

4/3/2017

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM

I.1. Education Committee

Thursday, April 6, 2017  
9:00 a.m. – 10:30 a.m.  
UW-Platteville  
Ullsvik Hall, Velzy Commons  
Platteville, Wisconsin

- a. Approval of the Minutes of the March 9, 2017 meeting of the Education Committee;
- b. UW-Milwaukee, UW-Oshkosh, UW-Platteville, UW-River Falls, UW-Stevens Point and with support from UW-Extension: Collaborative Online Bachelor of Science in Applied Computing degree-completion program;  
[Resolution I.1.b]
- c. UW-Milwaukee: Approval of the Master of Science in Atmospheric Science;  
[Resolution I.1.c]
- d. UW-Milwaukee: Approval of the Doctor of Philosophy in Atmospheric Science;  
[Resolution I.1.d]
- e. UW-Milwaukee: Approval of the Doctor of Philosophy in Epidemiology;  
[Resolution I.1.e]
- f. Post-Tenure Review Policy for UW Colleges;  
[Resolution I.1.f]
- g. Post-Tenure Review Policy for UW-Madison;  
[Resolution I.1.g]
- h. Post-Tenure Review Policy for UW-Stevens Point;  
[Resolution I.1.h]
- i. Post-Tenure Review Policy for UW-Whitewater;  
[Resolution I.1.i]
- j. Report of the Vice President; and
  - 1. Update on remedial math
  - 2. Staffing changes in Academic and Student Affairs
- k. Presentation by Provost Liz Throop: “Pioneers in the Field: UW-Platteville as a Leader in Experiential Learning.”

Program Authorization (Implementation)  
Collaborative Online Bachelor of Science in Applied Computing  
UW-Milwaukee, UW-Oshkosh, UW-Platteville,  
UW-River Falls, UW-Stevens Point,  
with support from UW-Extension

EDUCATION COMMITTEE

Resolution I.1.b:

That, upon the recommendation of the Chancellors of UW-Extension, UW-Milwaukee, UW-Oshkosh, UW-Platteville, UW-River Falls, UW-Stevens Point and the President of the University of Wisconsin System, the Chancellors are authorized to implement the Collaborative Online Bachelor of Science in Applied Computing degree-completion program.

**NEW PROGRAM AUTHORIZATION  
COLLABORATIVE ONLINE BACHELOR OF SCIENCE IN  
APPLIED COMPUTING**

**UNIVERSITY OF WISCONSIN-MILWAUKEE  
UNIVERSITY OF WISCONSIN-OSHKOSH  
UNIVERSITY OF WISCONSIN-PLATTEVILLE  
UNIVERSITY OF WISCONSIN-RIVER FALLS  
UNIVERSITY OF WISCONSIN-STEVENSON  
WITH UNIVERSITY OF WISCONSIN-EXTENSION**

**EXECUTIVE SUMMARY**

**BACKGROUND**

This request to establish a Bachelor of Science in Applied Computing is proposed by UW-Milwaukee, UW-Oshkosh, UW-Platteville, UW-River Falls, and UW-Stevens Point with administrative and financial support from UW-Extension. On behalf of this collaborative, UW-River Falls submitted a letter of institutional commitment and program authorization document.

This proposal is presented in accord with the procedures outlined in Academic Planning and Program Review (ACIS 1.0, revised May 2016, available at <https://www.wisconsin.edu/program-planning/>).

**REQUESTED ACTION**

Adoption of Resolution I.1.b, approving the implementation of the collaborative online Bachelor of Science in Applied Computing degree-completion program proposed by UW-Milwaukee, UW-Oshkosh, UW-Platteville, UW-River Falls, and UW-Stevens Point with administrative and financial support from UW-Extension.

**DISCUSSION**

**Mission and Shared Resources.** The Bachelor of Science in Applied Computing will contribute directly to the institutional mission of the University of Wisconsin System, which is to: develop human resources, discover and disseminate knowledge, extend knowledge and its application beyond the boundaries of its campuses, and serve and stimulate society by developing in students heightened intellectual, cultural, and humane sensitivities, scientific, professional and technological expertise, and a sense of purpose.<sup>1</sup> This degree also supports the institutional missions of the five partner campuses, because it contributes to the core of liberal education by developing students skills, such as: communication, critical thinking, problem solving, analysis, leadership, teamwork, and collaboration. Further, this multidisciplinary degree

---

<sup>1</sup> University of Wisconsin System (2017). *Mission Statements of UW System Institutions*. Retrieved from: <https://www.wisconsin.edu/about-the-uw-system/>

will integrate learning across disciplines, develop students' ability to think critically in terms of systems and interrelationships within complex organizations, and empower graduates to immediately contribute to the Wisconsin workforce.

