitions section, as needed, that is consistent with the defined terms as they are used in related law and policy.
2. A statement that emphasizes that the overriding purpose of the periodic, post-tenure review is tenured faculty development, and that such review shall not infringe on existing faculty rights and protections, including those of academic freedom.
3. A summary description of the annual or other more frequent tenured faculty evaluation process that is separate and distinct from the post-tenure review process.
4. Provision for review, at least once every five years, of each tenured faculty member's activities and performance. The post-tenure review period begins in the academic year following the granting of tenure. The review may be deferred, only with the approval of the provost, for unusual circumstances such as when it may coincide with an approved leave, promotion review, or other appointment. In such

cases, the provost will specify the new review cycle that applies to the faculty member. The periodic, post-tenure review may substitute for annual review in the year a faculty member is scheduled for such review.

5. Provision for notice of the intent to review at least three months before the review is conducted. However, failure to meet this notice deadline does not obviate the requirement to conduct and participate in the review.
6. Identification of criteria by which to evaluate the tenured faculty member's performance that are effective and consistent with the mission and expectations of the department, school or college, and institution, as applicable, and sufficiently flexible to permit shifts in professional emphasis. However any criteria must fall within the three categories of teaching, scholarship/research/creative activity, and service.
7. Delineation of the roles and responsibilities of those who will conduct or contribute to the review.
8. Delineation of the process by which the review will be conducted, including a timeline.
9. Identification of the following categories reflecting the overall results of the review. In determining the category, the review will consider whether the faculty member under review has discharged conscientiously and with professional competence the duties appropriately associated with the faculty member's position.

1. Meets expectations. This category is awarded to those tenured faculty members whose performance reflects the expected level of accomplishment.
2. Does not meet expectations. This category is awarded to those tenured faculty members whose performance reflects a level of accomplishment below the expected level and which requires correction. All reviews resulting in "does not meet expectations," unless overturned upon further review, will result in a remediation plan as described below.

An institution may add an additional category of "Exceeds expectations," which is to be awarded to those tenured faculty members whose performance reflects a significant level of accomplishment beyond what is normal for the institution, college or school, or department.

10. Provision for a written report for each faculty review and the opportunity for the reviewed faculty member to provide a written response to the report. The report should be provided to the faculty member, the department chair, the dean (as applicable), and the provost.
11. A description of any opportunities offered to faculty members who receive a review in the category of meets or exceeds expectations, as applicable, including additional compensation, subject to the availability of resources.
12. A description of the procedures that apply when a faculty member receives a review in the category of "does not meet expectations" that includes the following:
 1. Requirement that the identification of any deficiencies be described in writing and provided to the faculty member;
 2. Provision for review by the dean, followed by review by the chancellor (or designee). The faculty member may provide a written statement to accompany these reviews. Following the chancellor or designee's review, the faculty member will be informed by the chancellor or designee that the faculty member has received a result of "meets expectations," or that a remediation plan will be developed; and
 3. Provision for a remediation plan to be developed by the faculty member in consultation with the dean to assist the faculty member in addressing those deficiencies identified in the review.

1. The primary focus of the remediation plan shall be developmental and provide the faculty member with appropriate support from the department or dean as applicable.
 2. Provision for a mechanism for determining how and when the faculty member will have satisfied the expectations of the remediation plan as determined by the dean in consultation with the chancellor and faculty member; however, all elements of the plan must be satisfied within a reasonable time period, commensurate with the identified deficiencies determined by the dean, not to exceed three academic semesters. In those few remediation plans related to a performance shortfall in research where more than three academic semesters may be necessary to correct identified deficiencies, an extension of one academic semester shall be permitted only with the approval of the chancellor, which shall trigger a notification of that extension to the UW System Administration Vice President for Academic and Student Affairs.
 3. Provision for actions to be taken when the faculty member fails to meet the expectations set forth in the remediation plan, which includes reference to existing faculty complaint processes, and which permits the imposition of discipline, as appropriate, up to and including dismissal for cause under Chapter UWS 4.
13. Provision for assistance prior to and following the review, regardless of the results of the faculty member's post-tenure review, that is available to all faculty members to support their professional development at any time in their careers.
 14. Provision for a full, written record to be created containing the results of a faculty member's periodic, post-tenure review and any ensuing actions, as described above, and for the written record to be provided to the dean and chancellor (or designee). Information and documentation relating to the review shall be maintained by the appropriate department, college or school, or university personnel or bodies, and disclosed otherwise only at the discretion, or with the explicit consent, of the faculty member, unless required by business necessity or by law.
 15. Provision that department chairs or their organizational equivalent be required to report annually to the dean and chancellor (or designee) that all periodic, post-tenure reviews for tenured faculty in that annual cycle have been completed, and that the chancellor (or designee) has responsibility for ensuring the reviews are completed on schedule.
 16. The reviews conducted and remediation plans developed in accordance with this policy are not subject to the grievance process set forth in Chapter UWS 6.02, Wis. Admin. Code.

