

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

I. Items for consideration in Regent Committees

1. Education Committee - Thursday, May 7, 1992  
Room W150 - Fireside Lounge  
UW-Milwaukee Union  
1:00 p.m.

- a. Report on Tenured Faculty Review and Development  
[Resolution I.1.a.]

(All Regents Invited to Attend)

1:30 p.m.

- b. Approval of the minutes of the April 9, 1992, meeting of the Education Committee
- c. Report of the Vice President for Academic Affairs
- (1) Announcement of the proffer from the Trustees of the William F. Vilas Trust Estate for support of scholarships, fellowships, professorships, and special programs in arts and humanities, social sciences and music
- (2) Status Report on Bill of Student Rights and Responsibilities
- d. UW-Milwaukee presentation: The UW-Milwaukee Honors Program and the Bradley Foundation Professorships
- e. Trends in Enrollment: Fall 1991 Update (information)
- f. New program authorization: B.A., Archaeological Studies, UW-La Crosse (second review)  
[Resolution I.1.f.]
- g. Regent staff paper: Projected Supply and Demand for Faculty (information)
- h. Amendments to faculty personnel policies and procedures:
- (1) Revisions of sections UWEC 3.05 and UWEC 3.06, UW-Eau Claire Faculty Personnel Rules  
[Resolution I.1.h.(1)]
- (2) Revisions of sections UWPF 3.05, UWPF 3.08, UWPF 6.07(3) and UWPF 6.12, UW-Parkside Faculty Personnel Rules  
[Resolution I.1.h.(2)]

(Continued on reverse side)

(3) Revision to UW-Sup 7.01, UW-Superior Faculty Personnel Rules  
[Resolution I.1.h(3)]

i. Extension of leave of absence beyond the initial two years for a  
staff member, UW-Milwaukee  
[Resolution I.1.i.]

j. Authorization to recruit:

(1) Dean, College of Letters and Science, UW-Madison  
[Resolution I.1.j(1)]

k. Additional items that may be presented to the Education Committee  
with its approval

l. Closed session to consider personnel matters, as permitted by  
s. 19.85(1)(c), *Wis. Stats.* (Possible agenda items include  
appointment of Vice Chancellor, UW-Whitewater.)

Guidelines for  
Tenured Faculty Review  
and Development

EDUCATION COMMITTEE

Resolution:

That, upon recommendation of the President of the University of Wisconsin System, the Board of Regents adopts the Guidelines for Tenured Faculty Review and Development.

## TENURED FACULTY REVIEW AND DEVELOPMENT

### EXECUTIVE SUMMARY

#### BACKGROUND

The major purpose of the university is to create and disseminate knowledge through its instruction, research/scholarship, and service. The quality of the institution is significantly determined by the quality of the faculty's contributions in these areas. The university must assure that individual faculty continue to grow and develop expertise that can be shared with students and others throughout their tenure.

Therefore, the purpose of the Tenured Faculty Review and Development policy is to assure that the talents of each faculty member are invested in careers that serve the best interests of the students, the institution, the academic discipline and the individual and to assist tenured faculty in their continuing professional development. Because individual interests and skills change, institutions should encourage and devise means of adjusting the mix and balance of work commitments among teaching, research/scholarship, and service during a faculty career. Tenured faculty review and development will meet the same expectations for academic freedom that exist in all university activities; it should enhance and encourage opportunities for creativity among the faculty.

#### REQUESTED ACTION

Adoption of Resolution I.1.a.

#### DISCUSSION AND RECOMMENDATIONS

##### A. Current Practices

The process of periodic faculty review helps to achieve the university's collective goals. Many forms of review already take place. During the probationary phase of a faculty member's academic career -- a period which may not exceed seven consecutive years in a full time position -- the most frequent, systematic, and formal scrutiny of performance occurs. Tenure is granted at that point only after a most rigorous examination of the faculty member's performance in the areas of teaching, research/scholarship, and service.

The process of evaluation does not cease with the granting of tenure. The promotion process requires an assessment of performance that can be as thorough as the tenure review, focussing on teaching, research/scholarship, and service. Promotion decisions are informed by evidence of teaching effectiveness, peer assessments of published research/scholarship, performance in university and community service, and accumulated annual merit reviews, which in the UW System (Regent Policy 74-13) include student evaluations. Tenured faculty continue to be reviewed for merit annually throughout their careers.

Identifying and remedying faculty performance problems are accomplished through several means, often beginning with departmental peers. Deficiencies in faculty performance must be addressed to ensure the quality of the academic program, and institutions seek to make opportunities available for professional development to correct such problems. As a last resort, if an individual is unable or unwilling to improve his/her performance, the institution may proceed with discipline short of dismissal for cause, under Section UWS 6.01, Wisconsin Administrative Code, or, in extreme instances where facts warrant it, with dismissal for cause, under UWS 4, Wisconsin Administrative Code. Dismissal for cause happens very infrequently, but it is available as a means to remove from the tenured faculty individuals whose professional performance is deemed so deficient that termination is judged the most appropriate remedy.

While most current procedures and practices to ensure faculty quality are on the whole effective, they need formalizing and expanding. Institutions recognize this. UW-Madison's "Future Directions" document, for example, calls for periodic review. A number of other UW institutions have already begun to make changes in their policies. Therefore, the faculty at each institution, through their governance procedures, will be asked to propose an institutional policy for faculty review and development that conforms to the guidelines outlined in the recommendation.

#### **B. Issues Addressed by Tenured Faculty Review and Development**

Why is a new policy needed?

The Regents and the public must be assured that the university takes seriously its responsibility to maximize the talents of its faculty.

What assurances does such a policy need to provide?

- That every tenured faculty member's performance and activities are reviewed systematically and periodically. While the current merit system works well in many instances, it has its limitations because the current system focuses on a relatively short time frame given the nature of academic work and often has as its primary purpose salary considerations.
- That faculty have an opportunity to adjust professional priorities throughout their careers and to receive recognition for working on departmental, college, and institutional goals. Faculty need a mechanism that will allow them to identify collective as well as individual goals on which they will work and, with the consent of their department, be reviewed at different stages of their career.
- That a formal linkage between faculty review and faculty development exists. The linkage needs to encourage and support to the maximum extent possible continuing professional development.
- That a formal linkage between identification of a personnel problem and provision for faculty development solutions and/or disciplinary actions exists. Lacking a mechanism that provides this linkage, departmental peers and administrators may perceive that they have few options short of recommending dismissal and, thus, may be reluctant to deal with problem situations.

- That a consistent written documentation of faculty reviews exists. This record will provide supporting evidence for the reviews, and assure external constituents that there is appropriate accountability.

#### C. Elements of Successful Tenured Faculty Review and Development

The research literature on faculty evaluation indicates that faculty review programs are most likely to be successful when:

- Programs have a clear purpose;
- Programs are designed and implemented by the faculty at the institution or department level;
- Programs are formative and have built in provision for supporting and assisting those who need to improve;
- Faculty and administration make a serious investment of time and resources;
- The evaluation process includes reliable and valid measures to assess performance;
- Programs are flexible and able to accommodate individuals' differing needs;
- The institution is prepared to commit funds to provide rewards to the strongest and assistance to the weakest faculty members.

#### D. Guidelines for Tenured Faculty Review and Development

Each UW institution will be asked to develop through the normal governance process a plan for tenured faculty review and development, to be presented to UW System Administration for acceptance. The purpose of the plan is to ensure continuing growth and development in faculty professional skills, encouraging UW faculty to explore new ways to promote academic excellence, and to identify areas for improvement and provide solutions for problem areas. Each plan should include the following components:

1. 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. Exceptions in the schedule may be made for faculty undergoing evaluation for promotion during this cycle.

2. Effective criteria against which to measure progress and accomplishments of faculty during this review and a description of the methods for conducting the evaluation. These criteria should reflect the mission of the various units (e.g., department, college, institution) and be sufficiently flexible to allow shifts in professional emphasis. The review and methods should include both peer and student evaluations and give appropriate emphasis to activities in support of undergraduate education.

*Krutsch: The review and method should fully respect academic freedom.*

3. Delineation of responsibilities for conducting reviews. The plans should identify the respective roles of the department, Dean, Vice Chancellor, and any other appropriate review group(s).

4. Means by which the merit process and faculty review and development process will be linked and used to facilitate, enhance, and reward outstanding performance. With the advent of this review procedure,

institutions may wish to modify their current merit review process. Consideration should be given to the most efficient and appropriate use of faculty time on the evaluation process.

5. Procedures defining means for remedying problems in cases where deficiencies are revealed. Procedures defining means for remediation should be included in the plan for any faculty member whose review reveals significant deficiencies in performance. Resources should not be removed from existing faculty development programs for programs to remedy deficiencies.

6. Provision for a written record of each faculty review; designation of the location for the personnel file.

7. Description of the accountability measures the institution will use to ensure full implementation of the institutional plan.

*Part 1: Nothing in these guidelines is intended to alter the existing rules related to termination.*  
The plan for tenured faculty review should not involve the creation of unnecessary additional bureaucracy; it is intended to ensure that either new or existing post-tenure review procedures meet the minimum expectations described in the guidelines. If existing procedures already meet these guidelines and are auditable, they may be submitted as the institutional plan.

#### E. TIMETABLE

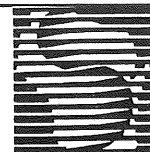
*Dealing w/ Tenure Term*  
Because it is important for institutions to shape their own plans to be appropriate for that institution and because it is crucial that the faculty be primarily responsible for the plans, sufficient development time is crucial. Therefore, institutional plans for tenured faculty review and development will be developed during the 1992-93 year and will be submitted to the Office of Academic Affairs in Spring, 1993, for approval and will be implemented during the fall semester, 1993-94.

#### RELATED REGENT POLICIES

Regent Policy 74-13; Wis. Stats. UWS 3.05 and UWS 6.01.

# Occasional Research Brief

## Update 92/3: April 1992



### TRENDS IN ENROLLMENT: Fall 1991 Update

#### EXECUTIVE SUMMARY

This Occasional Research Brief updates with fall 1991 data ORB 91/5 *Trends in Enrollment* that was published in August 1991. It is distributed in lieu of the usual UW System Student Statistics Book which is now available upon request from the address below. Summary tables are provided as an Appendix.

- o Final fall 1991 full-time-equivalent (FTE) enrollment: 132,106  
Down from prior year: -0.7%
- o Final fall 1991 headcount enrollment: 161,346  
Up from prior year: +0.9%
- o Average credit load for degree-seeking undergraduates down again: 1991: 13.2  
1990: 13.4
- o Deviation from Enrollment Management II targets +1.6%
  - Six institutions within 1% of target 2036 FTE
  - Three institutions within 1.5% of target
  - Four institutions significantly over target
- o Total undergraduate enrollment continues to shrink under Enrollment Management: 137,594 undergraduates
- o Freshman and sophomore classes continue to shrink as institutions recruit smaller entering classes under Enrollment Management
- o Number of undergraduates reaching senior level increases to record high as large freshman classes of mid 1980s complete programs. 34,550 seniors
- o Number of graduate students reaches all-time high: 23,752 graduate and professional students

# A. Enrollment Management II and Fall 1991 Enrollment

Final Fall 1991 full-time-equivalent enrollment was 132,106 FTE, down 895 FTE from the prior year. Enrollment thus exceeded 1991-92 Enrollment Management II targets by 1.6% or 2,036 FTE. Six institutions were within 1% of their target and another three within 1.5%.

UW-Milwaukee, whose targets under Enrollment Management II were reduced to adjust for under-enrollment during Enrollment Management I, exceeded its target for the first time in Fall 1991. UW-Green Bay, which has consistently exceeded enrollment targets, has plans underway to reduce enrollments by 1994 to meet the final Enrollment Management II target, as does UW-Superior, whose enrollments have exceeded targets for the past three years. UW-Stout's enrollment exceeded its target by a smaller margin (2.7%) after two years of being within one percent of its target.

TABLE 1  
Enrollment Management Targets for Fall 1991 to Fall 1994 (FTE Fall Enrollments)

	Actual 1991	Fall 1991 Target Under EM II			Targets for Remaining EM II Period		
		Target	Percent Difference	FTE Difference	Fall 1992	Fall 1993	Fall 1994
Madison	37,040	36,600	+ 1.2%	+ 440	35,600	34,800	34,500
Milwaukee	17,306	16,592	+ 4.3%	+ 714	16,339	16,213	16,087
Eau Claire	9,307	9,409	-1.1%	-102	9,337	9,265	9,193
Green Bay	4,342	4,060	+ 6.9%	+ 282	4,110	4,160	4,210
La Crosse	8,103	7,999	+ 1.3%	+ 104	7,997	7,960	7,888
Oshkosh	9,264	9,325	-0.6%	-61	9,220	9,114	9,007
Parkside	3,508	3,509	0	-1	3,468	3,427	3,387
Platteville	4,930	4,730	+ 4.2%	+ 200	4,675	4,623	4,630
River Falls	4,827	4,793	+ 0.7%	+ 34	4,754	4,714	4,675
Stvns Point	7,889	7,907	-0.2%	-18	7,817	7,727	7,637
Stout	7,055	6,867	+ 2.7%	+ 188	6,814	6,762	6,709
Superior	2,356	2,047	+ 15.1%	+ 309	2,030	2,012	2,000
Whitewater	8,684	8,765	-0.9%	-81	8,698	8,631	8,564
Centers	7,495	7,467	+ 0.4%	+ 28	7,553	7,553	7,538
SYSTEM	132,106	130,070	+ 1.6%	+ 2036	128,412	126,961	126,025

Figure 1 shows the headcount and FTE enrollment since 1981. FTE enrollment peaked in Fall 1985 and has decreased steadily since then under Enrollment Management, which sets targets for FTE enrollment. Over the same period, headcount enrollment also peaked in fall 1985 and fall 1986, dropped slightly to fall 1989, and has increased slightly since that time. This divergence in trends between FTE and headcount enrollment is due to the continuing drop in the average number of credits for which undergraduates are enrolling. By Fall 1991, the average load for degree-seeking undergraduates had dropped to 13.2 credits, down from 14.1 in fall 1981. This reduction is to smaller loads for full-time students (those enrolling for at least twelve credits) and not to more part-time students. The proportion part time was 15% in 1991 compared to 14% in 1981, while the proportion enrolled for 15 or more credits dropped from 58% in 1981 to 45% in 1991 (Figure 2). This trend will continue to impact on students' time to degree since students need to complete at least 15 credits per semester to graduate in eight semesters.

