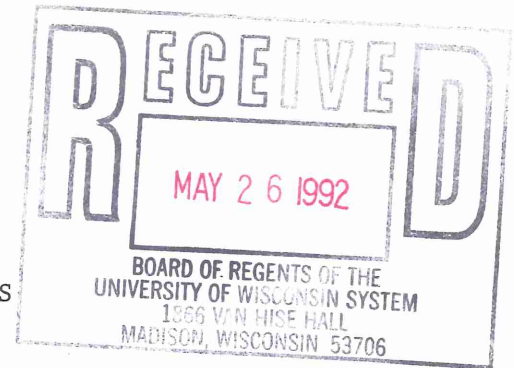


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MINUTES

EDUCATION COMMITTEE, BOARD OF REGENTS
University of Wisconsin System
Room W150 - Fireside Lounge
UW-Milwaukee Union
Milwaukee, Wisconsin



May 7, 1992

The meeting of the Education Committee was called to order at 1:22 p.m. by Erroll B. Davis, Jr., Vice Chair, for a session to which all regents were invited. Education Committee members present were Regents Clusen, Davis, Krutsch and Nicholas. Other Regents present were Regents Barry and Steil. Regents Flores, Schilling, Lyon, Gelatt, Hirsch and Lubar joined the meeting in progress.

1. Report on Tenured Review and Development

President Katharine C. Lyall listed the general principles followed in developing the document: that tenured faculty, as senior practitioners in their profession, have a responsibility to assure regular, timely, fair and constructive review of faculty so that the ranks of the profession continue to be filled by fully competent individuals; that fair and constructive review should take a holistic view of the individual and his/her career, so as to maintain the productivity of faculty whose interests and skills evolve as they move through their careers; that administrative costs should be minimized, building on and integrating any changes with existing procedures, as feasible; that the performance reviews should be more substantive and perhaps less frequent than current procedures permit. The President stated that faculty review should be a constructive process that benefits both the individual and the institution; therefore, she will propose: (1) to submit a modest budget DIN for the next biennium aimed at increasing development opportunities for mid and late career faculty, (2) that institutions be permitted to add faculty and academic staff professional development as an eligible QRP category as they do their planning for 1993-95, and (3) that System Administration review, streamline, and simplify its professional development programs and significantly improve its communication of those opportunities.

Regent Steil stated that "tenure is a valuable right and very essential as we all know to the preservation of academic freedom. But its continuation depends on the public perception of it, and the public confidence in the system. And I think that the safeguards that have been built into this will do that, and I think that actually the policy as enacted here will actually strengthen tenure and, I think that's very important for the Board of Regents to support."

In his comments Regent Lyon said that, "in recent weeks and days I've

seen some opponents of this resolution claiming its contents are going to be an assault on academic freedom and the pursuit of truth. . . . I think these charges or claims are somewhat absurd. The 1990 edition of the Association of American University Professors Policy Documents and Reports states that 'tenure is a means to certain ends, specifically freedom of teaching and research, of extramural activity, and to a sufficient degree of economic security to make the profession attractive to men and women of ability.' . . . What I really think this policy is about is accountability. . . . I think it's about accountability to consumers of education who deserve a quality effort. I think it's about accountability to faculty members who seek greater career direction and professional development. I cannot foresee a time when merit considerations, in some form, will not be a part of a compensation program." He concluded with the hope "that the individual campuses will take these guidelines seriously, and that those who are concerned with the productive effort in the UW System will take note of our collective effort to monitor conditions and, when deemed necessary, bring about changes through professional development."

Regent Clusen, supporting the report, said that she has been hearing about such reviews in other parts of the country, at national meetings, for a long time, and also among some of our campuses and thinks that in most places it will be welcomed. In her opinion "faculties certainly should welcome it from the viewpoint of the need for increased compensation. A lot of the reluctance on the part of legislators in regard to compensation has at times been based upon the theory that, one, faculty members don't work very hard and, two, that once they get tenure they never have to do anything again. And I think this is a chance for us to blow that myth." She described the proposal as "very fair" and "quite creative."

Regent Hirsch stated that "what people need to recognize and realize is that this is mainly intended to be a tool for improvement, to find out what you are doing well, how you can continue to improve. Now that's why I'm glad when I saw Part B, that it is directly tied to personal development. I think that's very important. You just can't review someone and leave it at that point. You look at the review. If something comes up, what can we do to address that issue? And I think that is very important."