Oversight, Roles and Responsibilities

Each institution shall submit to the Board of Regents for approval the institutional policy developed in accordance with this Regent policy. Within nine (9) months of the effective date of this Regent policy, each institution shall submit an institutional policy to the Board of Regents. Once the institutional policy has been approved, the chancellor, with the advice and counsel of the faculty, is responsible for implementing the policy and operating the institution consistent with its provisions.

Related Regent Policies and Applicable Laws

Chapter 36, Wis. Stats.

Chapters UWS 3, 4, and 6, Wis. Admin. Code

Regent Policy Document 20-23

History: Res. 6118, adopted 05/08/1992, created Regent Policy Document 92-5; subsequently renumbered 20-9.

Res. 10644, adopted 03/10/2016, amended and renamed Regent Policy Document 20-9, "Periodic Post-Tenure Review in Support of Tenured Faculty Development"

6.3.B Policy Statement

The primary purpose of the periodic post-tenure review of faculty at UW Oshkosh is to support tenured faculty development. It is primarily a peer-review process that is based on discipline-specific requirements. Post-tenure review is not a re-tenuring process. It shall not infringe upon existing tenure rights or academic freedom.

6.3.C Policy Design

Each college shall design a post-tenure review process that fulfills the requirements in Regent policy 20-9 (also as FAC 6.3.A). This policy shall contain all of the elements outlined in 1-16 of said policy. In addition, each policy shall contain the elements outlined in sections 6.3.C through 6.3.H. This policy shall be approved by the appropriate college-level governance bodies, faculty senate, and the chancellor.

Any approved absence shall not count toward the post-tenure review period, the time limit of review, or the completion of remediation if approved by Provost/designee.

6.3.D Time Frame for the Post-Tenure Review Process

The individual review process shall not exceed one academic year without special permission of the chancellor/designee. There shall be a clear, consistent time line for the review process that should align with the administrative calendar.

6.3.E Delineation of Roles and Responsibilities (Regent Policy 20-9-7)

In the delineation of roles, each college shall specify at least one level of faculty review after the initial level of review, unless this is impossible, before review by the dean. Each college policy shall define categories of sanctions, up to and including termination, that may be applied in cases where a faculty member does not meet expectations.

6.3.F Delineation of Process (Regent Policy 20-9-8, 20-9-12-2)

Faculty members under review shall be able to provide a written response to each level of review. If there is a disagreement among any level of review, the faculty member under review should consult with the faculty senate ombudsperson for clarification, concerns about the fairness of the review(s), and the development of an appropriate written addendum before proceeding to the next level.

When the review process is completed, the faculty member will be informed by the chancellor/designee of the results.

6.3.G Remediation Plan Development and Review (Regent Policy 20-9-12-3-1)

In the case of a review in the category of "does not meet expectations," the faculty member shall devise a remediation plan in consultation with the dean/designee and the appropriate shared governance body (as designated by college bylaws). The remediation plan shall include details of the support needed for

implementation and shall specify the possible sanctions, up to and including termination, should it be determined that the faculty member has not met the remediation plan expectations. The faculty member is advised to consult with the faculty senate ombudsperson throughout the remediation period.

The dean shall consult with the appropriate shared governance body before determining that the expectations of the plan have/have not been satisfied and before taking any action.

6.3.H Remediation Plan Period (Regent Policy 20-9-12-3-2)

The remediation period shall begin with the next full academic semester after the dean's approval of the remediation plan. It shall not include the summer term unless it is specified in the remediation plan and the faculty member has summer-term financial support. The faculty member may be granted an extension of one semester to address research deficiencies if approved by the chancellor.