FIGURE 1  
Headcount and FTE Enrollment  
1981 to 1991

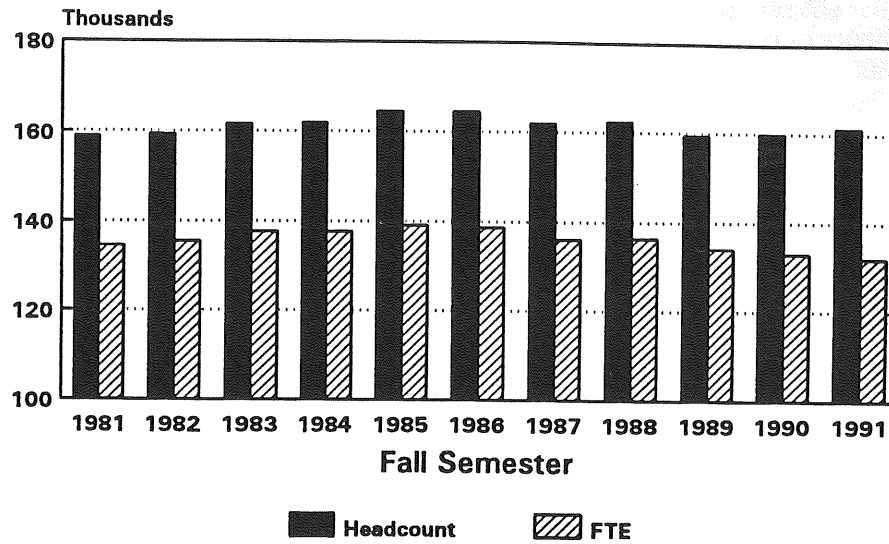
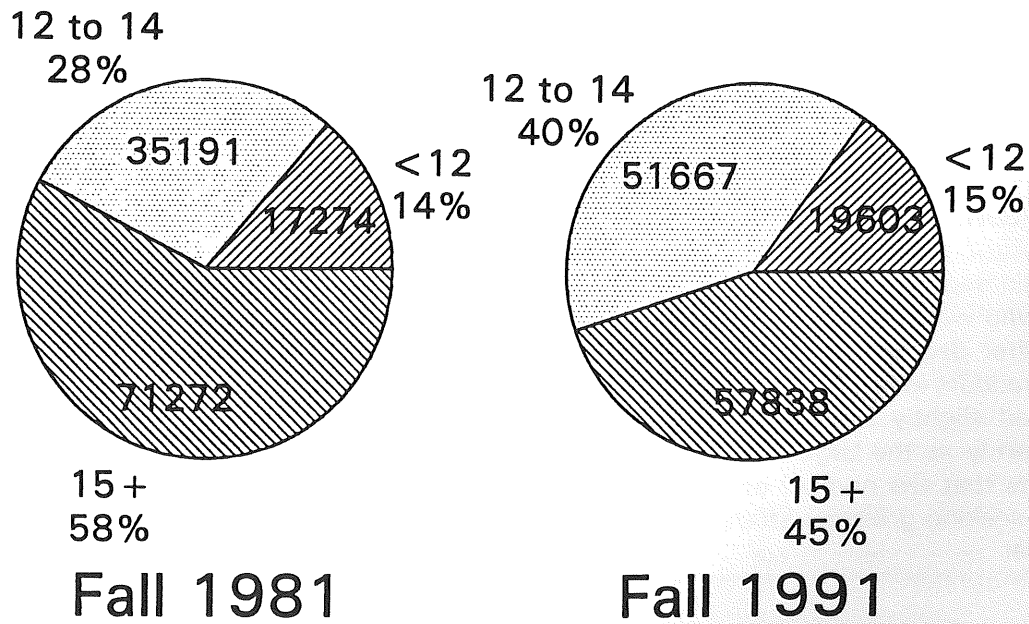


Figure 2  
Credit load of Degree-seeking Undergraduates  
1981 and 1991



Tables 1A through 6A in the Appendix provide detailed enrollment information by institution from 1981 to 1991. Information is provided for total FTE and headcount enrollments, and by undergraduate and graduate enrollment. Special students are included in these counts.

Table 3 shows headcount and FTE enrollment for selected years by sector. Headcount enrollment for Fall 1991 was 161,346, up 1,367 from the prior year. All of the growth occurred within the comprehensive institutions. The total FTE enrollment for this sector, on the other hand, did not change from 1990. Headcount enrollment was stable at the doctoral institutions, and down at the UW-Centers.

**TABLE 3**  
**Headcount and FTE Enrollment by Sector (Selected Years, Fall Semester)**

	1980	1985	1986	1987	1988	1989	1990	1991
<b>Headcount</b>								
Doctoral <sup>1</sup>	67,175	71,072	70,314	68,323	68,576	68,138	68,472	68,453
Comphsv <sup>2</sup>	79,019	83,324	84,113	82,751	82,570	80,284	79,874	81,985
Centers	9,305	10,150	10,091	10,813	11,184	10,998	11,633	10,908
Total	155,499	164,546	164,518	161,887	162,330	159,420	159,979	161,346
<b>FTE</b>								
Doctoral	54,661	58,262	57,591	55,328	55,146	54,531	54,716	54,346
Comphsv	70,243	73,795	74,001	73,193	73,172	71,683	70,299	70,265
Centers	6,609	7,081	7,118	7,563	8,012	7,921	7,986	7,495
Total	131,513	139,138	138,710	136,084	136,330	134,135	133,001	132,106

## **B. ENROLLMENT BY LEVEL SINCE 1981**

### *Degree-Seeking Students*

We again separate out for analytic purposes those students who were enrolled for a degree, and those who were enrolled as special students. (The latter group usually enroll on a space-available basis after degree-seeking students have had the opportunity to register for classes.) At the undergraduate level, FTE enrollment dropped for the fourth straight year, but headcount enrollment increased slightly (explained by dropping average credit loads). The number of seniors grew significantly as the large freshman classes of the mid-1980s complete their studies. This trend suggests that the number of bachelor's degrees conferred has not yet peaked. The number of degree-seeking graduate students continued the steady increase of the 1980s, as did the FTE at this level.

<sup>1</sup>Includes UW-Madison and UW-Milwaukee.

<sup>2</sup>Includes all other institutions that offer baccalaureate and master's level programs.

TABLE 4  
Degree-Seeking Enrollment Fall 1991, with 10-Year Profile

	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991
<b>Undergraduate Headcount</b>											
Freshmen	42,643	41,389	42,373	42,388	43,372	42,585	41,317	42,549	39,475	38,346	37,648
Sophomore	29,108	29,449	29,512	29,268	30,122	30,648	30,494	30,257	31,721	31,304	30,304
Juniors	24,426	25,177	25,669	25,499	25,314	26,065	26,116	25,900	25,708	26,586	26,806
Seniors	27,560	29,193	30,414	31,170	31,542	31,781	32,375	32,696	32,540	32,764	34,550
Total UG HC	123,737	125,208	127,968	128,325	130,350	131,077	130,302	131,402	129,442	129,000	129,108
Total UG FTE	115,889	117,025	119,165	119,129	120,442	120,406	118,429	118,691	116,714	115,015	113,631
<b>Graduate &amp; Professional Headcount</b>											
Master's (+ Ed.Spec.)	13,209	12,716	12,641	12,479	12,609	12,657	12,903	12,997	13,275	13,621	14,053
Doctoral	4,607	4,796	5,066	5,213	5,368	5,359	5,431	5,490	5,463	5,524	5,628
Law	884	907	912	900	914	912	893	922	923	908	874
Medicine	656	645	654	643	631	633	616	597	595	592	593
Vet. Med	0	0	80	158	234	308	305	302	304	309	304
Pharmacy											18
Total Grad/Prof HC	19,356	19,064	19,353	19,393	19,756	19,869	20,148	20,308	20,560	20,954	21,470
Total Grad/Prof FTE	13,718	13,646	13,849	13,885	13,971	13,941	14,054	14,216	14,326	14,615	14,899
Total Headcount	143,093	144,272	147,321	147,718	150,106	150,946	150,450	151,710	150,002	149,954	150,578
Total FTE	129,607	130,671	133,014	133,014	134,413	134,347	132,483	132,907	131,040	129,630	128,529

### Special Students<sup>3</sup>

The number of special (non degree-seeking) students dropped significantly during the 1980s, and particularly during the first three years of Enrollment Management. In fall 1990 and fall 1991, however, this trend is slowly reversing. The number of undergraduate and graduate special students has increased slightly during the past two years, perhaps reflecting institutions' attempts to provide better access to some groups of special students such as teachers who had reportedly experienced some difficulty in obtaining access to needed courses early in Enrollment Management I. Fall 1991 figures are also affected by the inclusion of 442 senior auditors who are now counted in Enrollment Management. (The net effect on FTE counts was 13 FTE.)

Table 5  
Special Student Enrollment Fall 1991 with 10-Year Profile

	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991
<b>Undergraduate</b>											
Headcount	12,628	12,447	11,448	11,411	11,303	10,754	9,252	8,500	7,463	7,854	8,486
FTE	4,036	4,136	3,849	3,829	3,809	3,551	2,954	2,790	2,490	2,678	2,850
<b>Graduate</b>											
Headcount	3,250	2,635	2,924	2,807	3,136	2,818	2,185	2,120	1,955	2,171	2,282
FTE	916	752	846	808	916	812	647	633	605	693	727

<sup>3</sup>UW-Madison reports all special students as undergraduates although many may in fact have bachelor's degrees and be enrolled in graduate courses.

TABLE 1A  
The University of Wisconsin System  
Total FTE Enrollment Fall 1991 with 10-Year Profile

	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991
MSN	36,848	37,312	38,026	38,907	39,647	39,101	37,979	37,869	37,686	37,489	37,040
MIL	18,510	18,532	18,819	18,808	18,615	18,490	17,349	17,277	16,845	17,227	17,306
TOTAL	55,358	55,844	56,845	57,715	58,262	57,591	55,328	55,146	54,531	54,716	54,346
EAU	10,277	10,243	10,373	10,042	10,111	10,162	10,038	10,067	9,852	9,587	9,307
GBY	3,433	3,638	3,689	3,691	3,814	3,813	3,986	4,176	4,003	4,006	4,342
LAC	8,451	8,160	8,427	8,609	8,816	9,111	8,696	8,681	8,564	8,177	8,103
OSH	9,344	9,392	9,528	9,691	9,860	9,731	9,557	9,478	9,332	9,583	9,264
PKS	3,772	3,891	4,110	3,724	3,473	3,482	3,397	3,592	3,554	3,646	3,508
PLT	5,081	5,222	5,358	5,199	5,281	5,177	5,025	4,996	5,107	4,859	4,930
RVF	5,373	5,261	5,192	5,061	4,950	5,172	5,043	5,051	4,872	4,614	4,827
STP	8,357	8,166	8,048	8,205	8,433	8,575	8,504	8,537	8,208	7,992	7,889
STO	7,549	7,548	7,459	7,248	7,461	7,333	7,305	7,310	6,993	6,964	7,055
SUP	1,916	1,878	1,865	1,779	1,823	1,905	1,944	1,965	2,078	2,091	2,356
WTW	8,793	9,005	9,163	9,508	9,773	9,540	9,698	9,319	9,120	8,780	8,684
TOTAL	72,346	72,404	73,212	72,757	73,795	74,001	73,193	73,172	71,683	70,299	70,265
CTR	6,855	7,311	7,652	7,179	7,081	7,118	7,563	8,012	7,921	7,986	7,495
UWS	134,559	135,559	137,709	137,651	139,138	138,710	136,084	136,330	134,135	133,001	132,106
Enrollment Management I											II

TABLE 2A  
The University of Wisconsin System  
Total Headcount Enrollment Fall 1991 with 10-Year Profile

	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991
MSN	41,558	42,090	42,921	44,055	44,860	44,384	43,113	43,364	43,282	43,092	42,997
MIL	26,663	26,119	26,468	26,464	26,212	25,930	25,210	25,212	24,856	25,380	25,456
TOTAL	68,221	68,209	69,389	70,519	71,072	70,314	68,323	68,576	68,138	68,472	68,453
EAU	10,963	10,883	11,072	10,757	10,932	11,103	10,946	11,038	10,773	10,643	10,495
GBY	4,536	4,681	4,880	4,906	5,061	4,978	5,056	5,221	4,776	4,801	5,551
LAC	8,956	8,659	8,958	9,109	9,317	9,659	9,417	9,242	8,977	8,746	8,787
OSH	11,103	10,920	11,053	11,256	11,720	11,800	11,608	11,209	10,828	11,098	11,116
PKS	5,677	5,850	6,008	5,544	5,157	5,195	4,912	5,172	5,221	5,113	5,088
PLT	5,211	5,335	5,458	5,293	5,423	5,321	5,299	5,334	5,442	5,230	5,445
RVF	5,502	5,334	5,368	5,287	5,284	5,612	5,418	5,544	5,236	5,196	5,564
STP	9,208	9,016	8,871	9,008	9,497	9,555	9,388	9,318	8,878	8,806	8,752
STO	7,458	7,595	7,470	7,383	7,727	7,686	7,543	7,597	7,320	7,442	7,598
SUP	2,307	2,171	2,219	2,095	2,179	2,307	2,321	2,437	2,563	2,615	3,107
WTW	10,212	10,321	10,493	10,737	11,027	10,897	10,843	10,458	10,270	10,184	10,482
TOTAL	81,133	80,765	81,850	81,375	83,324	84,113	82,751	82,570	80,284	79,874	81,985
CTR	9,617	10,380	10,454	10,042	10,150	10,091	10,813	11,184	10,998	11,633	10,908
UWS	158,971	159,354	161,693	161,936	164,546	164,518	161,887	162,330	159,420	159,979	161,346

TABLE 3A  
The University of Wisconsin System  
Undergraduate FTE Enrollment Fall 1991 with 10-Year Profile (includes specials)

	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991
MSN	27,680	28,072	28,559	29,317	30,095	29,608	28,523	28,326	28,089	27,709	27,125
MIL	16,194	16,311	16,625	16,645	16,455	16,330	15,123	15,024	14,609	14,868	14,854
TOTAL	43,874	44,383	45,184	45,962	46,550	45,938	43,646	43,350	42,698	42,577	41,979
EAU	10,060	10,041	10,165	9,843	9,887	9,955	9,829	9,872	9,626	9,315	9,077
GBY	3,330	3,542	3,551	3,556	3,658	3,658	3,879	4,094	3,919	3,922	4,256
LAC	8,174	7,901	8,124	8,287	8,486	8,792	8,351	8,318	8,227	7,814	7,728
OSH	8,684	8,810	8,939	9,145	9,234	9,153	8,987	8,876	8,755	9,001	8,658
PKS	3,661	3,773	3,996	3,613	3,368	3,390	3,319	3,513	3,473	3,594	3,467
PLT	4,947	5,093	5,243	5,104	5,169	5,083	4,918	4,890	5,002	4,741	4,819
RVF	5,169	5,058	4,969	4,825	4,674	4,841	4,723	4,756	4,596	4,337	4,546
STP	8,121	7,897	7,806	7,955	8,153	8,292	8,242	8,308	7,973	7,746	7,652
STO	7,147	7,167	7,065	6,888	7,118	6,992	6,956	6,938	6,585	6,568	6,623
SUP	1,706	1,727	1,687	1,620	1,641	1,712	1,737	1,754	1,860	1,852	2,087
WTW	8,197	8,458	8,633	8,981	9,232	9,033	9,233	8,800	8,569	8,240	8,093
TOTAL	69,196	69,467	70,178	69,817	70,620	70,901	70,174	70,119	68,585	67,130	67,006
CTR	6,855	7,311	7,652	7,179	7,081	7,118	7,563	8,012	7,921	7,986	7,495
UWS	119,925	121,161	123,014	122,958	124,251	123,957	121,383	121,481	119,204	117,693	116,480

TABLE 4A  
Total Undergraduate Headcount Enrollment Fall 1991 with 10-Year Profile