Because the UW System encourages and supports system-wide cooperative and collaborative efforts among institutions as one way to develop need-based programs of mutual interest, benefit, and value to all partners, this collaborative degree program will benefit from the shared resources of all partner institutions. Hence, this degree will provide each participating academic institution with the ability to offer a high-quality, sustainable program without expending significant local resources, compromising existing programs, or presenting unnecessary duplication.

**Market and Student Demand.** The online Bachelor of Science in Applied Computing presents a degree-completion opportunity in a recognized high-need area as supported by market research that included extensive input from employers throughout the State of Wisconsin.

Computer and information technology represents one of the fastest growing fields in the United States. According to the U.S. Bureau of Labor Statistics, jobs are projected to grow 12 percent – adding about 488,500 new jobs – from 3.9 million jobs to approximately 4.4 million jobs from 2014 to 2024.<sup>2</sup> Moreover, the median annual wage for computer and information technology occupations nationally was \$81,430 in May 2015, which was higher than the median annual wage for all occupations of \$36,200.<sup>3</sup>

This program is designed to satisfy a recognized workforce gap within Wisconsin as defined through extensive research, including individual interviews and focus groups comprised of computer and information technology professionals from diverse industry sectors. Data demonstrated a significant need for graduates with knowledge and skills in: current programming languages and technology, security, mobile technology, data integration, distributed systems, communication, critical analysis, problem solving, project management, teamwork, and systems-thinking.

Notably, all of the industry contacts noted that they would refer employees, as appropriate, to the program, and most identified having some level of tuition reimbursement support available through their organizations. Moreover, it is anticipated that this online degree-completion program will predominantly attract adult and nontraditional students who possess a minimum of a completed associate's degree and who have a desire to continue their education toward a bachelor's degree. Therefore, it is likely that prospective students will present with diverse backgrounds and experiences.

**Program Description.** Students will apply for admission to one of the five partner institutions which, upon admittance, will become the administrative home for students through graduation. Through their home institutions, students will have online library access and will

---

<sup>2</sup> U.S. Department of Labor, Bureau of Labor Statistics, *Occupational Outlook Handbook*, Retrieved from <http://www.bls.gov/ooh/computer-and-information-technology/home.htm>.

<sup>3</sup> U.S. Department of Labor, Bureau of Labor Statistics, *Occupational Outlook Handbook*, Retrieved from <http://www.bls.gov/ooh/computer-and-information-technology/home.htm>.

receive academic advising regarding admission, graduation requirements, and financial aid. Faculty and academic advisers at each institution will offer virtual office hours and online chat capabilities, as well as access by telephone and email.

**Credit Load and Tuition.** This degree completion program consists of 60 transferable credits and 61 degree specific credits. To be admitted to the program, applicants must have: earned a 2.0 GPA, earned 60 transferable credits, and completed College Algebra. Upon admission, students may enroll for the spring, summer, or fall semester in the fully online, fixed curriculum, which consists of 20 three-credit courses and a one-credit capstone preparation course. Courses will be offered jointly by UW-Milwaukee, UW-Oshkosh, UW-Platteville, UW-River Falls, and UW-Stevens Point.

The tuition-pricing approach and structure follows the current UW System pricing guidelines for distance education programs. Program tuition will be identical at all partner institutions, and set at \$495 per credit for the 2017-18 academic year. The tuition amount is all-inclusive and fixed; hence, students will not be charged additional fees except for the costs of their books. The tuition rate will be the same for Wisconsin residents and non-residents, and all partners will share equally in net revenues realized from the program.

**Program Funding and Management.** As part of the Adult Student Initiative, General Purpose Revenues (GPR) will be used as temporary start-up funding with the expectation that the program will become self-supporting from its program revenue within three to five years of enrolling students. GPR will serve two purposes: (1) to pay the costs associated with planning and developing the curriculum in year one, and (2) to pay the instructional and program support costs related to offering the degree program in years two and three. It is anticipated that by the third year of enrolling students the program will generate sufficient program revenue to fund academic expenditures at all partner campuses.

The collaborative partners will meet annually to review and discuss program trends and financial results. The partners will jointly develop and implement programming strategies for the program to be self-supporting within three to five years of enrolling students, and for sustainably growing enrollment in the program.