APPENDIX B
EXISTING UW-OSHKOSH POST-TENURE REVIEW POLICY

FAC 6.3 Post-Tenure Review

~~Every four years, all tenured faculty who have not been promoted in rank in the past four years, shall participate in a performance appraisal. Colleges shall identify a process for post tenure review that must include the following:~~

- ~~(1) General guidelines for the collection and assessment of evidence of quality teaching, professional and scholarly growth, and service. These guidelines must be consistent with the collection and assessment of such evidence in the merit process and in the promotion process.~~
- ~~(2) A process for providing written feedback to faculty members being evaluated and for face to face feedback with the unit head and/or personnel committee representative.~~
- ~~(3) A process for identifying those faculty whose performance does not meet professional expectations in the area of teaching, professional and scholarly growth, and service. For faculty who are not meeting expectations, a faculty development plan should be developed. The faculty development plan should outline major goals to be attained in order to eliminate the deficiencies.~~
- ~~(4) Provision for using the results of the post tenure review in determining merit pay adjustments without conducting a separate merit review.~~
- ~~(5) Provision for filing summaries of evaluations with the Provost and Vice Chancellor's Office.~~



November 28, 2016

Regent Millner, President, UW System Board of Regents
Ray Cross, President, UW System
Jim Henderson, Vice President, UW System
1700 Van Hise Hall
1220 Linden Dr.
Madison, WI 53706

Dear Regent President Millner, President Cross, and Vice President
Henderson,

We approve the policy presented to us, which was approved unanimously by the UW Oshkosh Faculty Senate on November 22, 2016. We agree with the approach of our faculty senate in the proposed UWO FAC 6.3. It allows our university to insist on strong post-tenure review, while providing the necessary flexibility to each of our four colleges. In collaboration with the faculty of our institution, this policy will allow us to strengthen our institution and assure that all students have the opportunity to work with high-quality faculty members.

We ask that the President and Board of Regents approve this policy.

Sincerely,

A handwritten signature in blue ink, appearing to read "A. Leavitt".

Andrew Leavitt
Chancellor

A handwritten signature in black ink, appearing to read "Lane R. Earns".

Lane R. Earns
Provost and Vice Chancellor

Authorization to Establish a
Higher Education Attainment Goal

EDUCATION COMMITTEE

Resolution I.1.q

That, upon the recommendation of the President of the University of Wisconsin System, the University of Wisconsin System Board of Regents supports the establishment of a Wisconsin Higher Education Attainment Goal; encourages and authorizes the President of the University of Wisconsin System to collaborate with the Wisconsin Technical College System and the Wisconsin Association of Independent Colleges and Universities in establishing the Higher Education Attainment Goal; and directs the System President to notify the Board of the goal that is established.

AUTHORIZATION TO ESTABLISH A HIGHER EDUCATION ATTAINMENT GOAL

BACKGROUND

Lumina Foundation is an independent and private foundation, founded in the year 2000, which promotes improvements in higher education practices and student success. One of the foundation's initiatives, known as Goal 2025, focuses on increasing nationwide the proportion of Americans who hold high-quality degrees, certificates and other credentials to 60% by the year 2025. Additional information about Lumina Foundation and Goal 2025 can be found at: https://www.luminafoundation.org/goal_2025. The University of Wisconsin System is poised to be a strong partner in this nationwide effort to increase overall degree attainment of the Wisconsin adult population aged 25 to 64.

The University of Wisconsin System, the Wisconsin Technical College System (WTCS), and the Wisconsin Association of Independent Colleges and Universities (WAICU) propose to set an attainment goal, which will help to increase the supply of college-educated workers in the state and drive innovation and economic prosperity.

REQUESTED ACTION

Adoption of Resolution I.1.q, supporting the establishment of a Wisconsin higher education attainment goal through collaboration among the UW System, WTCS, and WAICU; and directing the System President to notify the board of the goal that is established.

DISCUSSION

Increasing postsecondary education attainment is critical to creating a robust economy. State higher education attainment goals seek to increase the educational levels of a state's adult population while also addressing workforce needs.