The following faculty members testified in opposition: Gloria Toivola, Professor, UW-Superior, representing TAUWP (statement attached as Appendix A); David Fellman, Professor Emeritus, UW-Madison; Professor Diane Kravetz, Chair of the University Committee, UW-Madison (statement attached as Appendix B). Professor Fellman said that in his opinion the document implies continuation of tenure five years at a time, and at the very least the document should contain a statement that "nothing in this document shall be construed to alter in any way the existing rules dealing with the termination of tenure." Professor Julie Brinkley, Faculty Representative, UW-Green Bay, reported that the UW-Green Bay Faculty Senate compared its current review policies with the proposed guidelines and found them fully compatible.

Regent Krutsch stated that she also "shares some of the faculty concern in the area of academic freedom with this policy. And I think it is very important that we make it clear that we're interested in protecting faculty

from ideological winds of the day, whatever their direction. And in this light I would like to propose a friendly amendment under D.2. on page 3. The last sentence reads, 'The review and methods should include both peer and student evaluation and give appropriate emphasis to activities in support of undergraduate education.' I would like to add a sentence there."

A friendly AMENDMENT was moved by Regent Krutsch that the following sentence be added to paragraph D.2., page 3: "The review and methods should fully respect academic freedom."

The amendment was ACCEPTED by consensus.

Regent Gelatt said that, to follow the advice of Professor Fellman's testimony, he would move to amend by adding an eighth point to the guidelines. "I think we should try to make it very explicit that this is not an attempt to turn 'tenure' into 'five year'."

It was moved by Regent Gelatt, seconded by Regent Clusen, to AMEND the guidelines by adding a new guideline 8 on page 4: "Nothing in these guidelines is intended to alter the existing rules dealing with tenure termination."

The amendment PASSED unanimously.

Regent Flores expressed his concern that the document was being presented "as a way to increase faculty professional development and I'm afraid we are not going to deliver on that because there is no fiscal note involved here and you don't have faculty professional development without some outlay of funds. I think we may be promising something that we can't deliver or that we have no way of delivering."

Regent Gelatt responded that, to the extent the board chooses to allow this as one of the items that can be reallocated to fund, it is within the power of the board to fund. "It's a question," he said, "whether that is a priority we choose to give to it?" He also commented that, as a member of the compensation commission, there has been a great deal of testimony from other UWS campuses that the present review policy is considered broken. Consistently applied, well understood, well documented, review policies are not universal within the University of Wisconsin System. "It is important," he said, "for the board to say that every faculty member deserves feedback on how he or she is doing, and I think that is the intent of these guidelines."

Regent Clusen asked President Lyall to comment on the financial connotations of extra encouragement for faculty development. President Lyall replied that "there are several ways I think we ought to recognize the fact that we do not do enough to support professional development in the System." One is to permit professional development funding as a QRP category for 1993-95 so that institutions can choose, if they wish, to put some of their required reallocation funds into professional development. She also commented that "we would like to bring to you a DIN in the regular biennial budget process that would recognize the need to make further investments in our professional staff just as industry and business are now recognizing the need

to do that. . . . If you are not willing to have such a DIN come before you I think it would be helpful to know that now." Vice President Portch informed the committee that he had made a strong commitment to the faculty representatives "that we would look at what we are doing now, to see if we can strengthen and simplify what we're doing now and that we would also like to bring forward, as President Lyall said, some new ideas in this area. . . to try and expand that program." No reservations were expressed by any committee members.

E.C. 92-044 It was moved by Regent Lyon, seconded by Regent Hirsch, 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 as amended.

The resolution PASSED with Regent Flores voting "no." The document as amended is attached as Appendix C.

The Education Committee recessed at 2:37 p.m. and reconvened at 2:42 p.m. with Regents Clusen, Davis, Krutsch and Schilling present.

2. Approval of the minutes of the April 9, 1992, meeting of the Education Committee

E.C. 92-045 It was moved by Regent Schilling, seconded by Regent Clusen, that the minutes of the April 9, 1992 meeting of the Education Committee be approved as distributed.

The resolution PASSED unanimously.