## **RELATED REGENT AND UW SYSTEM POLICIES**

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

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

**REQUEST FOR AUTHORIZATION TO IMPLEMENT A  
COLLABORATIVE ONLINE  
BACHELOR OF SCIENCE IN APPLIED COMPUTING**

**UW-MILWAUKEE  
UW-OSHKOSH  
UW-PLATTEVILLE  
UW-RIVER FALLS  
UW-STEVENSON POINT  
WITH UW-EXTENSION  
PREPARED BY UW-EXTENSION**

**ABSTRACT**

The University of Wisconsin-Extension, on behalf of the above-defined academic partners, proposes to establish an online Bachelor of Science in Applied Computing (B.S. in Applied Computing). This degree-completion program offers a balance of theoretical and applied computing coursework to prepare students for multiple pathways into the information technology workforce. The program features a multidisciplinary curriculum that draws primarily from computer science, business, information systems, math and statistics, and communication. Graduates will emerge from the program with the technical proficiency, project management skills, communication expertise, and analytical skills needed to develop innovative solutions to technology challenges. Applied computing uses aspects of computer science to solve problems in a variety of disciplines. Graduates will be able to apply a range of programming, software engineering, graphic applications, networking and operating systems management skills to collect, analyze, store and distribute information that will help resolve issues for individuals, groups and companies.

**PROGRAM IDENTIFICATION**

**Institution Names**

University of Wisconsin-Milwaukee  
University of Wisconsin-Oshkosh  
University of Wisconsin-Platteville  
University of Wisconsin-River Falls  
University of Wisconsin-Stevens Point

**Title of Proposed Program**

Applied Computing

**Degree/Major Designations**

Bachelor of Science

**Mode of Delivery**

Collaborative online degree program

### Projected Enrollments by Year Five

Table 1 represents enrollment and graduation projections for students entering the program over the next five years and is based, in part, on enrollment data of comparable University of Wisconsin collaborative online programs. Based on market projections, enrollments are anticipated to be high, with 285 students enrolling in the program and 40 students graduating from the program by the end of year five. It is anticipated that the annual attrition will vary based on online student enrollment patterns, and will stabilize to approximately 20 percent.

**Table 1: Five-Year Projected Student Enrollments**

Students/Year	Year 1	Year 2	Year 3	Year 4	Year 5
New	25	55	65	70	70
Continuing		23	65	100	120
Total	25	78	130	170	190
Graduating	0	0	5	15	20

### Tuition Structure

Program tuition for the B.S. in Applied Computing program will be set at \$495 per credit for 2017-18. The tuition rate will be identical at all five partner institutions, will be charged outside of the credit plateau, and will be the same for Wisconsin residents and non-residents. The fixed tuition rate was calculated based on projected program costs and through comparisons of similar online programs in the UW and the U.S. Students will not be charged any additional fees (such as segregated fees) as part of the program, except for the costs of books. Students living near their home campus may opt to pay segregated fees for the use of recreational and other facilities at that institution. The tuition pricing structure follows the current UW System pricing guidelines for distance education programs (UW System Administrative Policy 130 (formerly ACIS 5.4), Programming for the Non-Traditional Market in the UW System, Appendix C: Principles for Pricing Distance Education Credit Courses, Degree and Certificate Programs).<sup>1</sup>

### Department, College, School, or Functional Equivalent

This will be a highly collaborative, interdisciplinary program. Students will select a home institution. The home institution will provide academic support and will confer the degree. The Departments and Colleges that will offer program courses for each institution are as follows:

- UW-Milwaukee, Department of Computer Science, College of Engineering and Applied Science.
- UW-Oshkosh, Department of Information Systems, College of Business.
- UW-Platteville, Department of Computer Science and Software Engineering, College of Engineering, Mathematics and Science.
- UW-River Falls, Department of Computer Science and Information Systems, College of Business and Economics.

---

<sup>1</sup> University of Wisconsin System (2001). *UW System Administrative Policy 130: Programming for the Non-Traditional Market in the University of Wisconsin System*. Retrieved from <https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/programming-for-the-non-traditional-market-in-the-uw-system/>.

- UW-Stevens Point, Department of Computing and New Media Technologies, College of Letters and Science.

UW-Extension Division of Continuing Education, Outreach and E-Learning will provide administrative and financial support for the program. UW-River Falls will serve as the lead institution representing the collaborative institutions when seeking program accreditation through the Higher Learning Commission (HLC).

### **Proposed Date of Implementation**

September 2017

## **INTRODUCTION**

### **Rationale and Relation to Mission**

The online delivery of the B.S. in Applied Computing degree program will contribute directly to the institutional mission of the University of Wisconsin System that defines a commitment to “discover and disseminate knowledge, to extend knowledge and its application beyond the boundaries of its campuses.”<sup>2</sup> The B.S. in Applied Computing will provide a degree-completion opportunity in a recognized high-need area as supported by market research that included extensive input from employers throughout the state. The program will develop student competencies that enable graduates to immediately contribute to the Wisconsin workforce and use aspects of computer science to solve problems in a variety of disciplines.