As stated in the 2016 *Lumina Foundation Stronger Nation* report, 47.1 percent of Wisconsin residents held a postsecondary degree or high-quality credential. The report recommends that, by the year 2025, 60 percent of Americans should hold a degree, a certificate, or other high-quality postsecondary credential in order to be prepared for 21st century challenges and to compete in the global economy.

In acknowledgment of the fact that the most recent economic recession had a profound impact on workers who did not possess college degrees, the report further notes that:

Workers with some college or an associate degree also lost jobs during the Great Recession — 1.8 million jobs, to be exact. However, unlike jobs requiring high school and below, these jobs have more than come back. Today, there are 700,000 more jobs requiring some college or an associate

degree than existed before the recession (see, the 2016 Lumina Stronger Nation Report, p. 3).

Seeking to correct the impression that higher education credentials do not provide a better protection against job loss for workers, the report comes to the conclusion that:

Contrary to anecdotal — and incorrect — reports throughout the media, the number of jobs requiring at least a bachelor’s degree did not decline during the Great Recession and has exploded in the recovery. Today, there are 8.1 million more jobs for Americans with a bachelor’s degree or above than existed when the recession began. Virtually all job growth in the U.S. since 2007 is in jobs requiring some form of postsecondary education (see, the 2016 Lumina Stronger Nation Report, p. 3).

This new type of labor market represents a fundamental shift for the nation and for Wisconsin. This shift requires the direction of resources to the most effective pathways toward degree attainment and increased collaboration between state agencies and other partners in secondary and post-secondary education, for instance in academic program planning and workforce development.

Therefore, the University of Wisconsin System, WTCS, and WAICU are collaboratively working on setting an attainment goal. Areas of opportunity for growth include adults with some college but no credential, underrepresented populations, non-traditional, minorities and first generation students.

RELATED REGENT POLICIES

N/A

Revision of Regent Policy Document 20-9,
“Periodic Post-Tenure Review in Support of
Tenured Faculty Development”

EDUCATION COMMITTEE

Resolution I.1.r:

That, upon the recommendation of the President of the University of Wisconsin System Board of Regents, the Board of Regents adopts the attached amendment to Regent Policy Document 20-9, “Periodic Post-Tenure Review in Support of Tenured Faculty Development.”

**REVISION OF REGENT POLICY DOCUMENT 20-9,
PERIODIC POST-TENURE REVIEW IN SUPPORT OF
TENURED FACULTY DEVELOPMENT**

BACKGROUND

In March 2016 the UW System Board of Regents revised Regent Policy Document (RPD) 20-9, the Board's policy on post-tenure review. The policy that existed prior to that time was revised: (1) to differentiate periodic five-year post-tenure reviews governed by the policy from other reviews of tenured faculty, such as annual reviews; (2) to add criteria for evaluating tenured faculty performance; (3) to provide a process for faculty members to receive support for their professional development or to request additional review; and (4) to require a process for ensuring post-tenure review occurs on a regular cycle.

REQUESTED ACTION

Adoption of Resolution I.1.r, amending RPD 20-9 to include a provision for administrative review of the results of a post-tenure review.

DISCUSSION

When the Board of Regents adopted revisions to RPD 20-9, now called "Periodic Post-Tenure Review in Support of Tenured Faculty Development," the policy required each UW institution to include in its post-tenure review policy "delineation of the roles and responsibilities of those who will conduct or contribute to the review." The policy did not make clear that the roles and responsibilities should include an independent review of faculty involved in post-tenure review by the dean, provost or chancellor. Such a review would be required as part of the initial faculty tenure process. This type of review is also appropriate in conjunction with post-tenure review and is a good practice for helping ensure that faculty members receive unbiased and impartial treatment.

Attachment A shows the recommended revisions to RPD 20-9 that will clarify the expectation that roles and responsibilities during the tenure-review process will include an independent, substantive review by a university administrator.

RELATED BOARD OF REGENTS POLICIES

RPD 20-9, "Periodic Post-Tenure Review in Support of Faculty Development"
RPD 20-23, "Faculty Tenure"

ATTACHMENT A

Proposed Revisions to Regent Policy Document 20-9: Periodic Post-Tenure Review in Support of Tenured Faculty Development

Scope

This policy applies to all UW System institutions and tenured faculty members. The post-tenure review described by this policy is not intended to serve as a substitute for annual or other evaluations of tenured faculty performance that may occur at an institution, nor is it intended as a re-evaluation of tenure.