3. Report of the Vice President for Academic Affairs

Vice President for Academic Affairs Stephen R. Portch announced that the following UW-Madison faculty members have been awarded Guggenheim Fellowships: Professor Elaine Marks, French and Women's Studies; Associate Professor Robert Mathieu, Astronomy; Professor Phillip Zarrilli, Theater and Drama and South East Asian Studies. In addition, the following UW-Madison faculty have been elected as Fellows of the American Academy of Arts and Sciences: William Brock, Economics; Lawrence Dahl, Chemistry; Carol Gross, Bacteriology; Edwin Lightfoot, Chemical Engineering; and Donna Shalala, Political Science.

The Vice President recalled that one concern expressed by faculty about the current sabbatical policy is that faculty on sabbatical at less than full salary received less than a full year's credit toward retirement. He informed the Committee that the Governor last month signed legislation that enables the University to contribute full retirement contributions for faculty on one-year sabbaticals, crediting the faculty for a year of full retirement benefits even though they are on leave at reduced salary.

(1) Last month, the Board approved a request to the Trustees of the William F. Vilas Estate for funds for fiscal year 1992-93 to support the various scholarships, fellowships, professorships and special programs. The response

from the Trustees, a proffer of \$1,169,520, has now been received. Following the provisions of the will the Trustees adjusted the total request to the amount available from the estate by reducing the amount requested for programs in music; thus the UW-Madison music request was reduced \$9,993 to "balance the books."

(2) One of the initiatives in The Undergraduate Imperative called for the development of a Bill of Student Rights and Responsibilities. Last fall a systemwide working group of students, faculty and staff, with a majority of students, was convened to draft such a document. The group was chaired by Professor Joel Grossman of UW-Madison. On February 13, 1992 the Vice President received a draft of working group's document and sent it to the institutions for review. With the exception of some favorable comments from student organizations, the great majority of campus response was quite negative. The working group met again to consider edits to the document in light of the institutional responses. The Vice President also met with the group to discuss his concerns and to outline plans for moving ahead with the project. On April 6, 1992 the working group sent its final recommendations, which have recently been shared with the institutions. Dr. Portch believes the committee made substantial progress in responding to the concerns expressed. However, since the comments from the institutions were so negative on the original draft, he feels it necessary to make the following modifications in the original process for approval and implementation rather than submitting a final document for board approval at this time:

- a. Organize focus groups of students, faculty and staff in the fall at each institution to review and comment on the substance of the document in an effort to encourage debate on the substantive issues raised in the document, involve a more widespread audience in the discussion and to gain more understanding and support for the overall initiative.
- b. Consult with the established systemwide groups (e.g. Chancellors, Vice Chancellors, Chief Student Affairs Officers, Faculty Representatives, Student Representatives, etc.) to identify and discuss areas of concern.
- c. Draft his recommendations considering the input resulting from #a. and #b. above, and submit it to the institutions for final review and comment.
- d. Complete the recommendations considering the institutional comments and submit them along with the document the Board by February 1993.

Vice President Portch has concluded that this process is a necessary step in further strengthening the document and in building the needed widespread support for this important effort.

Regent Clusen commented that she had been chair of the Working Group on Undergraduate Initiatives that recommended such a Bill of Rights be developed, and that she had not envisioned such a long and complicated process.

4. UW-Milwaukee presentation: The UW-Milwaukee Honors Program and the Bradley Foundation Professorships

Acting Vice Chancellor Kenneth Watters noted that the UW-Milwaukee honors program was established in 1958, one of the first honors program at a public university. He introduced Dean William Halloran, College of Letters and Science, who stated that a weakness of most honors programs is that they do not have their own faculties but must rely on faculty on loan to them from other departments. The Bradley Foundation, following a thorough study of honors programs across the country, has provided funds for UW-Milwaukee to employ three Assistant Professors for a three year period, during which they will devote all their teaching time and attention to the honors program. Currently UW-Milwaukee is searching nationally for top graduate students completing their degrees in literature, history and political philosophy. Assistant Professor Bruce Allen, Chair of the Honors Committee, gave details of the program and Jennifer Hablewitz, a graduating senior in the program, testified on the importance of the program for her undergraduate academic experience.

5. Trends in Enrollment: Fall 1991 Update

Regent Krutsch noted that the figures on page 3 show the percentage of students taking fifteen credits or more dropped from 58% to 45% between fall 1981 and fall 1991, that the percentage of students taking twelve to fourteen credits rose from 28% to 40% during that same period. In that context, Regent Davis noted that the report indicates that 55% of current students have decided to take more than four years to graduate with a baccalaureate degree and wondered why students are permitted to take less than fifteen credits. Regent Clusen wondered to what extent economic necessity drives this development.