	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991
MSN	30,905	31,407	32,037	33,066	33,813	33,283	32,004	32,142	31,846	31,485	31,093
MIL	22,094	21,778	21,995	21,989	21,720	21,535	20,645	20,686	20,315	20,585	20,557
TOTAL	52,999	53,185	54,032	55,055	55,533	54,818	52,649	52,828	52,161	52,070	51,650
EAU	10,414	10,426	10,530	10,260	10,408	10,627	10,425	10,573	10,251	10,002	9,977
GBY	4,259	4,428	4,454	4,426	4,529	4,523	4,799	4,991	4,546	4,590	5,316
LAC	8,479	8,225	8,463	8,566	8,773	9,120	8,784	8,653	8,405	8,108	8,168
OSH	9,122	9,217	9,396	9,788	10,051	10,134	9,967	9,510	9,295	9,530	9,463
PKS	5,327	5,491	5,659	5,203	4,844	4,880	4,668	4,898	4,930	4,956	4,963
PLT	4,945	5,068	5,211	5,089	5,182	5,136	5,077	5,124	5,222	5,004	5,232
RVF	5,144	5,004	4,944	4,823	4,772	5,010	4,856	4,970	4,738	4,687	5,063
STP	8,608	8,354	8,349	8,454	8,756	8,856	8,784	8,863	8,430	8,315	8,268
STO	6,923	7,032	6,933	6,858	7,202	7,114	7,069	7,090	6,777	6,886	6,983
SUP	1,862	1,851	1,820	1,731	1,746	1,836	1,873	1,934	2,055	2,075	2,511
WTW	8,666	8,994	9,171	9,441	9,708	9,686	9,790	9,284	9,097	8,998	9,092
TOTAL	73,749	74,090	74,930	74,639	75,971	76,922	76,092	75,890	73,746	73,151	75,036
CTR	9,617	10,380	10,454	10,042	10,150	10,091	10,813	11,184	10,998	11,633	10,908
UWS	136,365	137,655	139,416	139,736	141,546	141,831	139,554	139,902	136,905	136,854	137,594

**TABLE 5A**  
**The University of Wisconsin System**  
**Graduate and Advanced Professional FTE Enrollment Fall 1991 with 10-Year Profile (includes specials)**

	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991
MSN	9,168	9,240	9,467	9,590	9,552	9,493	9,456	9,543	9,597	9,780	9,915
MIL	2,316	2,221	2,194	2,163	2,160	2,160	2,226	2,253	2,236	2,359	2,452
EAU	217	202	208	199	224	207	209	195	226	272	230
GBY	103	96	138	135	156	155	107	82	84	84	86
LAC	277	259	303	322	330	319	345	363	337	363	375
OSH	660	582	589	546	626	578	570	602	577	582	606
PKS	111	118	114	111	105	92	78	79	81	52	41
PLT	134	129	115	95	112	94	107	106	105	118	111
RVF	204	203	223	236	276	331	320	295	276	277	281
STP	236	269	242	250	280	283	262	229	235	246	237
STO	402	381	394	360	343	341	349	372	408	396	432
SUP	210	151	178	159	182	193	207	211	218	239	269
WTW	596	547	530	527	541	507	465	519	551	540	591
TOTAL	3,150	2,937	3,034	2,940	3,175	3,100	3,019	3,053	3,098	3,169	3,259
UWS	14,634	14,398	14,695	14,693	14,887	14,753	14,701	14,849	14,931	15,308	15,626

**TABLE 6A**  
**Graduate and Advanced Professional Headcount Enrollment Fall 1991 with 10-Year Profile**

	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991
<b>Madison</b>											
Master's	4,923	4,793	4,703	4,631	4,489	4,506	4,527	4,629	4,894	5,035	5,246
Law	884	907	912	900	914	912	893	922	923	908	874
Medicine	656	645	654	643	631	633	616	597	595	592	593
Veterinary			80	158	234	308	305	302	304	309	304
Pharmacy											18
Ph. D.	4,190	4,338	4,535	4,657	4,779	4,742	4,768	4,772	4,720	4,763	4,869
MSN TOTAL	10,653	10,683	10,884	10,989	11,047	11,101	11,109	11,222	11,436	11,607	11,904
<b>Milwaukee</b>											
Master's	4,152	3,883	3,942	3,919	3,903	3,778	3,902	3,808	3,798	4,034	4,140
Ph. D.	417	458	531	556	589	617	663	718	743	761	759
MIL TOTAL	4,569	4,341	4,473	4,475	4,492	4,395	4,565	4,526	4,541	4,795	4,899
<b>DOCTORAL TOTAL</b>											
Master's	9,075	8,676	8,645	8,550	8,392	8,284	8,429	8,437	8,692	9,069	9,386
Professional	1,540	1,552	1,646	1,701	1,779	1,853	1,814	1,821	1,822	1,809	1,789
Ph. D.	4,607	4,796	5,066	5,213	5,368	5,359	5,431	5,490	5,463	5,524	5,628
TOTAL	15,222	15,024	15,357	15,464	15,539	15,496	15,674	15,748	15,977	16,402	16,803
<b>COMPREHENSIVE TOTAL</b>											
Master's	7,384	6,675	6,920	6,736	7,353	7,191	6,659	6,680	6,538	6,723	6,949
<b>UWS TOTAL</b>											
Master's	16,459	15,351	15,565	15,286	15,745	15,475	15,088	15,117	15,230	15,792	16,335
Professional	1,540	1,552	1,646	1,701	1,779	1,853	1,814	1,821	1,822	1,809	1,789
PhD	4,607	4,796	5,066	5,213	5,368	5,359	5,431	5,490	5,463	5,524	5,628
UWS TOTAL	22,606	21,699	22,277	22,200	22,892	22,687	22,333	22,428	22,515	23,125	23,752

Note: Master's includes special graduate students and those seeking the Education Specialist degree

New Program Approval:  
B.A. in Archaeological Studies  
University of Wisconsin-La Crosse

EDUCATION COMMITTEE

Resolution:

That, upon recommendation of the Chancellor of the University of Wisconsin-La Crosse and the President of the University of Wisconsin System, the Chancellor of the University of Wisconsin-La Crosse be authorized to implement the B.A. in Archaeological Studies.

**REGENT SUMMARY OF ACADEMIC PROGRAM PROPOSAL  
UNIVERSITY OF WISCONSIN-LA CROSSE  
COLLEGE OF ARTS, LETTERS AND SCIENCES  
B.A. IN ARCHAEOLOGICAL STUDIES**

**EXECUTIVE SUMMARY**

**BACKGROUND**

In 1977, the Department of Sociology and Anthropology initiated undergraduate studies of prehistory in the La Crosse area, a region rich in archaeological resources. At the time, urban development in the greater La Crosse area was causing a rapid rate of archaeological site destruction. UW-La Crosse designed a plan to develop an undergraduate curriculum emphasizing close instructional relationships between students and faculty while maximizing participation in all aspects of archaeology both by undergraduates and the public.

In 1978, UW-La Crosse began offering an undergraduate field school in archaeology. The first summer program was in Luxor, Egypt. Subsequent summer programs have engaged in "rescue archaeology" in the La Crosse area.

In 1982, public involvement and support encouraged the creation of the Mississippi Valley Archaeology Center, Inc. The Center has a board of directors made up of business, civic, and education leaders from the La Crosse region, as well as archaeologists. The Center has been conducting archaeological consulting projects since 1982. Through employment in these projects, students gain archaeological experience as well as financial support. The Center has provided a framework for integrating undergraduate education and public archaeology.

**REQUESTED ACTION**

UW System Administration recommends that the Chancellor of UW-La Crosse be authorized to implement the B.A. in Archaeological Studies. If authorized, program implementation will begin in the 1992-93 academic year.

**DISCUSSION AND RECOMMENDATIONS**

The proposed Archaeological Studies program will be offered by faculty with academic affiliations in the Departments of Anthropology and Sociology, Geology/Earth Sciences, History, Art and Mass Communication, all in the College of Arts, Letters and Sciences. The program curriculum is designed to serve as an integrating link between the social sciences, humanities and physical sciences and to be a bridge between skill courses and liberal studies. Its goals include public education, historic preservation and research.

The curriculum outlined by the proposed program is fully defined. The program course sequence requires 33 credit hours, with a required core of 12 credit hours, which includes six credits of *Introduction to Archaeological Studies* and six credits of field work. Other required coursework includes six credits in topical archaeological courses such as *North American Archaeology*, *The Rise and Fall of Ancient Civilizations* and *Ancient Egypt*; six credits in skills courses such as *Environmental Archaeology* and *Fundamentals of Cartography*; and 9 credits in Anthropology courses, including *Anthropology and Global Issues*, *North American Indians* and *Personality and Culture*.

The proposed program offers an opportunity for undergraduate students to join class work with participation in many aspects of modern scientific archaeology, from field work to laboratory analysis and report writing. The program will encourage direct student involvement in faculty research and scholarly activities. The proposal projects a program enrollment of about 35 majors after five years and the annual awarding of ten degrees.

Student response to a 1989 questionnaire indicates that many students intend to use an archaeology major as an entry into other graduate and professional fields, such as law, geography, history, teaching or biology.

There is no comparable program at the level of a major in Wisconsin. Only UW-Madison and UW-Milwaukee offer submajor programs in archaeology. Outside the state, there are eleven comparable majors; in addition, four institutions offer specialized undergraduate programs in classical archaeology.

The new B.A. program in Archaeological Studies is supported by the Chancellor, the Vice Chancellor, the Dean of Arts, Letters and Sciences, and the chairs of the departments involved. UW-La Crosse has stated that it will meet the new costs of this program, estimated to be \$43,502 for the first year and an additional \$8,826 for the following biennium, through reallocation of current resources. (Of that total, \$5,500 annually constitutes the resources allocated for S&E). Current library resources for the proposed program are adequate. UW System Administration bases its recommendation on the Chancellor's identification of this program as a top priority for the institution. The recommendation is made with the understanding that a major program of equivalent size will be discontinued before this new major comes up for a joint review and final approval by the Board of Regents. The joint review of the program will be conducted by UW-La Crosse, using external consultants, and by UW System Administration.

## RELATED REGENT POLICIES

University of Wisconsin System Planning and Review for New and Existing Academic Programs and Academic Support Programs (December 1991); Academic Informational Series #1 (ACIS-1, revised).

May 8, 1992

Agenda Item I.1.g.

## PROJECTED SUPPLY AND DEMAND FOR FACULTY

### EXECUTIVE SUMMARY

#### BACKGROUND

Attached is an informational report by Board of Regents Executive Assistant Fredi-Ellen Bove on the projected supply and demand for faculty through 2014. It was prepared as background information for future policy discussions.

#### REQUESTED ACTION

This item is for information only.

#### DISCUSSION

This paper examines the supply and demand factors affecting the future market for faculty.

##### Demand

Demand for new faculty comes from two sources: (1) replacing faculty that leave (replacement demand) and (2) creating new faculty positions (expansion). Replacement demand has a number of sub-components; the major ones being voluntary departure (for example, to accept another job); involuntary departure (i.e., non-renewal of contracts); retirement; and death. Of the four, retirement is expected to account for the largest number of "exits."

##### Retirement

Nationally and in the UW System, university and college faculty have been "aging" due to a "bulge" of faculty hired in the 1960's. A recent study (Bowen and Sosa) of the national market for arts and sciences faculty finds that, despite the bulge in the age distribution, the number of faculty retirements and the number of total exits are remarkably steady from 1987 to 2012.

Applying the same methodology to the UW System, this paper finds that the number of retirements and the number of total exits from the UW System is relatively smooth over the period 1989-2014, despite the bulge in the age distribution. This smooth pattern of exits holds regardless of whether the number of UW System faculty positions grows after 1994. UW System faculty retirements, and total exits, rise slightly and peak in 2004-2009.

The driving force behind the surprisingly steady retirement flow projected in these models is the fact that some faculty members retire at ages other than 65. This smooths out the retirement flow.

### Enrollment

A key factor in whether there will be an expansion in the number of faculty positions is the size of student enrollment. Nationally and in Wisconsin, the number of potential college-going students is expected to rise somewhat in the mid- and late 1990's.

However, the most important determinant in student enrollment patterns in higher education in the 1990's is likely to be the financial health of the higher education institutions. In the last two years, universities have been forced to operate under unusually tight fiscal conditions. If tight fiscal conditions persist, for financial reasons institutions may be unable or unwilling to expand student enrollment and faculty positions. To the extent colleges and universities do not expand student enrollments or expand student enrollments without commensurate increases in faculty positions, demand for new faculty is reduced.

It will be the decision whether to expand faculty positions, and not the pattern of faculty retirements and exits, that will determine whether the UW System's demand for faculty rises significantly in the period 1994-2014.

### Supply

An important source of supply for faculty positions is new doctorate recipients. In each of the five most recent years, 1986 through 1990, the number of doctorates awarded by U.S. universities has increased, reversing a pattern of stagnant or declining doctorate awards from 1973 to 1985. Since 1987 there has also been an annual increase, at a more modest rate, in the number of doctorates awarded to U.S. residents.

Another factor affecting the supply of Ph.D's to higher education is the type of employment selected by doctorate holders. From 1977 to 1989, the proportion, but not the number, of Ph.D's employed in higher education dropped somewhat (by less than 10 percentage points). The drop in the proportion is likely to be attributable to the "supply and demand" for faculty positions during this period. Specifically, higher education did not generate enough openings to employ doctorates at the same rate as in the 1960's. Non-academic employment had to absorb a higher proportion of Ph.D's.

Historically, trends in both the total number of new doctorates and the proportion of doctorates in academic employment have been closely related to the availability of academic positions. For this reason, trends in the late 70's and 80's when academic openings were limited may not be indicative of future trends in the total number of new doctorates and the proportion of doctorates in academic employment if academic openings become more plentiful in the 1990's and 2000's.

A consideration affecting the selection of academic versus non-academic employment is salaries. Throughout the 1980's median and starting salaries for doctorates were lower in academia than in the non-academic sector. However, over this period the gap between academic and non-academic salaries for Ph.D's narrowed. As a result, the financial disincentive to Ph.D's for selecting academic employment has diminished over the last ten years.

### Supply and Demand Together

A number of studies completed in the late 1980's predict a substantial shortage of faculty nationally in the mid-1990's to 2010. The assumptions in these projection models were based on the best available data at that time concerning each supply and demand factor.

In the 3-4 years since these studies were completed, a number of conditions have changed. First, the pattern of doctorate awards from U.S. universities has reversed itself. Rather than remaining flat as assumed in the models, doctorate awards have increased both overall and to U.S. residents. Second, the financial capacity of higher education institutions to expand faculty without limitations has been weakened.

In addition, a third assumption utilized in the models may be unrealistic: that the proportion of Ph.D. holders employed in academia will remain constant or decline. The current proportion of Ph.D. holders employed in academia is an outgrowth of a particular set of market conditions in the 70's and 80's when academic openings were limited. This proportion may not hold under different market conditions in which academic positions are more abundant.

If the assumptions of the projection models used to date are changed to reflect recent developments including the upturn in Ph.D. recipients, the fiscal austerity that may inhibit expansion of faculty positions, and a possible increase in the proportion of doctorates employed in academia, the projected faculty "shortage" will be reduced. While a faculty shortage may occur, at this point in time, it does not appear that the national faculty shortage in the mid-1990's and 2000's will be as great as predicted in the studies of the late 1980's.

### RELATED REGENT POLICIES

There are no System Policies relating directly to this subject.