The B.S. in Applied Computing also supports the institutional missions of the five partner campuses by contributing to the core of liberal education by developing students’ communication, critical thinking, problem solving, analytical skills, leadership, teamwork, and collaboration skills. Furthermore, this multidisciplinary degree will integrate learning across disciplines and develop students’ ability to think in terms of systems and interrelationships and within complex organizations.

### **Need as Suggested by Current Student Demand**

It is anticipated that the online B.S. in Applied Computing degree-completion program will predominantly attract adult and nontraditional students who possess a minimum of a completed associate’s degree or equivalent credits and have a desire to continue their education toward a bachelor’s degree, primarily to expand knowledge and specialized skills in the field and for career advancement.

A January 2015 Education Advisory Board (EAB) Custom Research Brief commissioned by UW-Extension identified significant student demand for computer science-related degrees in the Midwest region (to include Illinois, Iowa, Michigan, Minnesota, and Wisconsin) and nationally. The study identified enrollment trends for online bachelor’s-level computer science and related programs were stronger. Similar established programs reported continued enrollments of 150 to 300 students and attracted applicants from across the U.S. While programs

---

<sup>2</sup> University of Wisconsin System (2012). *Mission Statements of UW System Institutions*. Retrieved from <https://www.wisconsin.edu/about-the-uw-system/>.



offered for less than three years maintain smaller enrollments, these new programs showed significant enrollment growth from year to year. Finally, findings indicated that institutions typically offered online bachelor's programs in computer science and related fields as two-year completion options, oriented for students with associate's degrees who have fulfilled general education requirements.<sup>3</sup>

### **Need as Suggested by Current Market Demand**

Computer and information technology represents one of the fastest growing fields in the United States. According to the U.S. Bureau of Labor Statistics (BLS), jobs in this area are projected to grow 12 percent from 2014 to 2024. These occupations are expected to add about 488,500 new jobs, from about 3.9 million jobs to about 4.4 million jobs from 2014 to 2024.<sup>4</sup> The increase may be, in part, due to a greater emphasis on cloud computing, the collection and storage of big data, more everyday items becoming connected to the internet applications, and the continued demand for mobile computing. According to the same BLS data, the median annual wage for computer and information technology occupations nationally was \$81,430 in May 2015, which was higher than the median annual wage for all occupations of \$36,200. According to PayScale, an online salary database, computing occupations consistently rate as some of the most popular bachelor degrees based on high earning potential, low unemployment rates and a range of career options for graduates.<sup>5</sup>

Similar to other need-based collaborative online programs developed and administered through UW-Extension, the B.S. in Applied Computing represents a program designed to satisfy a recognized workforce gap within the state and region as defined through extensive research to include individual interviews and focus groups representing computer and information technology professionals from diverse industry sectors. Input received from these interactions suggest that there is a significant need for professionals in this field who possess practical and applied knowledge and skills in current programming languages and technology, security, mobile technology, data integration, distributed systems, communication, critical thinking, analysis and problem solving, project management, teamwork, and systems-thinking.

Industry representatives also indicated that they employ a considerable number of individuals who work in direct or supporting computer and information technology-related positions and who possess two-year technical degrees or undergraduate degrees in non-technical areas. All of the industry contacts noted that they would refer employees, as appropriate, to the program, and most identified having some level of tuition reimbursement support available through their organization. Therefore, it is anticipated that prospective B.S. in Applied Computing students will present with diverse backgrounds and experiences.

Program graduates may be employed in a number of occupations such as database developer, web developer, system and network administrator, computer programmer, computer

---

<sup>3</sup> Education Advisory Board (January 2015). Custom Research Brief. *Market Demand for Online Bachelor's Programs in Computer Science: Analysis of Midwest Region Employer Demand*. Commissioned by the University of Wisconsin-Extension.

<sup>4</sup> U.S. Department of Labor, Bureau of Labor Statistics, *Occupational Outlook Handbook*, Retrieved from <http://www.bls.gov/ooh/computer-and-information-technology/home.htm>.

<sup>5</sup> PayScale Human Capital, *2016-2017 College Salary Report*, Retrieved from <http://www.payscale.com/college-salary-report/majors-that-pay-you-back>.

software engineer, computer information system manager, and game designer. Common duties performed by professionals in these positions include writing code to create software programs; creating information systems solutions for an organization's current computer systems; using specialized software to store, organize and protect data; developing applications; creating websites; and monitoring technical aspects of computer systems, such as performance and capacity.

## **DESCRIPTION OF PROGRAM**

### **General Structure**

The online B.S. in Applied Computing degree-completion program represents a fully online fixed curriculum consisting of 20 three-credit courses and a one-credit capstone preparation course. The curriculum will be offered jointly by UW-Milwaukee, UW-Oshkosh, UW-Platteville, UW-River Falls, and UW-Stevens Point.