6. New program authorization: B.A., Archaeological Studies, UW-La Crosse

E.C. 92-046 It was moved by Regent Flores, seconded by Regent Krutsch, 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.

The resolution PASSED unanimously.

7. Regent staff paper: Projected Supply and Demand for Faculty

The paper was developed by Fredi Bove, Executive Assistant to the Board of Regents. Introducing the paper, Ms. Bove stated that a number of national studies predict a severe shortage of college faculty in the late 1990's and early 2000's. She discussed the demand and supply factors for potential faculty that are or may be developing nationally and observed that the pattern of retirements in the UW System appears to be relatively smooth from one five year period to the next, although for the UW System the retirements peak in 2004-2009. To the extent colleges and universities throughout the country do

not expand student enrollments, or expand student enrollments without commensurate increases in faculty positions, demand for new faculty may be reduced. An important source of supply for faculty positions is new doctorate recipients and the pattern of doctorate awards from U.S. universities has reversed in recent years; rather than remaining flat as assumed in the models, doctorate awards have increased both overall and to U.S. residents. For these and other reasons the paper suggests that, although faculty shortages may occur, at this point in time the shortage does not appear to be as great as predicted in the late 1980's.

Vice President Portch commented that the paper contributes to and updates previous work and raises some important questions. The assumptions and factors must constantly be monitored for the Wisconsin situation, looking at year-by-year analyses. Associate Vice President Jennifer Presley will develop future analyses that focus on the situation in the UW System.

8. Amendments to faculty personnel policies and procedures:

(1) Revisions of sections UWEC 3.05 and UWEC 3.06, UW-Eau Claire Faculty Personnel Rules

E.C. 92-047 It was moved by Regent Flores, seconded by Regent Krutsch, 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.

The resolution PASSED unanimously.

(2) Revisions of sections UWPF 3.05, UWPF 3.08, UWPF 6.07(3) and UWPF 6.12, UW-Parkside Faculty Personnel Rules

E.C. 92-048 It was moved by Regent Flores, seconded by Regent Krutsch, 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.

The resolution PASSED unanimously.

(3) Revision to UW-Sup 7.01, UW-Superior Faculty Personnel Rules

E.C. 92-049 It was moved by Regent Flores, seconded by Regent Krutsch, 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.

The resolution PASSED unanimously.

9. Extension of leave of absence beyond the initial two years for a staff member, UW-Milwaukee

E.C. 92-050 It was moved by Regent Krutsch, seconded by Regent Flores, 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.

The resolution PASSED unanimously.

10. Authorizations to recruit:

(1) Dean, College of Letters and Science, UW-Madison

At the request of Regent Davis, who wondered why the recommended salary range was so much higher than the salary of the former incumbent, Vice Chancellor David Ward distributed additional comparative salary data for Letters and Science Deans at UW-Madison peer institutions. Only one such salary is below the range requested in the authorization to recruit and three are above the maximum salary of the range.

E.C. 92-051 It was moved by Regent Krutsch, seconded by Regent Flores, 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.

The resolution PASSED unanimously.

(1) Chancellor, UW-Extension

E.C. 92-052 It was moved by Regent Flores, seconded by Regent Krutsch, that, upon recommendation of the President of the University of Wisconsin System, the Board of Regents approves the Request for Authorization to Recruit for a Chancellor of the University of Wisconsin-Extension.

The resolution PASSED unanimously.

11. There were no additional items presented to the Education Committee

12. Closed session to consider personnel matters, as permitted by s. 19.85(1)(c), Wis. Stats.

It was moved by Regent Krutsch, seconded by Regent Flores, that the committee adjourn to closed session to consider personnel matters, as permitted by s. 19.85(1)(c), Wis. Stats., with possible agenda items to include appointment of Provost and Vice Chancellor, UW-Whitewater.

The resolution PASSED by roll call vote with Regents Clusen, Davis, Flores and Krutsch voting "yes" and no Regents voting "no."

In closed session:

E.C. 92-053 The appointment of a Provost and Vice Chancellor, UW-Whitewater, was moved by Regent Krutsch, seconded by Regent Clusen, and PASSED unanimously and referred to closed session of the full Board for action, May 8, 1992.

The meeting adjourned at 3:40 p.m.