FEB\EXECSUM.DOC

## PROJECTED SUPPLY AND DEMAND FOR FACULTY

A number of higher education policy issues revolve around the expected market for faculty in the next two decades. These issues include, for example, compensation patterns for faculty, the desirability of encouraging promising students to pursue doctorate programs and careers in higher education, etc. This paper examines the data and research on the underlying supply and demand factors for the future market for faculty.

### I. DEMAND FOR FACULTY

Demand for new faculty comes from two sources: (1) replacing faculty that leave (replacement demand) and (2) creating new faculty positions (expansion). Replacement demand has a number of sub-components. The four primary ways in which faculty leave are through voluntary departure (for example, to accept another job); involuntary departure, i.e., non-renewal of contracts; retirement; and death. Of the four, retirement is expected to account for the largest number of exits.

#### A. Retirement

There are two noteworthy retirement-related factors in the current higher education environment: the elimination of mandatory retirement at the federal level and the age distribution of the faculty. With regard to the first, amendments to the federal Age Discrimination in Employment Act abolish mandatory retirement for tenured faculty members in colleges and universities effective January 1, 1994. Since Wisconsin has already eliminated mandatory retirement for faculty members, the change in the federal law will have no direct effect on the UW System. The two most detailed recent studies in this area conclude that the elimination of mandatory retirement is unlikely to have an effect at the national level; specifically, it is unlikely to result in a significantly higher average retirement age (Rees and Smith, Lozier and Dooris). Therefore, demand for replacement faculty nationally will not be reduced because existing faculty members choose to stay in their jobs and retire at later ages (or not at all).

The age distribution of the faculty also has been analyzed for its effect on retirement and therefore demand for replacement faculty. Both nationally and in the UW System, university and college faculty have been "aging". This aging is due to a "bulge" of faculty hired in the 1960's when university enrollments expanded to accommodate the baby boom. For example, nationally the percentage of all arts and sciences faculty under age 40 fell from 42% in 1977 to 22% in 1987, while the percentage over 49 rose from 27% in 1977 to 39% in 1987 (Bowen and Sosa). Similarly, in the UW System the percentage of all faculty under age 40 fell from 32.7% in 1979 to 21.7% in 1989, while the percentage over 49 rose from 33% in 1979 to 45% in 1989 (Tsfagiorgis).

A recent national study (Lozier and Dooris) examines faculty retirement patterns nationally on a discipline-specific basis. The study projects that the largest number of faculty retirements over the next 15 years will occur from 1998 through 2002-03, but that retirement patterns vary by discipline. In languages and letters, the peak retirements are from 1988-89 through 1992-93; in social sciences and psychology, retirements are expected to remain stable;

in mathematics and physical sciences retirements are projected to increase moderately but steadily to 2002-03 and in the life sciences retirements are expected to increase through the mid-1990's and return to current levels in 2002-03. The greatest number of retirements will be in the humanities and social sciences.

Another national study (Bowen and Sosa) calculates projected retirements for arts and sciences faculty utilizing age-specific retirement rates, similar to the Lozier and Dooris study described above. Bowen and Sosa find that the number of retirements is remarkably steady from 1987 to 2012. The proportion of total faculty that will retire in a five-year period varies from 11.0% to 13.8%.

This paper develops projections of UW System retirements through 2014 by applying the Bowen/Sosa methodology to the UW System. The Bowen/Sosa methodology uses age-specific retirement rates which reflect the fact that while the most common retirement age is 65, some faculty members retire before age 65 and some after age 65.

Three scenarios for the UW System are examined.

(1) PERMANENT DOWNSIZING: The UW System decreases the number of faculty in 1989-94 as outlined in the Quality Reinvestment Program and remains at that level of faculty throughout 1995-2014. This model reflects a scenario in which the UWS chooses not to expand faculty positions beginning in 1994 due to insufficient financial resources.

(2) SOME GROWTH: UWS faculty positions decrease in 1989-94, increase from 1994-99 to match expanded student enrollments, and remain constant from 1999-2014. This model reflects the scenario that the UWS adjusts enrollments and faculty positions to match changes in the number of qualified college applicants and that the number of qualified applicants remains level from 1999-2014.

(3) CONTINUOUS GROWTH: UWS faculty positions decrease in 1989-94, increase from 1994-1999 to match expanded student enrollments, and increase more slowly from 1999-2014 to match a slower expansion of student enrollments. This model reflects the scenario that the UWS adjusts enrollments and faculty positions to match changes in the number of qualified college applicants and that the number of qualified applicants grows from 1999-2014.

These projections are detailed in the Technical Appendix and summarized in Table 1. As shown in Table 1, utilizing the age-specific retirement rates used in national projections (Bowen/Sosa) the number of retirements in the UW System is relatively smooth over the period 1989-2014. This smooth pattern of retirements holds under each model; that is, regardless of whether the number of UWS faculty positions expands. In addition, the magnitude of retirements is very similar under each model. Examining all models and all time periods, the proportion of total faculty that will retire over a five-year period ranges from 12.0% to 14.4%. In all of the models, UWS faculty retirements rise slightly and peak in 2004-2009.

TABLE 1

**PROJECTED UW FACULTY RETIREMENTS, TOTAL EXITS, AND NEW HIRES  
FULL-TIME EQUIVALENT BASIS**

	1989-94	1994-99	1999-2004	2004-2009	2009-2014
<b>RETIREMENTS (% of Faculty)</b>					
MODEL I	817.5 (12.2%)	890.4 (13.7%)	930.1 (14.3%)	936.4 (14.4%)	862.7 (13.2%)
MODEL II	817.5 (12.2%)	890.4 (13.7%)	931.1 (13.4%)	940.5 (13.5%)	875.7 (12.6%)
MODEL III	817.5 (12.2%)	890.4 (13.7%)	931.1 (13.4%)	941.0 (13.2%)	878.1 (12.0%)
<b>TOTAL EXITS (% of Faculty)</b>					
MODEL I	1372.5 (20.5%)	1427.1 (21.9%)	1478.9 (22.4%)	1492.0 (22.6%)	1423.8 (21.6%)
MODEL II	1327.5 (20.5%)	1427.1 (21.9%)	1537.4 (22.1%)	1539.8 (22.2%)	1473.0 (21.2%)
MODEL III	1372.5 (20.5%)	1427.1 (21.9%)	1537.4 (22.1%)	1567.3 (21.9%)	1523.0 (20.7%)
<b>NEW HIRES: TOTAL EXITS + EXPANSION (% of Faculty)</b>					
MODEL I	1202.5 (18.0%)	1427.1 (21.9%)	1478.9 (22.7%)	1492.0 (22.9%)	1423.8 (21.8%)
MODEL II	1202.5 (18.0%)	1852.1 (28.4%)	1537.4 (22.1%)	1539.8 (22.2%)	1473.8 (21.2%)
MODEL III	1202.5 (18.0%)	1852.1 (28.4%)	1737.4 (25.0%)	1767.3 (24.7%)	1723.0 (23.5%)

MODEL I: Number of faculty positions decreases in 89-94 and remains at that level.

MODEL II: Faculty positions decrease in 89-94, increase in 94-99 and remain constant 1999-2014.

MODEL III: Faculty positions decrease in 89-94, increase in 94-99 and increase more slowly in 1999-2014.

See Technical Appendix for methodology. Based on national rates of faculty retirements, quitting, and dying.

As noted above these projections are based on national retirement rates. It was not possible to utilize UWS-specific retirement rates because faculty retirement rates by age are not currently available for the UW System prior to 1989. However, the national retirement rates appear consistent with UWS experience. For example, for the period 1989-94, the projections predict 817.5 retirements, or an average of 163.5 retirements per year. Actual UWS faculty retirements in 1991 were 173.\*

The driving force behind the surprisingly steady retirement flow projected in these models at the national and UWS levels is the fact that a portion of faculty retires at ages other than 65. This smooths out the retirement flows.

These models examine the UW System in the aggregate. National research and historical UWS data indicate that faculty at doctoral institutions retire at later ages than faculty at comprehensive institutions. Therefore, it can be expected that the proportion of faculty retiring in each five-year period will be lower than the UWS average rate (reported in the table) at UW-Madison and UW-Milwaukee and higher than the UW System average at the UW-Comprehensives.

As noted above, these retirement projections are based on national faculty retirement rates and examine the UW System in the aggregate. More refined analysis at the institutional level or using UWS-specific retirement rates by age (if they can be developed) could yield somewhat different projections.

#### B. Faculty Distribution by Discipline

Another factor that affects the "replacement" demand for faculty is the faculty distribution by discipline. Both nationally and in the UW System, over the last ten years there has been a change in the degree areas pursued by students (Bowen and Sosa, Ehrenberg). For example, in the UW System from 1980/81 to 1990/91 business degrees increased, engineering degrees decreased, and social science degrees increased (ORB 92/2). In response to changes in student interests, needs of the economy, and other factors, colleges and universities may fill faculty positions vacated through "exits" with a different disciplinary mix of faculty. In other words, institutions may "reallocate" vacant positions away from low priority disciplines to high-priority disciplines. Institutional decisions about the discipline mix of new faculty hires will influence the magnitude of "replacement" demand by discipline and overall.

\*The UW System differs from the majority of higher education institutions because it has a defined-benefit, rather than a defined-contribution, retirement plan. Under a defined benefit plan retirement benefits grow more slowly after age 65 than under a defined contribution plan. This could cause UWS faculty retirement rates to differ somewhat from national faculty retirement rates.

### C. Total Replacement Demand

A recent national study (Bowen and Sosa) of the arts and sciences disciplines considers estimates of retirement together with estimates of faculty leaving through other means to derive an overall "replacement" demand projection. The study finds that when the retirement projections are combined with projections of the remaining faculty members "exiting" through voluntary and involuntary departures and death, the flow of present faculty members out of higher education will be remarkably steady over the next 20-25 years. In other words, despite the bulge of older faculty, there is no "bunching" of exits.

This paper applies the Bowen/Sosa methodology for calculating total replacement demand to the UW System. As described above, three scenarios are examined: (1) permanent downsizing; (2) some growth; and (3) continuous growth. These calculations are detailed in the Technical Appendix and summarized in Table 1. As with the national projections, the projected total flow of faculty out of the UW System is remarkably smooth from 1989-2014, regardless of whether the number of UWS faculty positions increases. The number of total exits rises slightly and peaks in 2004-2009.

It is important to bear in mind that total exits is not equivalent to total new hires. Total new hires is composed of exits (i.e., replacement demand) and expansion (which is examined below). It is the first component: total exits, or replacement demand, that is projected to be smooth over the next 20 years. As examined in more detail below, the second component, expansion, can fluctuate substantially, in turn causing total demand (exits plus expansion) to fluctuate.

### D. Total Student Enrollment

As noted above, the demand for faculty is a combination of replacement demand, which has been examined above, and expansion. A key factor in whether there will be an expansion in the number of faculty positions is the size of student enrollment.

The National Center for Education Statistics (NCES) has developed national projections of enrollment in higher education through 2002. In its "middle" alternative projection, NCES projects a gradual annual increase in higher education full-time equivalent (FTE) enrollment from fall 1991 through fall 2002. The projections implicitly assume that there are no limitations to enrollment expansion in higher education institutions.

Some of the faculty market studies develop enrollment projections beyond 2002. For example, Bowen and Sosa develop higher education FTE enrollment projections through 2012. They project a dip in enrollment in the 1990's, which bottoms out in 1996. From 2002 to 2010, higher education FTE enrollments are projected to increase and then become stable from 2010 to 2012, at a level similar to FTE enrollment in 1983.

The pattern in Wisconsin differs somewhat from the national pattern (ORB 92/1). In Wisconsin, the number of 18-year-olds dropped from 1988 to 1991, bottomed out in 1991, and is projected to increase from 1992-1998 and then remain stable from 1998 to 2000 at a level similar to 1987.

However, the most important determinant in faculty expansion in higher education in the 1990's is likely to be the financial health of the higher education institutions. In the first two years of the decade, both private and public universities have been forced to operate under unusually tight fiscal conditions, with many public universities receiving no increase or cutbacks in state appropriations and many private universities facing operating deficits. If tight fiscal conditions persist, for financial reasons, institutions may be unable or unwilling to expand student enrollments to accommodate the increase in potential students expected in the mid- and late 1990's.

Alternatively, institutions, particularly public institutions under pressure to maintain the same level of access, may expand student enrollments but lack the financial resources to increase faculty positions at a rate that matches current student:faculty ratios. In these cases, the institutions may not expand the number of instructional staff positions at all or may choose to increase instructional academic staff and teaching assistants positions as a less costly alternative to increasing the number of faculty (Ehrenberg).

For the UW System, the Board of Regents has approved an enrollment management program effective through 1994-95 which reduces enrollment each year. The Board of Regents has not yet decided whether to expand enrollments beginning in 1995-96 to accommodate the projected increase in applicants. To the extent colleges and universities do not expand student enrollments or expand enrollments without commensurate increases in faculty, demand for new faculty ("expansion" demand) is reduced.

This paper shows the expansion demand under the three alternative scenarios described above. The projections are detailed in the Technical Appendix and summarized in Table 1. The expansion demand, as well as number of new hires (i.e., total demand), vary considerably depending on the growth scenario adopted.

In sum, the replacement demand component (i.e., exits) of faculty demand is projected to be relatively smooth for the UW System under any growth scenario. The other demand component, expansion demand, varies considerably depending on the amount of enrollment and faculty growth undertaken. In short, it will be the decision whether to expand faculty positions, and not the pattern of faculty retirements and exits, that will determine whether the UW System's demand for faculty rises significantly in the period 1994-2014.

## II. SUPPLY OF NEW FACULTY

A February 1992 paper (Bove) analyzed the data and research related to the "supply" of faculty to the market. A summary of the findings of that paper is provided in this section.

#### A. New Ph.D.'s

An important source of supply for faculty positions is new doctorate recipients. Table 2 and Chart 1 show the total number of new doctorates awarded annually since 1960. In each of the past four years there has been an increase in the total number of doctorates awarded by U.S. universities. In 1990, 36,027 Ph.D.'s were awarded from U.S. universities, the largest number of doctorates ever awarded. This development changes a pattern of stagnant or declining doctorate awards in the preceding 10-13 years. Chart 2 shows new doctorate awards by discipline over the past 30 years. Disciplines experiencing the strongest growth in the past four years are the life sciences, physical sciences, and engineering.

Since 1987, there has also been an annual increase, at a more modest rate, in the number of doctorates awarded to U.S. residents. Since 1960, there has been a steady increase in the number of doctorates awarded to non-residents. Currently, approximately one-quarter of non-resident new doctorate holders accept academic employment in the United States either directly after their degree or after a postdoctoral appointment in the United States. (Ehrenberg) The proportion of non-resident doctorates accepting employment in the United States could increase if academic jobs become more plentiful and U.S. immigration laws are not an impediment.\*

Over the longer term, 1960-1990, the trends in doctorates awarded have been closely related to the extent of academic job opportunities: doctorates soared from 1960-73 as the demand for faculty mushroomed in the 1960's and declined and remained flat in the mid and late 70's as the rate of faculty hiring slowed.