The B.S. in Applied Computing offers a balance of coursework primarily in the areas of theoretical and applied computing and information systems to prepare students for multiple pathways into the information technology workforce or support their career advancement if already working in the field. Additional coursework in math, communications, ethics, and project management will serve to further enhance student skills and professional competencies. The capstone course will provide students with the opportunity to participate in a practical, project-based learning experience to demonstrate technical proficiency, analytical thinking and problem solving abilities, project management skills, and communication expertise.

Students completing the B.S. in Applied Computing will graduate from the program as professionals who will:

- Demonstrate a solid foundation in core computer science.
- Demonstrate a solid foundation in software engineering practices.
- Recognize and address security issues.
- Implement a computing solution for a business problem.
- Demonstrate effective oral and written communication skills.
- Demonstrate a solid foundation in data management.

The multidisciplinary curriculum has been designed to prepare computer science professionals to solve real-world problems as part of an interdisciplinary team.

Students will apply for admission to one of the five partner institutions. Upon a student's admittance, that institution will become the student's administrative home for the degree through graduation. The program will have an academic director at each institution, and each campus will host four to five courses in the curriculum. Students will receive academic advising regarding admission and graduation requirements, and financial aid through their home institution. Faculty and academic advisers at each institution will offer virtual office hours and online chat capabilities, as well as access by telephone and email. Students will have online library access through the home institution.

UW-Extension will partner with institutions to provide administrative and financial support to the program. A program manager will be housed at UW-Extension and will work in collaboration with student services staff at the five partner institutions to provide general program information, problem resolution, and career advising online, by phone, or in person (for students near Madison). The program manager will be in close contact with the enrolled students and with the academic program directors to provide the hands-on active support that has been shown to be important for adult and nontraditional learners.

### **Institutional Program Array**

There is consensus among the five academic partners that the B.S. in Applied Computing degree program will serve as a valuable complement to the existing undergraduate program array at each of their institutions and will not compete with any program currently offered at their institutions.

### **Other Programs in the University of Wisconsin System**

A comprehensive search of current undergraduate degrees within the UW System reveals course overlap with a number of the existing computer science, information systems, and related degree programs. However, the majority of these programs are offered in a face-to-face format serving primarily traditional-age students. It is expected that the majority of students attracted to this program would not be able to complete a traditional on-campus degree. There are a small number of online degree programs within the System which demonstrate minimal overlap in courses and/or competencies. These include a B.S. in Information and Communication Technologies offered through UW-Stout and a B.S. in Information Science and Technology offered through UW-Milwaukee in the Flexible Option and online format.

The B.S. in Applied Computing degree differs from existing degrees in its blend of technical skills and practical application. Compared to Information Systems degrees, students in this degree will gain a greater understanding of how to develop professional and secure software. Program curricula will more comprehensively focus on aspects of business, professional communication, and project management. An environmental scan of national online computer science and related programs outside the UW System revealed several similar yet unique offerings from a variety of public, nonprofit and for-profit institutions.

### **Collaborative Nature of the Program**

The B.S. in Applied Computing is a collaborative degree program that benefits from the shared resources of all partner institutions. The UW System encourages and supports system-wide cooperative and collaborative efforts among institutions as one means to develop need-based programs of mutual interest, benefit, and value to all partners. This degree, like other collaborative programs currently offered within the UW System, provides each of the participating academic institutions the ability to offer a high-quality, sustainable program without a requirement to extend significant local resources or a risk of compromising existing programs or presenting unnecessary duplication.

Five partner campuses will collectively contribute to the development of the program curriculum and competencies. All 21 courses have been approved by each of the partner institutions. UW-Extension will provide administrative support, financial investment, marketing,

and student services for the program. Although students choose a home institution where they receive the degree, all of the courses are developed and housed at UW-Extension. This cohesive development and offering of courses will ensure students have a consistent experience even though the faculty reside at the different partner institutions. All courses will be listed in the campus registration systems. All partners will share equally in the net revenues from the program, once realized.

The program will continuously engage external input and advice through a Program Advisory Board comprised of academic directors from each of the five partner campuses and 12 to 15 representatives from industry who will also serve as ambassadors and referral agents to the program. The B.S. in Applied Computing Advisory Board will meet biannually. The board members will be asked to host students working on capstone projects and to help create school-to-work transitions to facilitate graduate transition from the program to gainful employment. The program manager will coordinate meetings and provide administrative support to the board. The academic directors of the program and program manager will engage with board members and ensure that the board is connected to the program in constructive and positive ways. Board meetings will provide opportunities to present program progress and successes and to gather feedback regarding changes in the industry and how those changes may affect program graduates. The meetings will also help to ensure that the program and curriculum stay relevant to trends in the field.