Purpose

The purpose of this policy is to reflect the Board of Regents' commitment to promoting the continued high-quality teaching, research/scholarship, and service of its tenured faculty, and thereby to enhance the educational environment for its students and the larger community. The primary purpose of the periodic, post-tenure review of tenured faculty is to support tenured faculty development.

Policy Statement

Tenure is an essential part of the guarantee of academic freedom that is necessary for university-based intellectual life to flourish. The grant of indeterminate tenure to faculty members represents an enormous investment of university and societal resources, and those who receive this investment do so only after rigorous review which established that their scholarship, research, teaching, and service met the highest standards and are congruent with the needs of the university.

It is the policy of the Board of Regents that a periodic, post-tenure review of tenured faculty members is essential to promoting faculty development, including recognizing innovation and creativity; enhancing the educational environment for students; and identifying and redressing deficiencies in overall performance of duties through a supportive and developmental remediation process.

Nothing in this policy shall be interpreted to alter or to infringe upon existing tenure rights, as set forth in UW System Board of Regents or UW System policies, nor shall this policy diminish the important guarantees of academic freedom. Specifically, this policy does not supersede administrative rules providing for termination for cause set forth in Chapter UWS 4 of the Wisconsin Administrative Code.

Each institution, through its normal governance process, shall develop and implement a policy for periodic, post-tenure review of tenured faculty members that contains, at a minimum, the following:

1. A definitions section, as needed, that is consistent with the defined terms as they are used in related law and policy.

2. A statement that emphasizes that the overriding purpose of the periodic, post-tenure review is tenured faculty development, and that such review shall not infringe on existing faculty rights and protections, including those of academic freedom.
3. A summary description of the annual or other more frequent tenured faculty evaluation process that is separate and distinct from the post-tenure review process.
4. Provision for review, at least once every five years, of each tenured faculty member's activities and performance. The post-tenure review period begins in the academic year following the granting of tenure. The review may be deferred, only with the approval of the provost, for unusual circumstances such as when it may coincide with an approved leave, promotion review, or other appointment. In such cases, the provost will specify the new review cycle that applies to the faculty member. The periodic, post-tenure review may substitute for annual review in the year a faculty member is scheduled for such review.
5. Provision for notice of the intent to review at least three months before the review is conducted. However, failure to meet this notice deadline does not obviate the requirement to conduct and participate in the review.
6. Identification of criteria by which to evaluate the tenured faculty member's performance that are effective and consistent with the mission and expectations of the department, school or college, and institution, as applicable, and sufficiently flexible to permit shifts in professional emphasis. However any criteria must fall within the three categories of teaching, scholarship/research/creative activity, and service.
7. Delineation of the roles and responsibilities of those who will conduct or contribute to the review. These roles and responsibilities shall include an independent, substantive review by a dean, the provost or the chancellor, or a designee, with the appropriate administrator making the final assignment of the category reflecting the overall results of the review.
8. Delineation of the process by which the review will be conducted, including a timeline.
9. Identification of the following categories reflecting the overall results of the review. In determining the category, the review will consider whether the faculty member under review has discharged conscientiously and with professional competence the duties appropriately associated with the faculty member's position.
 - a. Meets expectations. This category is awarded to those tenured faculty members whose performance reflects the expected level of accomplishment.
 - b. Does not meet expectations. This category is awarded to those tenured faculty members whose performance reflects a level of accomplishment below the expected level and which requires correction. All reviews resulting in "does not meet expectations," unless overturned upon further review, will result in a remediation plan as described below. An institution may add an additional category of "Exceeds expectations," which is to be awarded to those tenured

faculty members whose performance reflects a significant level of accomplishment beyond what is normal for the institution, college or school, or department.