#### B. Employment Status of Doctorate Holders

Another factor affecting the supply of Ph.D.'s to higher education is the type of employment selected by doctorate holders. Table 3 shows the number and proportion of doctorates employed in the United States by type of employment. From 1977 to 1989, the proportion, but not the number, of Ph.D.'s employed in higher education dropped somewhat (by less than 10 percentage points). The drop in the proportion is likely to be attributable to the "supply and demand" for faculty positions during this period. Specifically, higher education did not generate enough openings to employ doctorates at the same rate as in the 1960's. A higher proportion of Ph.D.'s had to be absorbed in the non-academic sector. Undoubtedly some of the Ph.D.'s in non-academic

\*Under the current Immigration and Nationality Act, employers can petition the U.S. Government for permanent residency status for a non-citizen employee on the grounds that he or she is "a member of the professions or a person of exceptional ability in the arts and sciences." In fiscal 1989, the U.S. Government approved 1,681 requests from U.S. higher education institutions for permanent residency. (This total includes other higher education positions, e.g., researchers, as well as faculty.) The approval rate is approximately 95% for U.S. higher education institutions that submit such requests with appropriate documentation (Ehrenberg).

**Table 2**

**DOCTORATES AWARDED BY U.S. COLLEGES AND UNIVERSITIES**

<u>Year</u>	<u>Total*</u>	<u>U.S. Residents**</u>	<u>Non-Residents**</u>
1960	9733	8748	897
1961	10413	9217	1050
1962	11500	10115	1244
1963	12730	11281	1251
1964	14325	12589	1463
1965	16340	14332	1753
1966	17949	15610	1908
1967	20404	17906	2048
1968	22936	20273	2268
1969	25743	22776	2334
1970	29498	26491	2572
1971	31867	28665	2690
1972	33043	29574	2831
1973	33756	29912	3174
1974	33047	28169	3359
1975	32950	28793	3536
1976	32945	28763	3529
1977	31713	27473	3448
1978	30866	26631	3421
1979	31224	26781	3584
1980	31020	26512	3644
1981	31357	26342	3940
1982	31111	25619	4204
1983	31282	25634	4499
1984	31337	25251	4832
1985	31297	24694	5228
1986	31895	24513	5276
1987	32364	24561	5610
1988	33490	24911	6195
1989	34319	25024	6648
1990	36027	25844	7744

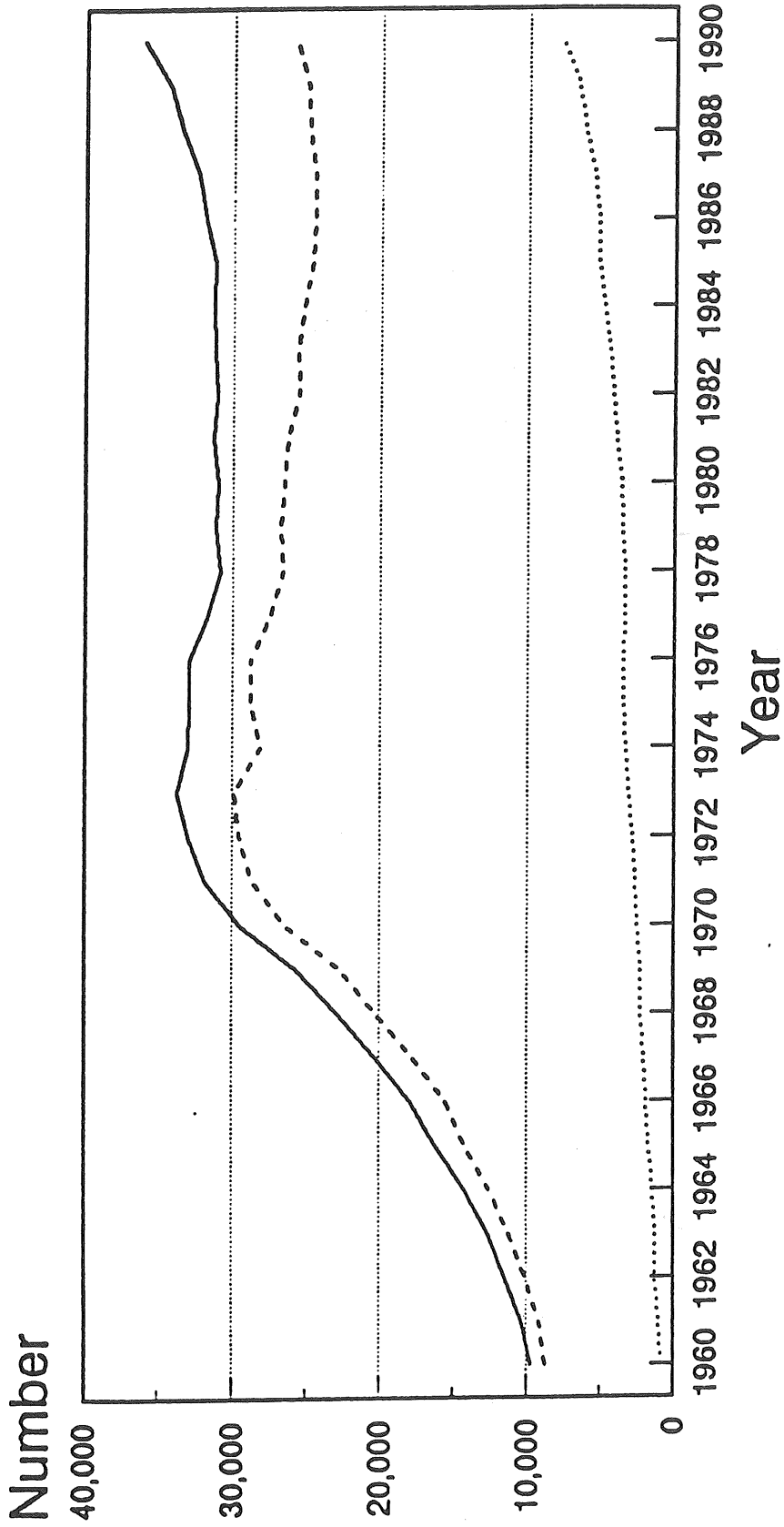
\* Total includes U.S. residents, non-residents, and those of unknown citizenship.

\*\* U.S. residents includes U.S. citizens and foreign nationals with permanent visas.  
(The latter group is small, accounting for 1654 doctorates in 1990.) Non-residents  
includes foreign nationals with temporary visas.

Source: Summary Report, Survey of Earned Doctorates, National Research Council.

CHART 1

# Doctorates Awarded by U.S. Colleges and Universities



Total    U.S. Residents    Non-Residents

Source: Survey of Earned Doctorates,  
National Research Council

Note: U.S. Residents include U.S. Citizens and foreign nationals with permanent visas. Non-residents include foreign nationals with temporary visas.

Chart 2

Doctorate Recipients By Field

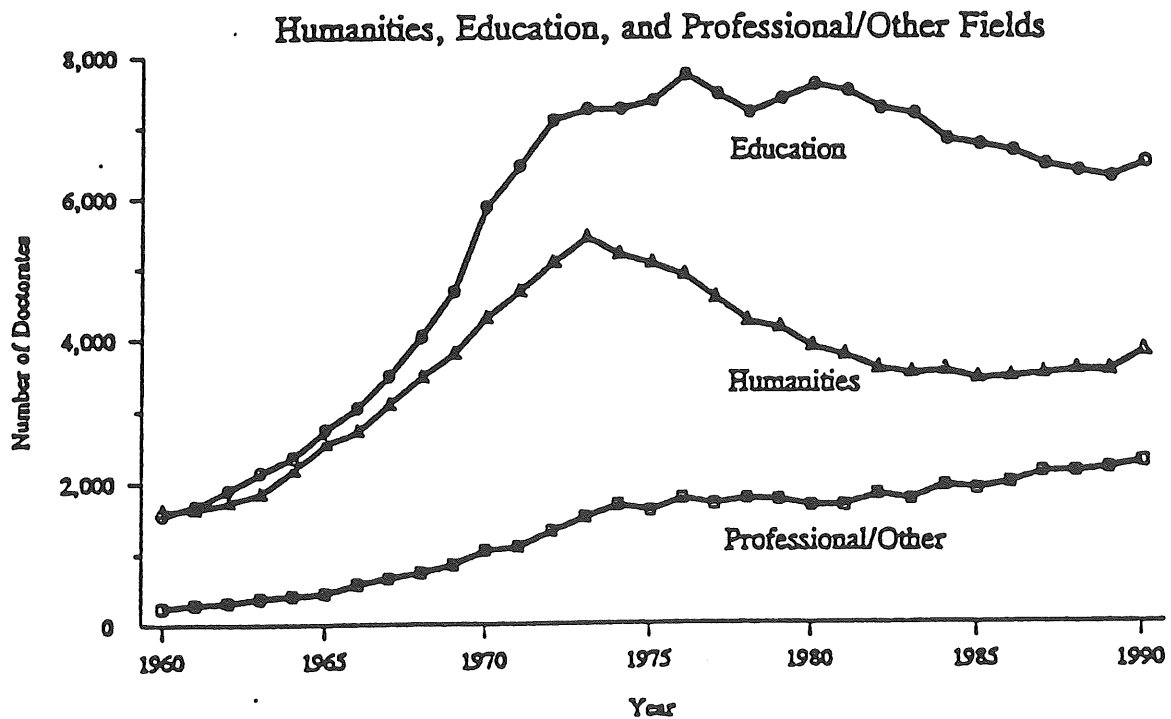
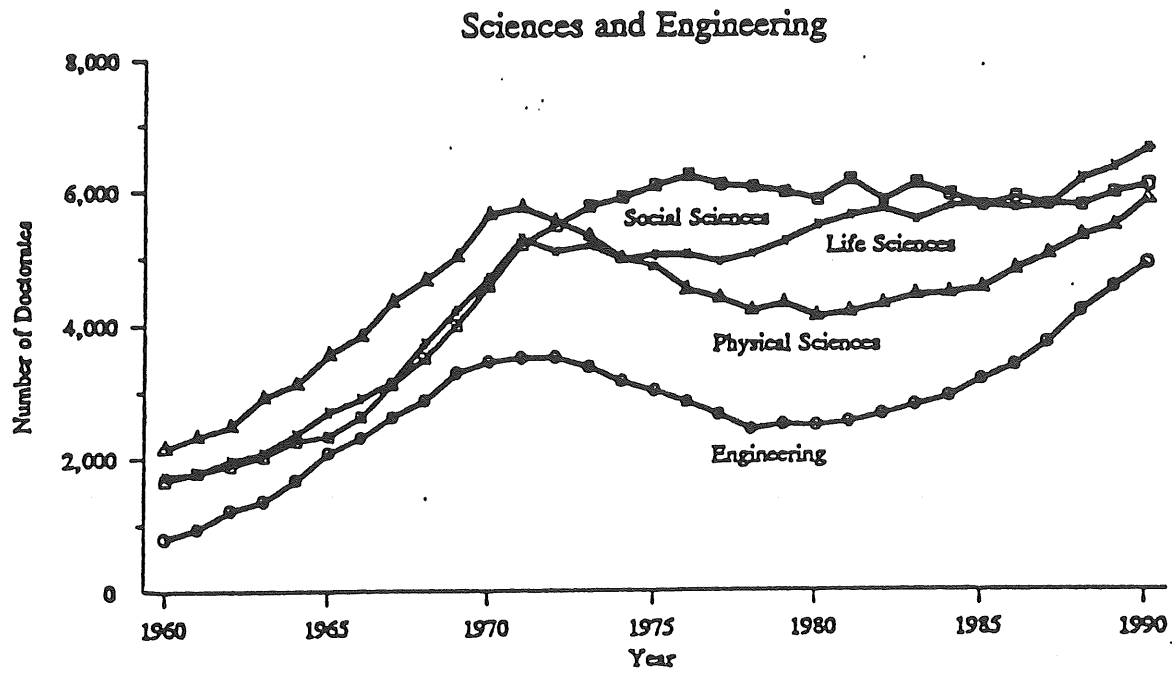


TABLE 3

## DOCTORATES EMPLOYED IN THE UNITED STATES BY TYPE OF EMPLOYMENT

	1973		1977		1981		1985		1989	
	NO.	%	NO.	%	NO.	%	NO.	%	NO.	%
<b>SCIENCE, SOCIAL SCIENCE AND ENGINEERING</b>										
UNIVERSITY/4-YEAR COLLEGE	124,928	56.7	157,065	55.1	179,201	52.1	202,181	50.5	220,732	49.2
BUSINESS/INDUSTRY *	53,320	24.2	71,549	25.1	99,059	28.8	125,712	31.4	145,360	32.4
FEDERAL GOVERNMENT (CIVILIAN)	18,288	8.3	21,379	7.5	25,109	7.3	26,424	6.6	29,162	6.5
OTHER	23,796	10.8	35,062	12.3	40,587	11.8	46,041	11.5	52,043	11.6
TOTAL	220,332		285,055		343,956		400,358		448,643	
<b>HUMANITIES</b>										
UNIVERSITY/4-YEAR COLLEGE	Not Available **		48,122	82.4	54,630	77.6	60,629	74.3	64,866	73.4
BUSINESS/INDUSTRY *			1,869	3.2	4,576	6.5	7,099	8.7	8,663	9.8
FEDERAL GOVERNMENT			993	1.7	1,549	2.2	1,958	2.4	2,387	2.7
OTHER			7,417	12.7	9,645	13.7	11,914	14.6	12,464	14.1
TOTAL			58,400		70,400		81,600		88,400	

\* Includes self-employed

\*\* 1977 was the first year data on the employment sector of humanities doctorates were collected.

NOTE: All numbers in the table are estimates derived from a sample.

SOURCE: Survey of Doctorate Recipients, as published in Humanities Doctorates in the United States, National Research Council and Characteristics of Doctoral Scientists and Engineers in the United States, National Science Foundation.

jobs prefer non-academic employment. However, some of these Ph.D.'s may have had a preference for academic employment. Because of these underlying market factors, the declining proportion of Ph.D.'s employed in higher education does not necessarily reflect a growing disinterest among doctorate holders for academic employment. Nor does it represent a trend that would necessarily continue if academic jobs become more abundant.

Historically, trends in both the total number of new doctorates and the proportion of doctorates in academic employment have been closely related to the availability of academic positions. For this reason, trends in the late 70's and 80's when academic openings were limited may not be indicative of future trends in the total number of new doctorates and the proportion of doctorates in academic employment if academic openings become more plentiful in the 1990's and 2000's.

It is useful to bear in mind that a portion of doctorate holders already move between academic and non-academic employment. For example, between 1985 and 1987 of the doctorate holders age 35 to 50 employed in the United States, five percent moved from academic employment to non-academic employment and four percent moved in the other direction, from non-academic employment to academic employment (Ehrenberg). Changes in these "migration rates" would affect the supply of doctorates to higher education.\*

One consideration affecting the selection of academic versus non-academic employment is the salaries available in each sector. Table 4 shows median salaries of all employed science, social science, and engineering doctorate holders in higher education and business, the highest paid non-academic employment. As expected from the mid-70's through 1989, median salaries for doctorates employed in business were higher than median salaries in higher education. However, the gap between salaries for doctorates in the academic and nonacademic sectors narrowed over this period.

A similar finding holds for starting salaries in a number of scientific fields. Table 5 shows the ratio of median academic to median nonacademic salaries for new doctorate scientists, social scientists, and engineers in eight specific fields: mathematics, computer sciences, environmental sciences, life sciences, psychology, physical sciences, social sciences, and engineering. In most of these fields, relative starting salaries declined through the early 1980's but have been increasing in recent years. An exception is engineering where the relative salary reached its low point in 1977 and increased thereafter (Ehrenberg).