Another significant benefit of the collaborative program model is the extended reach or scope of contacts provided through the involvement of multiple academic partners located within unique markets throughout the state. The academic partners have established significant relationships, reputation, and strength-of-brand within their individual regions. These attributes will promote program growth and sustainability as these relationships will maximize regional interest in and awareness of the program and will best position the program to reach, serve, and support students and regional business needs and interests. It is anticipated that the program will establish several unique partnerships with various companies that represent products and tools commonly used by computer science professionals that may be incorporated into the curriculum/courses. These connections will serve to better prepare and position students for success in the field upon graduation as they put their new knowledge to work.

## **Diversity**

This degree will target primarily nontraditional student populations. Many students of color, first-generation Americans, first-generation college students, and low-income students are – often by necessity – nontraditional students because they have family or work responsibilities that prevent them from attending school in traditional formats. The online delivery format will provide opportunities to those students who are time and place bound. Program curricula will anticipate that these students will come to the learning environment from diverse backgrounds and unique knowledge and experiences and will look for opportunities to share that knowledge with others.

UW-Extension has several initiatives currently underway to attract more students of color into the UW System. In addition to brochures oriented to Hmong and Latino student populations, the program manager for the B.S. in Applied Computing program will conduct

outreach, working with employers to encourage and support the education of their employees, especially focusing on underrepresented minority student populations. In addition, the Advisory Board will provide support to extend its reach to diverse prospective students and communities. Once admitted, students will have access to program staff who will provide student services to promote student comfort and success. The UW-Extension student adviser will work closely with all students to self-identify barriers to their success either to help them overcome those barriers directly or to point them to campus and other resources that will be of assistance to them. UW-Extension will maintain online student environments that will allow individuals from diverse ethnic backgrounds to connect with other students over both cultural similarities and programmatic interests to help build points of commonality and understanding. Social media opportunities for student connection will be made available through Facebook, Twitter, and LinkedIn, to name a few. An essential goal of this program will be to increase both the access for diverse audiences to this degree and the success of those students once they enter the program. To ensure that this goal is met, one of the areas of assessment focuses on diversity.

While the proposed degree does not project a significant number of new faculty and staff, the partner campuses will continue to be committed to recruiting a culturally diverse campus community. The program will work toward achieving equity in the gender distribution of faculty, and faculty of color will be encouraged to participate in this program.

### **Student Learning Outcomes**

The B.S. in Applied Computing curriculum was developed by a workgroup made up of faculty from each of the partner institutions. The development process and product were significantly enhanced with input from representatives from diverse industry sectors. Specific program competencies and outcomes have been developed by the curriculum planning workgroup and summarized as follows.

#### **Competency A: Demonstrate a solid foundation in core computer science**

##### **Student Learning Outcomes:**

1. Apply fundamental programming knowledge and techniques to write software of varying complexities.
2. Utilize standard data structures and algorithms in the software development process.
3. Develop system-level software using operating system theory and concepts.
4. Demonstrate the understanding of computer networks, protocols, and devices.
5. Describe the professional, ethical, and social issues and responsibilities in the computing field.

#### **Competency B: Demonstrate a solid foundation in software engineering practices**

##### **Student Learning Outcomes:**

1. Analyze a problem and identify and define the computing requirements for a solution.
2. Design and create software to solve a defined problem.
3. Use testing methodologies to ensure software meets requirements.
4. Effectively document software and its development process.

**Competency C: Recognize and address security issues****Student Learning Outcomes:**

1. Describe the elements needed to implement a comprehensive security plan for an organization (e.g., asset security, communication/network security, and identity/access management).
2. Utilize best practices in security engineering when developing software and managing data.
3. Describe the privacy, legal, and regulatory compliance environment under which systems operate.

**Competency D: Implement a computing solution for a business problem****Student Learning Outcomes:**

1. Apply agile and traditional project management methodologies to the development of systems.
2. Use systems analysis methodologies to solve a business problem.
3. Describe the role and responsibilities of the functional areas of business.
4. Describe change management practices and its importance to system implementation.
5. Evaluate and make recommendations for adoption of specific computing technologies.
6. Explain the role of IT in supporting organizational process and strategy.

**Competency E: Demonstrate effective oral and written communication skills****Student Learning Outcomes:**

1. Write, format, disseminate, and orally communicate technical materials.
2. Help non-technical professionals visualize, explore, and act on technical information.
3. Facilitate discussions with stakeholders through listening, questioning, and presenting.
4. Effectively function in a variety of team environments to accomplish a common goal (e.g., multidisciplinary, virtual).

**Competency F: Demonstrate a solid foundation in data management****Student Learning Outcomes:**

1. Design and implement relational and non-relational database systems to support computer-based information systems.
2. Demonstrate knowledge of contemporary data management issues.