10. Provision for a written report for each level of faculty-review and the opportunity for the reviewed faculty member to provide a written response to each the-report. EachThe report should be provided to the faculty member, the department chair, the dean (as applicable), and the provost.
11. A description of any opportunities offered to faculty members who receive a review in the category of meets or exceeds expectations, as applicable, including additional compensation, subject to the availability of resources.
12. A description of the procedures that apply when a faculty member receives a review in the category of “does not meet expectations” that includes the following:
 - a. Requirement that the identification of any deficiencies be described in writing and provided to the faculty member;
 - b. Provision for review by the dean, followed by review by the chancellor (or designee), unless such reviews have already occurred pursuant to section 7 above. The faculty member may provide a written statement to accompany these reviews. Following the chancellor or designee’s review, the faculty member will be informed by the chancellor or designee that the faculty member has received a result of “meets expectations,” or that a remediation plan will be developed; and
 - c. Provision for a remediation plan to be developed by the faculty member in consultation with the dean to assist the faculty member in addressing those deficiencies identified in the review.
 - i. The primary focus of the remediation plan shall be developmental and provide the faculty member with appropriate support from the department or dean as applicable.
 - ii. Provision for a mechanism for determining how and when the faculty member will have satisfied the expectations of the remediation plan as determined by the dean in consultation with the chancellor and faculty member; however, all elements of the plan must be satisfied within a reasonable time period, commensurate with the identified deficiencies determined by the dean, not to exceed three academic semesters. In those few remediation plans related to a performance shortfall in research where more than three academic semesters may be necessary to correct identified deficiencies, an extension of one academic semester shall be permitted only with the approval of the chancellor, which shall trigger a notification of that extension to the UW System Administration Vice President for Academic and Student Affairs.

- iii. Provision for actions to be taken when the faculty member fails to meet the expectations set forth in the remediation plan, which includes reference to existing faculty complaint processes, and which permits the imposition of discipline, as appropriate, up to and including dismissal for cause under Chapter UWS 4.
13. Provision for assistance prior to and following the review, regardless of the results of the faculty member's post-tenure review, that is available to all faculty members to support their professional development at any time in their careers.
 14. Provision for a full, written record to be created containing the results of a faculty member's periodic, post-tenure review and any ensuing actions, as described above, and for the written record to be provided to the dean and chancellor (or designee). Information and documentation relating to the review shall be maintained by the appropriate department, college or school, or university personnel or bodies, and disclosed otherwise only at the discretion, or with the explicit consent, of the faculty member, unless required by business necessity or by law.
 15. Provision that department chairs or their organizational equivalent be required to report annually to the dean and chancellor (or designee) that all periodic, post-tenure reviews for tenured faculty in that annual cycle have been completed, and that the chancellor (or designee) has responsibility for ensuring the reviews are completed on schedule.
 16. The reviews conducted and remediation plans developed in accordance with this policy are not subject to the grievance process set forth in Chapter UWS 6.02, Wis. Admin. Code.

Oversight, Roles and Responsibilities

Each institution shall submit to the Board of Regents for approval the institutional policy developed in accordance with this Regent policy. Within nine (9) months of the effective date of this Regent policy, each institution shall submit an institutional policy to the Board of Regents. Once the institutional policy has been approved, the chancellor, with the advice and counsel of the faculty, is responsible for implementing the policy and operating the institution consistent with its provisions.

Related Regent Policies and Applicable Laws

Chapter 36, Wis. Stats.
Chapters UWS 3, 4, and 6, Wis. Admin. Code
Regent Policy Document 20-23

History: Res. 6118, adopted 05/08/1992, created Regent Policy Document 92-5; subsequently renumbered 20-9. Res. 10644, adopted 03/10/2016, amended and renamed Regent Policy Document 20-9, "Periodic Post-Tenure Review in Support of Tenured Faculty Development"

Approval of Interim
Post-Tenure Review Policy Language,
as may be Needed for Individual UW Institutions

EDUCATION COMMITTEE

Resolution I.1.s:

That, upon the recommendation of the President of the University of Wisconsin System Board of Regents, the Board of Regents approves the attached interim UW-institution-level post-tenure review policy language, which will be used by individual UW institutions that do not have in effect their own Board-approved post-tenure review policies as of April 7, 2017, the second day of the Board's April 2017 meeting.

**APPROVAL OF INTERIM POST-TENURE REVIEW POLICY LANGUAGE,
AS MAY BE NEEDED FOR INDIVIDUAL UW INSTITUTIONS**

BACKGROUND

In March 2016 the UW System Board of Regents revised Regent Policy Document (RPD) 20-9, the Board's policy on faculty post-tenure review. The policy requires that each UW institution submit to the Board of Regents for approval the institutional policy developed in accordance with RPD 20-9. All institutional policies are to have been submitted by December 31, 2016.