\* For transitions between the academic and non-academic sectors to be successful, there must, of course, be a match between the individual's skills and the institution's needs. This matching process appears to be more successful in some fields than others. For example, in 1985 and 1987 approximately twenty percent of the tenure-track full-time faculty appointments in engineering schools were doctorates employed in the non-academic sector (industry and government). In contrast, in mathematics, from 1979-86 only 3.5-7.5 percent of faculty hires were doctorates employed in the non-academic sector (Ehrenberg).

TABLE 4

MEDIAN SALARIES OF FULL-TIME EMPLOYED SCIENCE, SOCIAL SCIENCE, AND ENGINEERING DOCTORATE HOLDERS IN THE UNITED STATES BY TYPE OF EMPLOYMENT		
	1977	1989
University/4-Year College	\$23,800	\$51,200
Business/Industry*	\$29,900	\$61,500
Difference as a % of University Median Salary	25.6%	20.1%

\*Includes self-employed

Source: Characteristics of Doctoral Scientists and Engineers in the United States, National Science Foundation.

TABLE 5  
Ratio of Median Academic to Median Nonacademic  
Salaries for New Doctorate Scientists, Social Scientists, and Engineers

Field	1973	1975	1977	1979	1981	1983	1985	1987	1989
Physical sciences	.839	.819	.814	.770	.735	.710	.723	.789	.787
Mathematical sciences	*	.782	.787	.764	.736	.703	.759	.779	.803
Computer sciences	*	.898	.845	.831	.834	.915	.984	.922	.943
Environmental sciences	*	.800	.816	.753	.716	.718	.754	.838	.869
Life sciences	.917	.864	.879	.850	.824	.826	.838	.847	.862
Psychology	.903	.874	.852	.861	.827	.807	.866	.846	.851
Social sciences	.811	.801	.791	.760	.775	.765	.762	.849	.801
Engineering	.865	.864	.820	.833	.836	.847	.887	.940	.991

Source: Special tabulations prepared from the Survey of Doctorate Recipients by the Office of Scientific and Engineering Personnel, National Research Council, as printed in *Economic Challenges in Higher Education*.

Note: Figures represent ratio of median academic to median nonacademic salaries of doctorates with five or less years postdoctoral experience who are employed full-time in the field.

\*Not available.

Economic research has found, on average, that an increase of a given percentage in starting academic salaries vis-a-vis starting non-academic salaries will increase the ratio of new doctorates accepting employment in the academic sector. A striking example is engineering where from 1978 to 1988 the median salary for new doctorates in academia relative to non-academic jobs increased from .82 to .99 and the share of new doctorates employed in academia increased from 23.5% to 28.5%. As a number of researchers note, doctorate holders consider not only starting salaries, but also the promotional possibilities and future expected earnings when selecting a job. While the gap between starting salaries is narrowing, academic salaries still have the disadvantage of rising less with seniority than certain other professions, such as the practice of law (Ehrenberg).

### C. Responsiveness of Supply

A final issue that has been raised with respect to the supply of Ph.D.'s to academia is the responsiveness of supply; particularly, how quickly supply could expand if a faculty shortage materialized. Current time-to-degree for Ph.D.'s is 6-12 years. Some argue that even if there is an increased surge of students entering Ph.D. programs at the time a faculty shortage materializes, there would nonetheless be a shortage until those students complete their degrees.

There are several reasons to suggest that if a faculty shortage materialized, supply could be responsive in the short- as well as long-run. First, there is already a large pool of existing doctorate holders in non-academic jobs who might be attracted to academic jobs if opportunities arose. Second, even at the current levels of production of new Ph.D.'s, supply could be increased in the short-term through an increase in the proportion of new Ph.D.'s that accept academic employment. Third, according to a recent study (Bowen and Rudenstine) both the time-to-degree (6 to 12 years) and the drop-out rate (greater than 50%) are high in Ph.D. programs. Reducing the time-to-degree and/or the drop-out rate for Ph.D. candidates already enrolled in programs would increase the flow of new Ph.D.'s into the market.

### III. SUPPLY AND DEMAND PROJECTIONS

Several recent studies consider all of the underlying factors detailed above and bring supply and demand projections together (Bowen and Schuster, Bowen and Sosa). These projections are based on assumptions regarding each supply and demand factor. The most thorough and rigorous projections are Bowen and Sosa's projections for the arts and sciences fields. Key assumptions in the Bowen/Sosa model include: the number of U.S. resident new doctorate recipients will be stagnant and the number of non-resident new doctorates will increase only slightly; the proportion of doctorate holders employed in higher education will remain constant or decline; and higher education enrollments and faculty positions will expand to accommodate fully the increase in qualified college applicants. Based on their assumptions, Bowen and Sosa project a substantial excess demand for faculty starting in the 1997-2002 period. The imbalance will be particularly severe in the humanities and social sciences and at top liberal arts colleges and comprehensive universities. The greatest shortages will be from 1997 to 2007.

Several developments have materialized since completion of the Bowen/Sosa and Bowen/Schuster studies which call into question some of the assumptions in the models. First, from 1986 to 1990 new doctorate awards have increased, not stagnated as predicted. For example, by 1990, the number of new U.S. resident doctorate recipients in the arts and sciences had already exceeded Bowen/Sosa's predicted level for 1992. If the academic market strengthens, it is likely that the number of new doctorates would continue to increase.

Second, as suggested above and noted by others (Cheney) it may be unrealistic to assume, as Bowen and Sosa did, that the proportion of Ph.D.'s in academia will remain constant or decline. It is likely that a higher proportion of new Ph.D.'s would choose academic employment once academic jobs become more plentiful and that some existing Ph.D.'s in non-academic employment may be attracted into academic employment if the academic labor market becomes more favorable.

Finally, since completion of the Bowen/Sosa study in 1989, fiscal conditions for higher education institutions have deteriorated dramatically. In the first two years of this decade, both private and public universities have been forced to operate under unusually stringent fiscal conditions. If tight fiscal conditions persist, for financial reasons, higher education institutions may be unable or unwilling to expand enrollments and faculty positions to accommodate the expected increase in potential students in the mid and late 1990's.

If the assumptions of the projection models used to date are changed to reflect recent developments including the upturn in Ph.D. recipients, the fiscal austerity that may inhibit expansion of higher education faculty positions, and a possible increase in the proportion of doctorates employed in academia, the projected faculty "shortage" could change significantly.

Bowen and Sosa calculate the ratio of projected supply to projected demand to assess whether a shortage will occur. A ratio of 1 indicates balance; a ratio less than 1 indicates a shortage. If the Bowen/Sosa assumptions are changed so that higher education does not expand enrollments (but all other assumptions in the Bowen/Sosa models II and III hold), the projections change significantly in the following way: (1) the faculty shortage disappears for 1997-2002; (2) the faculty supply/demand ratio for 2002-2007 improves from .78-.82 (under the Bowen/Sosa projections) to .93-.96 (a ratio of 1.0 indicates balance between supply and demand); and (3) the supply/demand ratio for 2007-2012 improves from .90-.91 (under Bowen/Sosa) to .94-.95.

Another recent study (Ehrenberg) completes a number of simulations changing "supply side" assumptions of the Bowen/Sosa model. Among the major findings are:

- (a) increasing the share of resident new doctorates entering academia by .05 would increase the supply of academic Ph.D.'s by 9.4%;
- (b) reducing "out-migration" of employed Ph.D.'s from the academic to the non-academic sector by 2 percentage points would increase the supply of academic Ph.D.'s by 12.2%; and
- (c) increasing "in-migration" of employed Ph.D.'s from the non-academic to the academic sector by 3 percentage points would increase the supply of academic Ph.D.'s by 16.8%.

Any one of the above supply side changes in combination with no expansion in faculty positions as illustrated above would eliminate the projected faculty shortage.

#### IV. CONCLUSION

In conclusion, there are a number of demand and supply factors that affect the future market for faculty, both nationally and for the UW System. As with any projections there is uncertainty regarding the future trends in each supply and demand factor.

Projections completed in the late 1980's predicted a substantial shortage of faculty nationally in the mid-1990's to 2010. The assumptions in these projection models were based on the most current data available at that time concerning each supply and demand factor.

In the intervening 3-4 years, a number of conditions have changed. First, the pattern of doctorate awards from U.S. universities has reversed itself. Rather than remaining flat, doctorate awards have increased both overall and to U.S. residents in the past four years. Second, the financial capacity of higher education institutions to expand without limitations has been weakened.

In addition, a third assumption utilized in the models may be unrealistic: that the proportion of Ph.D. holders employed in academia will remain constant or decline. The current proportion of doctorates employed in academia is an outgrowth of a particular set of market conditions, i.e., a situation in the 70's and 80's when academic openings were limited. This proportion may not hold under different market conditions in which academic positions are more abundant.

If the assumptions of the projection models used to date are changed to reflect recent developments including the upturn in Ph.D. recipients, the fiscal austerity that may inhibit expansion of higher education enrollment, and a possible increase in the proportion of doctorates employed in academia, the projected faculty "shortage" will be reduced.

This paper examines the supply and demand for faculty in the aggregate. Further analysis would be required to determine the specific supply and demand conditions with respect to race, gender, and/or discipline.

Between now and 1997, there may, of course, be further events and developments that affect the future faculty market in one direction or another. While a national faculty shortage could materialize over the next 20 years, at this point in time, it does not appear that the national faculty shortage in the mid 1990's and 2000's will be as great as predicted in the studies of the late 1980's.

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## TECHNICAL APPENDIX

### Methodology for Calculating Retirements and Overall Replacement Demand

The following methodology, utilized by Bowen and Sosa, was applied to the UW System to calculate projected retirements and total exits from 1990-2014.

There are three primary forms of faculty "exits": (1) quitting, which includes voluntary and involuntary "quits"; (2) retiring; and (3) dying. Bowen and Sosa calculate the probability of each type of exit by age group. For example, the probability of a faculty member age 30-34 quitting within the next 5 years is 17%; while the probability of that faculty member retiring within the next 5 years is 0%. Conversely, the probability of quitting for faculty age 60-64 is low, but the probability of retiring is high. A "survival ratio" is calculated as (1-the exit probability). The survival ratio is the proportion of the original faculty that will still be in the UW System at the start of the next 5-year period. The survival ratios utilized by Bowen and Sosa are shown in Table 1.

In the UWS simulations 1989 is used as the base year. The age distribution of UWS faculty in 1989 is shown in Table 2. The Bowen/Sosa age-specific survival rates for retirements and other exits are applied to each age group. This yields the number of original faculty members by age group that are still in the UW System in 1994. For example, multiplying 877, the number of faculty age 35-39 in 1989 times the combined survival rate for that age group, .8796, yields 771.4, which is the number of "survivors" age 40-44 in 1994.

To carry the analysis to the next period, one must take account of the fact that there will be "new entrants" to replace the exiting faculty members. The age distribution of new entrants is assumed to be the same as utilized by Bowen/Sosa: 48% are age 30-34; 32% are age 35-39; 10% are age 40-44; 6% are age 45-49; and 4% are age 50-54. The number of new entrants varies in each period depending on the growth assumptions in each model. (See below for description of models.)

Survivors plus new entrants equals the total faculty population by age group at the beginning of the next period. The Bowen/Sosa age-specific survival rates are applied to this population and the same analysis described above is repeated.

A sample set of calculations for the period 1989-94 is shown in Table 2.

### Description of Models

Three models are examined:

(1) **PERMANENT DOWNSIZING:** The UW System decreases the number of faculty in 1989-94 as outlined in the QRP program and remains at that level of faculty throughout 1995-2014. This model reflects a scenario in which the UWS chooses not to expand beginning in 1994 due to insufficient financial resources despite an expected increase in the number of qualified college applicants.

(2) SOME GROWTH: The UWS decreases faculty in 1989-94, increases faculty from 1994-99 to match expanded student enrollments and remains at a constant level from 1999-2014. This model reflects the scenario that the UWS adjusts enrollments and faculty positions to match changes in the number of qualified college applicants and that the number of qualified applicants remains level from 1999-2014. Population projections by the Wisconsin Demographic Services Center project a slight decrease in the 15-19 age group from 2000 to 2005 and from 2000 to 2010.

(3) CONTINUOUS GROWTH: The UWS decreases faculty in 1989-94, and increases faculty from 1994-1999 to match expanded student enrollments, and increases faculty at a slower rate from 1999-2014 to match a slower expansion of student enrollments. This model reflects the scenario that the UWS adjusts enrollments and faculty positions to match changes in the number of qualified college applicants and that the number of qualified applicants grows at a slower pace from 1999-2014. As noted in the paper, projections by Bowen and Sosa predict national student enrollments will grow from 1999-2014 at a pace slower than 1994-99.

Faculty downsizing for 1989-94 in all three models was calculated in the following way. Under Enrollment Management II, UWS student enrollment, FTE basis, is scheduled to drop 4045 FTE from fall 91 (target) to fall 94 (target). The UW System currently has a student:faculty ratio of 24:1. Assuming that the current student:faculty ratio is maintained and the maximum number of faculty positions are left vacant, faculty positions would decrease 168.5 FTE. Therefore, for purposes of this simulation, it was assumed that there would be a decrease in faculty positions of 170 FTE in 1989-94 in all models.

Models II and III assume that the UWS will increase faculty positions in 1994-99 to match an increase in college applicants. In its Enrollment Management Issue Paper (Cammack) the UWS projects that student FTE enrollment will increase by 9343 (low estimate) to 11,100 (high estimate) from 94/95 to 98/99. The midpoint of these estimates is 10,221.5 FTE. Assuming the current student:faculty ratio of 24:1 implies an increase of 425.9 faculty (FTE basis) in the period 1994-99. For purposes of these simulations it was assumed that there would be an increase of 425 FTE in models II and III.

The models assume the maximum number of contractions and expansions in faculty positions (holding current student:faculty ratios constant) to ascertain the greatest possible period-to-period fluctuations in hiring demand.

Model III assumes that the UWS will continue to grow in 1999-2014 to match increases in qualified college applicants. For these simulations it was assumed that the rate of growth would be roughly half the growth rate in 1999-2014. Therefore it was assumed that faculty positions would increase by 200 FTE in 1999-2004, 2004-2009, and 2009-2014 in Model III.

The results of these simulations are provided in Tables 3-5.