**Assessment of Student Learning Outcomes**

The assessment of student learning outcomes for the B.S. in Applied Computing degree program will be managed by an assessment team comprised of the five academic program directors from each of the partner institutions, as well as the UW-Extension program manager. This team will serve as the oversight and decision-making body for the program. The team will meet biannually in person; however, teleconferences may be used to meet more frequently if need arises.

The assessment team will identify and define measures, and establish a rubric for evaluating how well students are meeting the program's six competency areas. The team will identify what data will be needed and serve as the collection point for the data. As a part of the course development process, the assessment team will determine which examples of student work will be most appropriate to demonstrate competency in a specific student learning outcome.

Program graduates will be surveyed to determine success in securing employment related to the major and regarding the types of roles and careers that graduates have entered.

The assessment team will receive data collected from campuses by UW-Extension each semester. UW-Extension will also monitor data on new enrollments, retention rates, and graduation rates. The assessment team will also compile these various sources of data and complete an annual report summarizing the data, the assessment of the data, and decisions regarding improvements to the curriculum, structure, and program delivery. The report will be shared with the faculty of the program and other stakeholders. Decisions of the assessment team will be reviewed through the normal curricular processes at each partner institution. The assessment team is responsible for ensuring that recommendations for improvement are implemented.

Student services, instructional, and business office personnel from each institution will also meet annually to review processes and concerns and to make adjustments as necessary. Program evaluation regarding the collaborative nature of the model will help assess processes critical to the success of the collaboration, such as the financial model, student recruitment and advising, admission and enrollment processes and trends, and curriculum design.

Program assessment and evaluation of this collaborative program will occur on a more frequent schedule than some traditional academic programs. The B.S. in Applied Computing program will go through an informal program and fiscal review three years following degree implementation. Based on those discussions, recommendations will be made related to the continuation of the program. In addition, the program will engage in a comprehensive five-year review. Designated Program Planning and Review liaisons at each of the partner campuses will be invited to participate in these review processes.

### **Program Curriculum**

Students may enter the program for the spring, summer, or fall semester. To be admitted to the program, applicants will be required to have earned 2.0 GPA and 60 transferable credits. As well, students must have completed College Algebra as a prerequisite to the program. The B.S. in Applied Computing program represents a fixed curriculum comprising 20 three-credit courses (to include a capstone course) and 1 one-credit capstone preparation course (61 credit total). Table 2 summarizes a complete course listing.

**Table 2: B.S. in Applied Computing Course Listing**

<b>Course Number</b>	<b>Course Title</b>	<b>Host Campus</b>
APC 300	Programming I	UW-River Falls
APC 310	Math for Computer Science	UW-Stevens Point
APC 320	Introduction to Business	UW-Platteville
APC 330	Technical and Professional Communication	UW-Platteville

APC 340	Legal and Ethical Responsibilities of the IT Professional	UW-Oshkosh
APC 350	Programming II	UW-River Falls
APC 360	Database Management I	UW-Stevens Point
APC 370	Systems Analysis and Design	UW-Platteville
APC 380	Project Management Techniques	UW-Oshkosh
APC 390	Object Oriented Programming	UW-River Falls
APC 400	Applied Communication Networks	UW-Platteville
APC 410	Database Management II	UW-Stevens Point
APC 420	Computer Security I	UW-Milwaukee
APC 430	Applied Data Structures and Algorithms	UW-Milwaukee
APC 440	Web Development	UW-Oshkosh
APC 450	Operating Systems Theory and Practice	UW-Milwaukee
APC 460	Software Engineering Practices	UW-River Falls
APC 470	IS Strategy and Management	UW-Oshkosh
APC 480	Computer Security II	UW-Milwaukee
APC 490	Capstone Project Preparation	UW-Stevens Point
APC 495	Capstone Project	UW-Stevens Point

### **Projected Time to Degree**

Based on experience with similar collaborative offerings within the UW System and the typical adult student profile, it is assumed that most students will enroll part-time and take an average of five to six courses per year. At this rate, the majority of students will complete the program within 3 to 4 years. Students will be encouraged to take courses in sequence and as influenced by internal course prerequisites. The capstone, which represents the culminating experience for students, must be taken in the final semester of study.

### **Program Review Process**

The collaborative partners, including all five academic institutions and UW-Extension, will review the program annually. Academic directors, faculty, and administrators from all partners will have input into programmatic changes and upcoming needs. UW-Extension, as the fiscal agent for this program, will manage resources to ensure that funds are available to invest in the program as needed. The decision about how to invest in the program will be made collaboratively by all partners. As defined in the partner agreement, the program will engage in



an internal three-year review focusing on program, administrative and fiscal matters. In addition, the program will conduct a comprehensive five-year review.

### **Institutional Review**

Each of the partner institutions will provide a comprehensive review of academic programs as noted below.