REQUESTED ACTION

Adoption of Resolution I.1.s, approving interim UW-institution-level post-tenure-review policy language, to be used only if institutions do not have in effect Board-approved policies by April 7, 2017, the second day of the Board of Regents' April meeting.

DISCUSSION

When the Board of Regents adopted revisions to RPD 20-9, "Periodic Post-Tenure Review in Support of Tenured Faculty Development," the policy included a timeframe for submittal of institutional policies. The policies are to include the provisions delineated in the Regent policy.

It is expected that all UW institutions will have submitted post-tenure review policies to the UW System Office for Academic and Student Affairs by December 31, 2016. A significant number of institutions have already done so and have engaged in a process of review and revision involving the Office of General Counsel and the Office for Academic and Student Affairs.

It is additionally expected that the policies that have yet to be submitted will include all components necessary for Board approval at a Board meeting in February, March or April 2017.

If any UW institution does not have a Board-approved policy by April 7, 2017, then an interim policy would be in place at that institution. That policy is Attachment A, which comports with RPD 20-9's requirements for institution-level post-tenure review policies.

RELATED BOARD OF REGENTS POLICIES

RPD 20-9, "Periodic Post-Tenure Review in Support of Faculty Development"
RPD 20-23, "Faculty Tenure"

ATTACHMENT A

INTERIM POST-TENURE REVIEW POLICY FOR INDIVIDUAL UW INSTITUTIONS

UW-[institution name]

Periodic Post-Tenure Review in Support of Tenured Faculty Development

Scope

This policy applies to all tenured faculty members as of the effective date of this policy. The post-tenure review described by this policy is not intended as a substitute for annual or other evaluations of tenured faculty performance that may occur at an institution, nor is it intended as a re-evaluation of tenure.

Purpose

The purpose of this policy is to reflect the Board of Regents of the University of Wisconsin System (“Board”) commitment to promoting the continued high-quality teaching, research/scholarship, and service of its tenured faculty, and thereby to enhance the educational environment for its students and the larger community. The primary purpose of the periodic, post-tenure review is to support tenured faculty development.

Policy Statement

Tenure is an essential part of the guarantee of academic freedom that is necessary for university-based intellectual life to flourish. The grant of indeterminate tenure to faculty member represents an enormous investment of university and societal resources, and those who receive this investment do so only after rigorous review which established that their scholarship, research, teaching and service met the highest standards and are congruent with the needs of the university.

It is the policy of the Board that a periodic, post-tenure review of tenured faculty members is essential to promoting faculty development, including recognizing innovation and creativity; enhancing the educational environment for students; and identifying and redressing deficiencies in overall performance of duties through a supportive and developmental remediation process.

Nothing in this policy shall be interpreted to alter or to infringe upon existing tenure rights, as set forth in Board, UW System, or institutional policies, nor shall this policy diminish the important guarantees of academic freedom. Specifically, this policy does not supersede administrative rules providing for termination for cause set forth in Chapter UWS 4 of the Wisconsin Administrative Code.

Definitions

Chair. For the purposes of this policy, the term “chair” includes the organizational equivalent.

Dean. For purposes of this policy, the term “dean” includes other appropriate administrators identified by the institution.

Does not meet expectations. This category is awarded to those tenured faculty members whose performance reflects a level of accomplishment below the expected level and which requires correction. All reviews resulting in “does not meet expectations,” unless overturned upon further review, will result in a remediation plan as described below.

Exceeds expectations. This category is awarded to those faculty members whose performance reflects a significant level of accomplishment beyond what is normal for the institution, college or school, or department.

Meets expectations. This category is awarded to those tenured faculty members whose performance reflects the expected level of accomplishment.