TABLE 1  
Age-Specific Survival Ratios: Standard-Quit Assumptions

(1) Age Group	(2) Quitting	(3) Retiring	(4) Five-Year-Period Survival Ratio with Respect to:		(5) (2) X (3) X (4) Combined Survival Ratio
			Dying		
30-34	0.8344	1.0000	0.9955		0.8306
35-39	0.8853	1.0000	0.9936		0.8796
40-44	0.9270	1.0000	0.9890		0.9168
45-49	0.9441	0.9921	0.9821		0.9198
50-54	0.9516	0.9552	0.9735		0.8849
55-59	0.9527	0.8264	0.9622		0.7575
60-64	0.9525	0.4537	0.9413		0.4068
65-69	0.9525	0.0780	0.9054		0.0673
70+		0.0000			0.0000

Source: Bowen, William G. and Julie Ann Sosa.  
*Prospects for Faculty in the Arts and Sciences.*

TABLE 2

## PROJECTED FACULTY EXITS FROM UW SYSTEM

Age Group	5-Year Survival Ratio	Number Of Faculty 1989	Survivors 1994	New Entrants*	Total Faculty 1994
30-34	0.8306	577.1		658.8	658.8
35-39	0.8796	877.0	479.3	439.2	918.5
40-44	0.9168	1004.3	771.4	137.3	908.7
45-49	0.9198	1253.8	920.7	82.4	1003.1
50-54	0.8849	1116.8	1153.2	54.9	1208.1
55-59	0.7575	942.2	988.3		988.3
60-64	0.4068	668.0	713.7		713.7
65-69	0.0673	248.5	271.7		271.7
70 +			16.7		16.7
TOTAL		6687.7	5315.2	1372.5	6687.7
EXITS (1989 Faculty-Survivors)			1372.5		
Exits as a % of Total Faculty			20.5%		

\*It is assumed that the number of new entrants = number of exits. The age distribution of new entrants is assumed to be: 48% are age 30-34; 32% are 35-39; 10% are 40-44; 6% are 45-49, and 4% are 50-54.

Source: 1989 Faculty: Tesfagiorgis, Gebre. *Faculty and Academic Staff Compensation*. 5-year survival ratios: Bowen and Sosa. *Prospects for Faculty in the Arts and Sciences*.

Totals may not equal sum of columns due to rounding.

TABLE 3

UW FACULTY PROJECTED RETIREMENTS, TOTAL EXITS, AND NEW HIRES					
MODEL I: DOWNSIZE IN 89-94 AND REMAIN AT THAT LEVEL					
	1989-94	1994-99	1999-2004	2004-2009	2009-2014
RETIREMENTS					
Number (FTE)	817.5	890.4	930.1	936.4	862.7
% of Faculty*	12.2%	13.7%	14.3%	14.4%	13.2%
TOTAL EXITS					
Number (FTE)	1372.5	1427.1	1478.9	1492.0	1423.8
% of Faculty*	20.5%	21.9%	22.7%	22.9%	21.8%
EXPANSION	-170	0	0	0	0
NEW HIRES (total exits + expansion)					
Number (FTE)	1202.5	1427.1	1478.9	1492.0	1423.8
% of Faculty*	18.0%	21.9%	22.7%	22.9%	21.8%

\*Faculty used as denominator are the number of faculty at the beginning of the five-year period.

Note: See Technical Appendix for explanation of methodology. Based on national rates for faculty retirement, quitting, and dying.

TABLE 4

UW FACULTY PROJECTED RETIREMENTS, TOTAL EXITS, AND NEW HIRES					
MODEL II: DOWNSIZE FACULTY IN 89-94, INCREASE IN FACULTY IN 94-99, NO GROWTH IN FACULTY THEREAFTER					
	1989-94	1994-99	1999-2004	2004-2009	2009-2014
RETIREMENTS					
Number (FTE)	817.5	890.4	931.1	940.5	875.7
% of Faculty*	12.2%	13.7%	13.4%	13.5%	12.6%
TOTAL EXITS					
Number (FTE)	1372.5	1427.1	1537.4	1539.8	1473.0
% of Faculty*	20.5%	21.9%	22.1%	22.2%	21.2%
EXPANSION	-170	425	0	0	0
NEW HIRES (total exits + expansion)					
Number (FTE)	1202.5	1852.1	1537.4	1539.8	1473.0
% of Faculty*	18.0%	28.4%	22.1%	22.2%	21.2%

\*Faculty used as denominator are the number of faculty at the beginning of the five-year period.

Note: See Technical Appendix for explanation of methodology. Based on national rates for faculty retirement, quitting, and dying.

TABLE 5

UW FACULTY PROJECTED RETIREMENTS, TOTAL EXITS, AND NEW HIRES					
MODEL III: DOWNSIZE FACULTY IN 89-94, INCREASE IN FACULTY IN 94-99, MODERATE GROWTH IN FACULTY THEREAFTER					
	1989-94	1994-99	1999-2004	2004-2009	2009-2014
<b>RETIREMENTS</b>					
Number (FTE)	817.5	890.4	931.1	941.0	878.1
% of Faculty*	12.2%	13.7%	13.4%	13.2%	12.0%
<b>TOTAL EXITS</b>					
Number (FTE)	1372.5	1427.1	1537.4	1567.3	1523.0
% of Faculty*	20.5%	21.9%	22.1%	21.9%	20.7%
<b>EXPANSION</b>	-170	425	200	200	200
<b>NEW HIRES (total exits + expansion)</b>					
Number (FTE)	1202.5	1852.1	1737.4	1767.3	1723.0
% of Faculty*	18.0%	28.4%	25.0%	24.7%	23.5%

\*Faculty used as denominator are the number of faculty at the beginning of the five-year period.

Note: See Technical Appendix for explanation of methodology. Based on national rates for faculty retirement, quitting, and dying.

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Approval of  
Revisions to UWEC 3.05 and 3.06  
Faculty Personnel Rules  
University of Wisconsin-Eau Claire

EDUCATION COMMITTEE

Resolution:

That, upon recommendation of the Chancellor of the University of Wisconsin-Eau Claire and the President of the University of Wisconsin System, the revisions to chapters UWEC 3.05 and 3.06, Faculty Personnel Rules, University of Wisconsin-Eau Claire, be approved.

## FACULTY PERSONNEL RULES, UW-EAU CLAIRE

### EXECUTIVE SUMMARY

#### BACKGROUND

Section UWS 2.02, Wisconsin Administrative Code ("Faculty Rules: Coverage and Delegation") requires that rules, policies, and procedures developed by each institution in the system pursuant to chapters UWS 3-6 and 8 must be approved by the Board of Regents before they take effect.

The UW-Eau Claire Faculty Personnel Rules were originally approved by the Board of Regents in 1977 and subsequent revisions to that document have also been approved by the Board. The Faculty Personnel Committee, the faculty members of the UW-Eau Claire University Senate and Chancellor Schnack now recommend revisions to UWEC 3.05, Periodic Review, and 3.06, Charge to the Department Personnel Committee, of the personnel rules.

The proposed revisions have been reviewed by UW System legal counsel who has determined that all the changes meet the requirements of the Wisconsin Administrative Code.

#### REQUESTED ACTION

Approval of resolution I.1.h.(1)

#### DISCUSSION AND RECOMMENDATIONS

The proposed changes include department criteria, additional procedures for review of faculty performance and the charge to the department personnel committee. The process of periodic review of faculty is refined by (1) enhancing the quality of the department evaluation plan; (2) ensuring that the department personnel committee, department chair, dean and vice chancellor are in agreement about criteria for evaluation of performance; and (3) ensuring that faculty are clearly informed about the evaluation process and criteria to be used in the department. The revisions also encourage more communication between the department personnel committee and individual faculty members.

The edited portions of UWEC 3.05 and 3.06 are attached, with additional wording underlined and deleted wording crossed out. UW System Office of Academic Affairs recommends approval of these revisions.

#### RELATED REGENT/SYSTEM POLICIES

Section UWS 2.02, Wisconsin Administrative Code.

## UWS 3.05 Periodic Review

### UWEC 3.05. Purpose

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

As one part of the endeavor to maintain and improve the quality of instruction, the information gathered through these review procedures is used in making personnel decisions as well as in the formulation of plans for the professional development of the faculty member involved.

The Department Chair, the Department Personnel Committee, the promotion subcommittees, and designated academic administrators participate in one or more of the several phases of the performance review of each faculty member. The Department Chair and departmental personnel committee shall periodically review the performance of each faculty member. These reviews shall be conducted annually for probationary faculty and at least every three years for tenured faculty.

### Department Criteria

The review of faculty performance shall include, but is not limited to, consideration of teaching effectiveness, academic advising ability, scholarly activity, and service to the University, the profession and the public. The Department Personnel Committee of each department or functional equivalent shall develop and approve a written evaluation plan which further defines each of these general criteria and describes the relative emphasis to be given to each criterion. The emphasis may vary depending on needs of the department, individual interests, and the stage of a faculty member's career. The plan shall be reviewed and accepted by the Department Personnel Committee, Department Chair, Dean, and Vice Chancellor. The criteria shall be used by the Department Personnel Committee, Department Chair, Dean, and Vice Chancellor in performance reviews. The Chair shall distribute the plan to department members, thereby informing them of the agreed upon criteria.

The Departmental Evaluation Plan shall be reviewed annually by the Department Personnel Committee. Changes in the plan shall be reviewed and accepted by the Department Personnel Committee, Department Chair, Dean, and Vice Chancellor. The Chair shall inform the department in writing of the agreed upon changes in the plan.

### Procedures for Review of Faculty Performance

- A. Procedures for Review by Department Personnel Committee. The Committee shall meet annually with all instructional staff of the department for the purpose of discussing the Department Criteria, the relative emphasis given to each of the criteria in the review of the individual faculty member's performance, and the procedures of the evaluation plan.

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

The departmental faculty evaluation plan shall:

- a. Conform to the Wisconsin open meetings and records laws, the UW System rules and policies, and UW-Eau Claire policies, all of which shall take precedence.
- b. Provide forms and procedures for administering and analyzing student evaluations and promote the anonymity and integrity of those evaluations.
- c. Provide that faculty shall be evaluated in all aspects of their professional performance.
- d. Provide that the faculty member shall be given copies of all periodic reviews of faculty performance at the same time as such reports are submitted to the Department Chair or other administrators by the Department Personnel Committee or its subcommittees.
- e. Provide that the faculty member be given an opportunity to examine his or her student evaluations.
- f. Provide that the faculty member be given an opportunity to respond in writing to the student evaluations and the evaluation reports prepared by the Department Personnel Committee and that such responses be attached to the original documents before the evaluation report is forwarded to the Dean.

- g. Afford the faculty member opportunities to submit to the Department Personnel Committee or its subcommittees any documents or information relevant to the evaluation of his or her performance, and/or request a meeting with the committee.
- h. Recognize that the Department Chair has the responsibility for maintaining the official departmental personnel file for each staff member, including a record of the periodic evaluations, personnel decisions, and the information on which they are based.
- i. Afford the faculty member an opportunity to review and respond to the information in his or her departmental personnel file.

~~The Department Chair shall file copies of the department evaluation plan with the Vice Chancellor and the Dean of the appropriate school. -- (FS 9/80)~~

X.B. Review by Department Chair. In addition to student evaluations, the review by the Department Chair may be based on, but it is not limited to, conducted by means of classroom observations, student evaluations, information presented by the faculty member, and information gathered by the Department Personnel Committee or its subcommittees. ~~The Chair shall inform the department in writing of the criteria to be used in the review process.~~ Following the completion of the performance review, the Department Chair shall provide the faculty member with a written report on his or her performance. The faculty member shall have the opportunity to respond to this report in writing. This report, the information on which it is based, and the response, shall become a part of the departmental personnel file of the faculty member.

~~B. Department Personnel Committee. The Department Personnel Committee of each department or functional equivalent shall develop and approve a written faculty evaluation plan which includes criteria and procedures for the committee's periodic review of faculty performance. The Committee shall periodically meet with all instructional staff of the department for the purpose of discussing the criteria and procedures of the evaluation plan. The review of faculty performance shall include, but is not limited to, consideration of teaching effectiveness, academic advising, scholarly and professional activity, service to the department and the University, and public service. The departmental faculty evaluation plan shall provide for peer judgments of faculty performance and shall include consideration of student evaluations. For nonteaching faculty, the plan shall follow the principles reflected in these guidelines with appropriate modifications based on the responsibilities and duties of the individual.~~

Charge to the Department Personnel Committee

The Department Personnel Committee shall:

1. establish criteria and procedures for periodic review of faculty performance as prescribed by University and UW System policies;
2. establish criteria and procedures for evaluating performance and making recommendations concerning the reappointment of probationary faculty, the rehiring of teaching academic staff, and the granting of tenure to faculty;\*
3. establish criteria and procedures within the limits granted to the department for making salary recommendations;
4. assist the Department Chair in developing and approving the departmental long-range plan;
5. assist the Department Chair in the recruitment of faculty and teaching academic staff;
6. make recommendations to the Department Chair concerning appointment and reappointment of faculty, hiring and rehiring of teaching academic staff, the granting of tenure to faculty, and the granting of faculty status to teaching academic staff;
- ~~7. coordinate the work of the promotion subcommittees;~~
8. implement personnel policies and procedures either delegated to or permitted at the department level;
9. provide to faculty and teaching academic staff a copy of the current criteria and procedures used by the Department Personnel Committee, the promotion subcommittees, and any other subcommittees, and
10. annually ~~periodically~~ provide an opportunity for faculty and academic staff to discuss the criteria and procedures used by the Department Personnel Committee and its subcommittees.

\*Note that this evaluation and recommendation must be distinct from the periodic review of faculty performance.

Approval of Revisions to  
UWPF 3.05(1), 3.05(3), 3.08(1), 6.07(3) and 6.12  
Faculty Personnel Policies and Procedures  
University of Wisconsin-Parkside

EDUCATION COMMITTEE

Resolution:

That, upon recommendation of the Chancellor of the University of Wisconsin-Parkside and the President of the University of Wisconsin System, the revisions to chapters UWPF 3.05(1), 3.05(3), 3.08(1), 6.07(3) and 6.12 of the Faculty Personnel Policies and Procedures, University of Wisconsin-Parkside, be approved.

May 8, 1992

I.1.h.(2)

## **FACULTY PERSONNEL POLICIES AND PROCEDURES, UW-PARKSIDE**

### **EXECUTIVE SUMMARY**

#### **BACKGROUND**

Section UWS 2.02, Wisconsin Administrative Code ("Faculty Rules: Coverage and Delegation") requires that rules, policies, and procedures developed by each institution in the system pursuant to chapters UWS 3-6 and 8 must be approved by the Board of Regents before they take effect.

As the UW-Parkside Faculty Senate and University Committee reviews the UW-Parkside Faculty Policies and Procedures, proposed revisions are submitted periodically to the Board for approval. Revisions to the portions of sections UWPF 3.05(1), 3.05(3), 3.08(1), 6.07(3) and 6.12 that govern promotion to full professor have been adopted by the UW-Parkside Faculty Senate; Chancellor Kaplan recommends approval by the Board at this time.

UW System legal counsel reviewed the proposed revisions and determined that all the changes meet requirements of the Wisconsin Administrative Code.

#### **REQUESTED ACTION**

Approval of resolution I.1.h.(2)

#### **DISCUSSION AND RECOMMENDATIONS**

The proposed wording in UWPF 3.05(1) requires written criteria for decisions relating to promotion to assistant professor and professor;

UWPF 3.05(3) requires the Departmental Executive Committee to delegate to the tenured full professors of the department the authority to make recommendations for promotions to the rank of professor;

UWPF 3.08(1) specifies the procedures to be used when considering a candidate for promotion to full professor if the subcommittee of full professors numbers less than three;

UWPF 6.07(3)(b) is a new paragraph, specifying that meetings to review or make recommendations regarding personnel matters shall conform to provisions of the state Open Meetings Law and that candidates for tenure and for promotion to full professor shall have the opportunity to request such meetings be held in open session;

UWPF 6.12 is a new section, detailing the process for reconsideration of negative recommendations for promotion to full professor.