THE ASSOCIATION OF UNIVERSITY OF WISCONSIN PROFESSIONALS

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Statement by
Professor Gloria Toivola, President
The Association of University of Wisconsin Professionals
to
Education Committee
Board of Regents of the University of Wisconsin System
May 7, 1992

On behalf of The Association of University of Wisconsin Professionals I urge you not to approve the proposed Tenured Faculty Review and Development proposal. We share the Board's view that all faculty must be accountable for their performance. As an association we have always believed that those identified as incompetent, and who do not respond to remedial efforts, ought to be dismissed---whether or not they have tenure!

Our opposition to this policy is based on two general concerns. First, no data has been offered to support the need for this policy. Second, its implementation would be counterproductive.

Currently all faculty undergo rigorous annual evaluation by students, faculty peers, deans, vice chancellors and chancellors. Every year each faculty member produces a dossier of her/his activities in the areas of teaching (including student evaluations), scholarly activity and service, which is then critically reviewed. These evaluations are kept on file. Salary and promotion decisions for all faculty, as well as retention and tenure decisions for probationary faculty are based on this data. (Deans, vice chancellors, and chancellors, whose job it is to create an environment supportive of faculty activities, are, in contrast, rarely subject to evaluation by the faculty.)

When deficiencies in performance are identified, they must be remedied. Resources must be available to enable this to happen. However, the Board has not shown a willingness to request sufficient funds for existing programs which could enable a faculty member to improve (e.g. UTIC programs, faculty development grants, and sabbaticals). In serious cases, where the faculty member is unable or unwilling to improve her/his performance, existing provisions of the Administrative Code allow for disciplinary action or dismissal for cause.

The fact that few tenured faculty are disciplined or dismissed should not be surprising. Candidates for faculty positions are

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expected to meet high standards and are subject to careful scrutiny. After being hired, faculty are reviewed for the next six years, after which a decision is made as to whether or not to grant tenure. Annual evaluations of performance are continued after that point for determinations of salary and applications for promotion.

Currently the costs to the University, in terms of lost productivity, of the annual evaluation of all faculty is over \$1 million. Additional evaluation would certainly be counterproductive. By further reducing the amount of time that faculty have to spend on their teaching, scholarly activity and service, additional evaluation could reduce the quality of the institution.

The purpose of tenure is to insure the academic freedom of the faculty. It is an assurance to the faculty member, and to society, that he/she can freely search for the truth and freely express ideas without fear of reprisal.

Tenure is defined in the Wisconsin Statutes 36.13 (b) as ". . . an appointment for an unlimited period granted to a ranked faculty member . . ." (emphasis added) Yet the term, "tenured faculty review", implies a reconsideration of the tenure decision. Under current statute there can be no reconsideration of the tenure decision except in the case of dismissal for cause. Tenured faculty are subject to layoff, but not loss of tenure, only in the case of fiscal exigency. They are subject to dismissal only for just cause. If Wisconsin comes to be known as a university where academic freedom is not protected through the tenure system, recruitment of new faculty will be difficult.

If tenure decisions are to be reviewed, faculty in the University of Wisconsin System will fear to discuss unpleasant or controversial ideas in or outside their classrooms. Their creativity will be diminished. At that point we will no longer be worthy of the name "university".

Statement to the Education Committee of the Board of Regents
of The University of Wisconsin System

Diane Kravetz, Chair
University Committee, UW-Madison

May 7, 1992

My name is Diane Kravetz. I have been on the faculty of the UW-Madison for 22 years. I have served as the chair of the Women's Studies Program and as the Director of the School of Social Work. I am currently the chair of the University Committee, which is the Executive Committee of the Faculty Senate.

I am testifying today to provide the Education Committee with the views of the Madison faculty on the proposed policy for post-tenure review. I have attached to my testimony a copy of the motion that was passed by our Faculty Senate in April. This motion reads:

UW-MADISON FACULTY SENATE
MOTION ON TENURED FACULTY REVIEW AND DEVELOPMENT

The UW-Madison Faculty Senate shares the Board of Regents' concern that tenured faculty be accountable for continuing excellence in teaching, research, service, and outreach. However, we believe that current review policies provide adequate quality assurance and accountability, although we acknowledge that the implementation of the policies can always be improved. In contrast, the proposed new mechanisms for post-tenure review would be costly, time consuming, and inefficient, and would yield little of added benefit. Instead of promoting excellence, the proposed mechanisms would detract from the university's teaching, research, service, and outreach functions and its ability to attract and retain distinguished faculty.