Procedures

1. Post-tenure review under this policy shall be conducted once every five years. The initial post-tenure review period commences in the academic year following the granting of tenure. The review may be deferred, only with the approval of the provost, for unusual circumstances such as when it may coincide with an approved leave, promotion review, or other appointment. In such cases, the provost will specify the new review cycle that applies to the faculty member. The periodic, post-tenure review may substitute for annual review in the year a faculty member is scheduled for such review.
2. The dean of each college or administrative unit shall ensure that each department or unit has established appropriate criteria to evaluate tenured faculty member in their department or unit. The criteria shall ensure consideration in the areas of teaching, research/scholarship/creative activity, and service consistent with relevant institutional rules, and should include a comprehensive consideration of these areas over the previous five-year period. Likewise, each department or unit shall describe the materials and manner in which such materials must be submitted for the post-tenure review. Such criteria and descriptions shall be provided to faculty.
3. Each faculty member for whom a post-tenure review will be conducted during that academic year, will be provided written notice of the review in September of that year. The faculty member is required to provide the material for the review to the review committee (see #5 below) within one month of the date of the review. The review will be conducted in January or February of that academic year.

4. The review will be conducted by a committee, appointed by the department chair, comprised of at least three members of the department, all holding a faculty rank at or above the faculty member being reviewed. If a committee cannot be formed due to insufficient number of eligible faculty, the dean will assist the chair of the department or unit in identifying appropriate additional members. The committee will use the criteria and materials adopted in accordance with this policy. In the case that the faculty member being reviewed is the department chair, the Dean shall appoint the review committee.
5. The committee shall provide a written report of its findings of the review that reflect its recommendation as to whether the faculty member under review has discharged conscientiously and with professional competence the duties appropriately associated with the faculty member's position. The result of the recommendation will be an assignment of one of the following categories to the faculty member's overall performance over the past five-year period: exceeds expectations, meets expectations, or does not meet expectations.
6. The report shall be provided to the chair and to the faculty member under review who may submit a written response to the report. The response must be submitted to the committee within one week of the faculty member's receipt of the report.
7. The report and any written response shall be provided to the dean for review. A copy of these materials also shall be provided to the provost. The dean or designee (who shall be an appropriate associate dean of the college or unit) shall perform an independent substantive review of the report and shall consult the supporting materials. The dean or designee shall assign one of the three performance categories to the faculty member's overall performance. A written copy of the dean's or designee's decision shall be provided to the faculty member, chair, committee, and provost. The faculty member under review may provide a response to the decision within one week of the faculty member's receipt of the decision.
8. If the decision results in the categories "exceeds expectations" or "meets expectations," the review is completed, and appropriate recognition and available resources will be granted to the faculty member, including consideration for merit pay, subject to availability of resources.
9. If the dean's or designee's decision results in assignment of the category "does not meet expectations," the chancellor or designee will conduct a review and make a final determination on the performance category to be assigned the faculty member. The chancellor or designee will inform the faculty member in writing of the category assigned and provide the faculty member with an opportunity to file a written response with the chancellor within one week of receiving the chancellor's communication. If the performance category assigned by the chancellor or designee is "does not meet expectations," a written remediation plan will be developed by the faculty member, in consultation with the dean and chair. The remediation plan shall contain the following:

- a. A clear description of expectations for the faculty member's performance to conform to the expected level of accomplishment. The focus of plan will be developmental and shall provide the faculty member with appropriate support from the department or dean as appropriate.
- b. A clear description of how progress shall be measured.
- c. A timeline for the fulfillment of the expectations, not to exceed three academic semesters, unless the identified deficiency involves a performance shortfall in research. In that case, an extension of one additional academic semester is permitted if approved by the chancellor. The chancellor shall provide notice of this extension to the UW System Vice President for Academic and Student Affairs.
- d. Provision for periodic review of progress.
- e. A description of support and resources that will be provided to assist the faculty member in meeting expectations.

The details of the remediation plan shall be completed before the end of the academic year, and written copies shall be provided to the faculty member and chair.

The dean will inform the chancellor, faculty member, and chair upon successful completion of the remediation plan.

Faculty determined by the dean, in consultation with the chancellor, as failing to meet the expectations in the remediation plan within the specified time period may be subject to discipline, up to and including dismissal, under Chapters UWS 4 and UWS 6 of the Wis. Admin. Code and related campus faculty disciplinary policies.

10. The chancellor shall ensure that chairs report annually to the dean and chancellor or designee that all post-tenure reviews in that annual cycle have been completed.
11. Records of the reviews, including supporting materials, shall be maintained in the appropriate location in accordance with relevant policy and law.
12. Grievance procedures normally available to faculty under institutional policies and in accordance with UWS 6.02, Wis. Admin. Code, are not applicable to reviews conducted and remediation plans developed under this policy.