UW System Office of Academic Affairs recommends approval of these revisions. Copies of UWPF 3.05(1), 3.05(3), 3.08(1), 6.07(3)(b) and 6.12, with the edited portions noted, are attached; complete copies of those chapters are available on request.

#### **RELATED REGENT/SYSTEM POLICIES**

Section UWS 2.02, Wisconsin Administrative Code.

Add  
Delete

**Revision of UWPF 3.05 - Departmental Executive  
Committee: Functions**

- (1) Written criteria for decisions relating to renewal of appointments, recommendation of promotion to assistant professor, or recommendation of promotion to tenure, or promotion to full professor shall be ~~made~~ established in accordance with University rules and procedures requiring an evaluation of teaching, research, and professional and public service and contribution to the University.
- (3) The Departmental Executive Committee shall ~~may~~ delegate to the tenured full professors of the department the authority to make recommendations for promotions at the rank of professor.

Add  
Delete

**Revision of UWPF 3.08 - The Department: Exceptions**

- (1) If a departmental executive committee consists of fewer than three tenured faculty, augmented members shall be appointed to bring its membership to at least three. Where observance of these rules is impracticable because of smallness of staff or lack of tenured personnel, the departmental faculty is authorized to request augmentation of small Departmental Executive Committees. The dean may initiate augmentation if the departmental faculty fails to exercise such responsibility.
- (a) Augmented members are appointed annually by the dean of the school, in consultation with the departmental faculty, and with the advice and consent of the University Committee.
- (b) For matters other than consideration of cases of promotion to full professor, augmented members are appointed from tenured faculty members holding the rank of professor or associate professor in other departments of the university school.
- (c) For consideration of a candidate for promotion to full professor, the membership of the subcommittee of full professors must number at least three. If this requirement is not met, the membership of the subcommittee of full professors shall be augmented by the appointment of tenured faculty members holding the rank of professor in other departments of the university to bring its membership to three. Such augmentation is done following the procedure set forth in (a), above, and is solely for purposes of dealing with candidacies for promotion to full professor.
- (2) The need for an augmented Executive Committee shall be reviewed annually by the departmental faculty and the dean.

Add

**Revision of UWPF 6.07(3) - Faculty Personnel: Renewal  
of Appointments and Granting of Tenure: Procedures**

- (b) Meetings for purposes of review or determination of recommendations regarding personnel matters shall conform to the provisions of the state Open Meetings Law. In particular, candidates for promotion to tenure shall be given the opportunity to request that such meetings be held in open session (Wis. Stats. 19.85(b)). In addition, candidates for promotion to full professor shall be given the opportunity to request that such meetings be held in open session.

Add

UWPF 6.12 Reconsideration of Negative Recommendations for  
Promotion to Full Professor

- (1) In cases of a negative recommendation for promotion to full professor, if requested by the faculty member within 20 days of the receipt of the recommendation, the reasons shall be provided in writing to the faculty member by the chair of the departmental executive committee (as constituted for purposes of promotion to full professor), the chair of the Full Professor Subcommittee of the Personnel Review Committee, the dean of the school, the vice chancellor, or the chancellor, depending upon the level at which the recommendation was reached.
- (2) Every faculty member for whom a negative recommendation is made shall have the right of reconsideration upon written request of the faculty member within 15 days of receipt of written reasons.

  - (a) The reconsideration review shall be held within 20 days of the written request for reconsideration. The reconsideration shall be conducted by the committee or officer responsible for the negative recommendation.
  - (b) The purpose of a reconsideration shall be to provide an opportunity for a fair and full consideration of the decision, and to insure that all relevant material is considered. A reconsideration is not a hearing, or an appeal, and shall be nonadversarial in nature. The option for an open hearing of the reconsideration shall be the same as for the initial review of the case.
  - (c) The faculty member concerned shall be afforded an opportunity to respond to the written statement of reasons, and to present any relevant written or oral evidence or arguments.
  - (d) The faculty member shall be notified in writing of the decision of the reviewing committee or officer within 10 days, with a copy to all levels of review within UW-Parkside.
- (3) If a reconsideration affirms a negative recommendation, if requested by the faculty

member within 20 days of the receipt of the notification, the reasons shall be provided in writing to the faculty member by the chair of the committee or the officer responsible for the reconsideration.

(4) If the faculty member believes there has been a clear case of:

(a) a violation of constitutionally protected rights;

(b) a violation of academic freedom;

(c) a violation of fair employment practices; or

(d) a failure to follow proper procedures;

the faculty member may file a grievance with the Faculty Rights and Responsibilities Committee. The procedures governing faculty grievances, set forth in UWPF 7.15-7.18, shall apply.

(5) If the faculty member's grievance is upheld, the chancellor shall normally remand the case to the body or official making the negative recommendation with specific instructions for reconsidering the case, unless no good purpose would be served by such remand. The chancellor's disposition of the grievance shall follow the procedures set forth in UWPF 7.81.

Approval of  
Revisions to UW-Sup 7.01(1)(b),(d)  
Faculty Personnel Rules  
University of Wisconsin-Superior

EDUCATION COMMITTEE

Resolution:

That, upon recommendation of the Acting Chancellor of the University of Wisconsin-Superior and the President of the University of Wisconsin System, the revisions to chapter UW-Sup 7.01(1)(b),(d), Faculty Personnel Rules, University of Wisconsin-Superior, be approved.

## **FACULTY PERSONNEL RULES, UW-SUPERIOR**

### **EXECUTIVE SUMMARY**

#### **BACKGROUND**

Section UWS 2.02, Wisconsin Administrative Code ("Faculty Rules: Coverage and Delegation") requires that rules, policies, and procedures developed by each institution in the system pursuant to chapters UWS 3-6 and 8 must be approved by the Board of Regents before they take effect.

The UW-Superior Faculty Personnel Rules, approved by the Board of Regents in 1983, is currently under review by the university governance structure and proposed changes will be submitted to the Board as a single amendment in the near future; pending that submission, Acting Chancellor Youngblood has forwarded the suggested revisions to UW-Sup 7.01, Outside Activities, and recommends approval of that chapter at this time.

The proposed revisions have been reviewed by UW System legal counsel who has determined that all the changes meet the requirements of the Wisconsin Administrative Code.

#### **REQUESTED ACTION**

Approval of resolution I.1.h.(3)

#### **DISCUSSION AND RECOMMENDATIONS**

The proposed change to the chapter Reporting of Substantial Outside Activities, UW-Sup 7.01(1)(b), deletes previous wording and substitutes the following paragraph: "UW-Superior complies with the Board of Regents resolution (May 1991) 'UW System Guidelines and Form for Reporting Outside Activities as required by UWS 8.025.' Reports are required from all faculty and academic staff whose appointments are half-time or more for the period under contract to the UW System."

The wording of the last sentence of the paragraph UW-Sup 7.01(1)(d) is replaced with the sentence "Included in the summary reports shall be remunerative relationships, offices and directorships, and ownership interests."

Copies of the complete chapter UW-Sup 7.01, with additional wording shown in italics and deleted wording crossed out, are available on request. UW System Office of Academic Affairs recommends approval of these revisions.

#### **RELATED REGENT/SYSTEM POLICIES**

Section UWS 2.02, Wisconsin Administrative Code;  
Regent Resolution #5785, 5/10/91.

## Chapter UW-Sup 7

## Outside Activities

UW-Sup 7.01 Outside Activities.(1) Reporting of Substantial Outside Activities(a) General

The University of Wisconsin-Superior encourages the involvement of its faculty in outside activities such as professional consulting, contract research, inservice workshops, special education programs, and officiating. The guidelines in this section are established to insure that each faculty member will discharge her/his full University responsibilities.

## (b)

~~Outside activities are defined as gainful non-University professional activities of an extensive, recurring or continuing nature and shall not exceed one full day equivalent per week for full-time faculty members. The outside activity shall be professional in nature and in the areas of her/his specific training and competence.~~

*UW-Superior complies with the Board of Regents resolution (May 1991) on 'UW System Guidelines and Form for Reporting Outside Activities as required by UWS 8.025.' Reports are required from all faculty and academic staff whose appointments are half-time or more for the period under contract to the UW System.<sup>3</sup>*

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

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<sup>3</sup> Appendix Z contains a copy of the reporting form and guidelines on who must report and what must be reported.

advance approval of the Chancellor and must be of an unusual, short-term, and non-recurring nature. For these exceptional cases, the total additional compensation received from University sources during a period of full-time appointment in any fiscal year shall not exceed the limitations established by UW System policy.

- (d) In all cases of outside non-University professional activity requiring more than five working days in an academic year, the Department and Division Chairs and the Vice Chancellor shall be advised of the activity in writing by the faculty member prior to her/his undertaking the activity. The Division Chair has the responsibility for approving or not approving the faculty member's involvement in the proposed outside activity. The advance report shall describe the nature of the proposed outside activity, the estimated time required, and the estimated remuneration. At the end of each term, faculty members shall report any substantial outside activities through their Department and Division Chairs to the Vice Chancellor *as noted in the previous section (1)(b)*. Included in their summary reports shall be

~~an indication of the nature of the activity, the extent of time required and the remuneration received. Outside activities not subject to reporting include: those for which leave without pay was granted; which were performed at times that did not interfere with normal University duties; for which no fee or only token payment was received; and which required fewer than a total of five working days of the academic year~~

*remunerative relationships, offices and directorships, and ownership interests.*

- (2) Notification to Faculty Member Where Activities are Deemed Excessive or Improper. If the Division Chair concludes that participation in outside non-University professional activities by one of her/his faculty members is or would be improper, or excessive, or would hinder the faculty member's ability to discharge her/his University responsibilities, he/she shall provide the faculty member with a written statement of the reasons for her/his decision. If the faculty member persists in such activities after such notice has been given, he/she shall be subject to disciplinary action in accordance with Chapter 6 of the UW-Superior Faculty Personnel Rules.
- (3) Mechanism for Appeal from a Decision of Impropriety. Should a faculty member think that the Division Chair's decision with respect to her/his outside activities is improper, he/she may file a formal complaint in accordance with Chapter 6 of the UW-Superior Faculty Personnel Rules.

Extension of leave of absence  
beyond the initial two years

EDUCATION COMMITTEE

Resolution:

That, upon recommendation of the Chancellor of the University of Wisconsin-Milwaukee and the President of the University of Wisconsin System, the leave of absence for Thomas Nykl, Lecturer (Indefinite), Department of Learning Skills and Educational Opportunity, University of Wisconsin-Milwaukee, be extended through the 1992-93 academic year.

May 8, 1992

Agenda item I.1.i.

## **EXTENSION OF LEAVE OF ABSENCE BEYOND THE INITIAL TWO YEARS**

### **EXECUTIVE SUMMARY**

#### **BACKGROUND**

The Leave of Absence Policy (Regent Resolution #5364, adopted 11/10/89) states that initial leaves of two years or less duration for staff members may be approved by the appropriate chancellor; however, "any extension beyond the second year . . . must receive specific approval of the board and must be for a fixed period of time."

#### **REQUESTED ACTION**

Approval of Resolution I.1.i.

#### **DISCUSSION AND RECOMMENDATIONS**

Thomas Nykl, a Lecturer with an indefinite appointment in the Department of Learning Skills and Educational Opportunity, University of Wisconsin-Milwaukee, was granted a two-year leave of absence in 1990 by the chancellor to assist the United Arab Emirates University (Al Ain, United Arab Emirates) in establishing a mathematics and computer science curriculum with accompanying software. On his return, his project is also expected to enhance UW-Milwaukee's own mathematics curriculum and instructional support materials in the Department of Learning Skills and to be one basis for an ongoing relationship between UW-Milwaukee and the United Arab Emirates University.

Mr. Nykl now requests an extension of his leave for one more year, through academic year 1992-93, in order to complete the entire system and its documentation. The extension will allow him to develop improved curriculum materials and training manuals and debug the completed system, providing for a transition to the Department of Learning Skills. Supporting documentation from the Minister of Higher Education and Chancellor, United Arab Emirates, and from UW-Milwaukee (Vice Chancellor, Assistant Vice Chancellor, and Program Director) were received and reviewed.

The Chancellor of UW-Milwaukee recommends extending Nykl's leave for one year and UW System Administration supports the request, with the understanding that no extension beyond this additional year will be requested.

#### **RELATED REGENT POLICIES**

Leave of Absence Policy (Regent Resolution #5364, adopted 11/10/89).

Authorization to recruit:  
Dean, College of Letters and Science  
University of Wisconsin-Madison

EDUCATION COMMITTEE

Resolution:

That, upon recommendation of the Chancellor of the University of Wisconsin-Madison and the President of the University of Wisconsin System, the Chancellor be authorized to recruit for a Dean, College of Letters and Science, University of Wisconsin-Madison.

# Request for Authorization to Recruit

Institution: UNIVERSITY OF WISCONSIN-MADISON

(APO use only) For Board of Regents Consideration on: May 8, 1992

Submit this request to the Academic Personnel Office. If proposed salary is above Group 6 maximum\*, Regents' approval is required and this form must be received by the Academic Personnel Office three weeks before the date of the next Regents' meeting.

Type of Request: [Check appropriate box(es)]

☒ 1. Tenure involved

☐ 2. Proposed salary between \$68,000 and Group 6 maximum\*

☒ 3. Proposed salary above Group 6 maximum\*

1. Official University Title of Position: Dean

2. Division/College/School - Department/Project: College of Letters and Science/Administration

3. Description of Duties: As the chief academic and executive officer of the College, the Dean has responsibility for staffing, budget, curriculum, student affairs, and space management, and provides leadership to: 45 academic and professional departments plus 9 area studies and 5 ethnic studies programs, comprising approximately 935 faculty, 1000 staff, and 1100 teaching assistants, with a total budget of \$117 million; a broad array of interdisciplinary instructional and research centers; counseling and advising programs for undergraduates, including pre-college and college programs for minority students; outreach and extension activities of the College; space management of 1.4 million assignable square feet in nearly 60 buildings. The College is one of the largest educational units in the nation, with 18,000 undergraduates and 4,200 graduate students.

4. Recommended Salary Range: A120,000 - A140,000

5. Source of Funds: 101

6. New Position ☐ Replacement ☒ If replacement, indicate name and salary of former incumbent:

Donald W. Crawford A105,651  
(name) (salary)

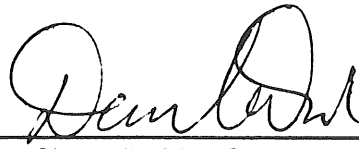
7. Brief justification of Salary Range:

Essential to attract highly qualified faculty member to the broad range of responsibilities entailed and to be competitive in the market (see attached).

8. Approved by:

\_\_\_\_\_  
(Dean/Director)

\_\_\_\_\_  
(date)

 4/22/92  
(Chancellor/Vice Chancellor) (date)

9. Authorization to Recruit (Approved) (Denied) by the Regents/Vice President's Office on \_\_\_\_\_.

\_\_\_\_\_  
(signature)

\_\_\_\_\_  
(title)

\* For 1992-93, the Executive Salary Group 6 Maximum is \$90,118.

DEAN  
College of Letters and Science

Necessary to attract candidates at this level. Peer group salaries are based on 1991-92 data obtained through the AAU Data Exchange. The 1991-92 range is \$113,364 - \$141,000 with a mean of \$132,595. Using an inflation rate of 4% for 1992-93, the base salary figures would be \$117,900 to \$146,600 with a mean of \$137,900.

L&S.mle