The Senate agrees that new programs and resources for faculty development -- as opposed to new mechanisms for post-tenure faculty review -- may be appropriate, but the proposed policy does not adequately address this issue. Such programs, in response to the faculty's "primary responsibility for ... faculty personnel matters" [UWS 36.09 (4)], should be developed on each campus with extensive faculty involvement. Enhanced faculty development programs would almost certainly require additional funding for faculty development grants and an improved sabbatical system.

Our faculty are committed to the notion that tenured faculty should be held accountable for continuing excellence in teaching, research, and public service. UW-Madison policies require "the periodic review of the performance of every faculty member" (Faculty Policies and Procedures 5.21 D 1) and provide for the discipline and dismissal of faculty for cause (Chapter 9 of Faculty Policies and Procedures). Tenured faculty at the UW-Madison are continually reviewed by their colleagues and by outside evaluators as well. Improving the implementation of our faculty review policies and procedures is an ongoing task.

The faculty of the UW-Madison do not object to the evaluation and review of tenure faculty nor to being accountable. However, we do not believe that proposed policy for Tenured Faculty Review and Development is necessary. More importantly, we believe that implementation of this policy will interfere with the very excellence the policy is trying to promote.

The question posed in the Report on Tenured Faculty Review and Development is: "Why is a new policy needed?" The answer provided in this document is that the Regents and the public must be assured that the university takes seriously its responsibility to maximize the talents of its faculty. Frankly, I assumed that the Regents understood that the faculty take this responsibility very seriously.

It may be that the public perceives a need for such assurance. It is obvious that there is a lack of public understanding of and support for the research and teaching mission of the UW-Madison. We need to be more effective in communicating to the public the faculty's commitment to excellence in teaching; the contributions of a major research university to the state, to the country, and to countries throughout the world; and the ways in which our research efforts and our work with graduate students enable us to bring state-of-the-art knowledge to undergraduates. However, the public's misconceptions and lack of information about the work of faculty should not be the basis for policy development at this university.

Approval of this policy will send a message to faculty that the Board of Regents is not firmly committed to the tenure system. Faculty at great institutions have been outspoken on the importance of maintaining the tenure system. Job security is not the goal here. Tenure allows faculty to explore unpopular ideas, to teach controversial material, and to take risks. The UW-Madison faculty have built and maintained a world-class university. We deserve strong advocacy by our Board of Regents and protection of the rights that have provided the foundation for our being a great university.

The document states that "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." These goals are strongly supported by the faculty. However, this policy does not promote these goals. To enhance the professional development of the faculty, we need adequate funding for compensation and instruction-related supplies and expenses, an improved sabbatical system, and additional funding for faculty development grants.

Faculty already feel underpaid, unappreciated and over-evaluated. This new evaluation system is likely to further demoralize an already vulnerable faculty. The paradox here is that this policy will require that the faculty devote increased time, energy, and resources to an additional system of evaluation, thereby reducing the time, energy, and resources they can devote to teaching, research, public service, and professional development. The "costs" of the policy in faculty time, energy, and morale are likely to be much higher than any "benefits" you may define. Such a policy will make it much more difficult for us to attract and retain outstanding faculty.

The Report on Tenured Faculty Review and Development addresses issues and procedures that are at the heart of faculty responsibilities. UWS 36.09 (4) states: "the faculty shall have the primary responsibility for academic and educational activities and faculty personnel matters." Policies related to the review of faculty performance are of critical importance to the faculty and should be developed with extensive faculty involvement. Unfortunately, the proposed policy was not developed in conjunction with the faculty and does not have the support of the faculty.

This is an outstanding University system, one that has within it one of the world's great research universities. Obviously, the faculty understand how to promote excellence in teaching and research. The faculty share your goal of finding additional ways to maintain the high quality of this system and to provide adequate assurances and accountability to the public. I urge you to pursue this goal with the faculty and to build upon the faculty's expertise and experience. Having UW-System Administration work with the faculty in the evaluation and improved implementation of current policies is likely to be much more successful than the proposed policy which, if imposed upon the faculty, will detract from the very goals you are trying to achieve.

TENURED FACULTY REVIEW AND DEVELOPMENT

Guidelines amended and adopted by the Board of Regents

May 8, 1992

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. The review and methods 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.
8. Nothing in these guidelines is intended to alter the existing rules dealing with tenure 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

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.

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