The audit and review of undergraduate programs at UW-Milwaukee will be conducted by the institution's Academic Program and Curriculum Committee (APCC) five years following implementation and every ten years thereafter. Program chairs will be notified by the APCC of the imminent review no later than January preceding the academic year of the review. Program chairs shall oversee the information-gathering and program assessment in order to meet the October 1 deadline for the Self-Evaluation report.

At UW-Oshkosh, the academic program review will occur every seven years except for the first review, which will occur five years post-implementation. Program faculty and deans will seek evaluation by external consultants as a supplement to the internal self-study. The following high-level items are included in the program review: description of the program, staffing, resources needed such as library collections or computing services, evaluation of the program and recommendations for the program going forward.

At UW-Platteville, academic program reviews occur every six years. The review is conducted over a two-year period. The Academic Planning Council is responsible for conducting program assessments. The process includes reports from the Assessment Oversight Committee, the Academic Standards Committee and the University Academic Budget Committee.

All UW-River Falls academic programs must complete an approved program audit and review process every six years. New programs must complete a special review in the fifth year subsequent to their entitlement. Following this, subsequent reviews take place every six years. The Provost and Vice Chancellor for Academic Affairs, the Faculty Senate Assessment Committee, and the Associate Vice Chancellor for Academic Affairs are jointly responsible for assessment initiatives. These units work together to support assessment efforts and to ensure that assessment is being used for program improvement.

At UW-Stevens Point, the Department Review Subcommittee, within the Faculty Senate's Academic Affairs Committee, reviews academic programs according to the Reporting Cycle for Assessment and Program Review. This occurs at five-year intervals.

### **Accreditation**

Partners will be securing authorization to offer this collaborative, online degree from the Higher Learning Commission, the regional accrediting body for all partner institutions.

		University of Wisconsin System					
		Cost and Revenue Projections for B.S. in Applied Computing					
			FY 2018	FY 2019	FY 2020	FY 2021	FY 2022
	Ref		Year 1	Year 2	Year 3	Year 4	Year 5
I		<b>Program Assumptions:</b>					
	A	New Students	25	55	65	70	70
	B	Continuing Students	0	23	65	100	120
		<b>Total Students in the Program</b>	<b>25</b>	<b>78</b>	<b>130</b>	<b>170</b>	<b>190</b>
	C	Courses Offered / Taught	12	21	25	31	34
	D	Course Enrollments	83	352	580	729	816
	E	Student Credit Hours	249	1,056	1,740	2,187	2,448
II	F	Faculty / Instructional FTEs	2.750	4.000	3.625	4.375	4.750
	G	Administrative FTEs	5.125	5.125	4.375	4.375	4.375
			<b>7.875</b>	<b>9.125</b>	<b>8.000</b>	<b>8.750</b>	<b>9.125</b>
IV		<b>Revenues:</b>					
	H	From Tuition	123,255	522,720	861,300	1,082,565	1,211,760
		Other					
		<b>Total Revenue</b>	<b>123,255</b>	<b>522,720</b>	<b>861,300</b>	<b>1,082,565</b>	<b>1,211,760</b>
V		<b>Expenditures:</b>					
	I	Faculty / Instructional Salaries & Fringe	179,900	273,063	258,928	316,753	345,665
	J	Faculty / Instructional Supplies & Expenses	36,000	104,100	168,260	219,020	245,240
			215,900	377,163	427,188	535,773	590,905
	K	Program Management Salaries & Fringe	282,378	282,378	282,378	282,378	282,378
	L	Instructional Design & Media Salaries & Fringe	171,999	171,999	107,500	107,500	107,500
	M	Marketing & Recruitment Salaries & Fringe	43,077	43,077	43,077	43,077	43,077
	N	Marketing Supplies & Expenses	115,000	115,000	115,000	115,000	115,000
			612,454	612,454	547,955	547,955	547,955
		<b>Total Expenses</b>	<b>828,354</b>	<b>989,617</b>	<b>975,143</b>	<b>1,083,728</b>	<b>1,138,860</b>
VI		<b>Net Revenue</b>	<b>(705,099)</b>	<b>(466,897)</b>	<b>(113,843)</b>	<b>(1,163)</b>	<b>72,900</b>

## **Bachelor of Science in Applied Computing Cost and Revenue Projections Narrative with Program Assumptions**

### **Introduction**

Continuing Education, Outreach & E-Learning (CEOEL) provides the leadership and resources for developing and supporting collaborative online degree programs. CEOEL's expertise and involvement in the academic and administrative processes includes:

- Conducting market research to identify academic degrees that address workforce needs;
- Bringing academics, industry and government expertise together to develop relevant curriculum;
- Working closely with the various campus governance groups to write and obtain approval of the *Request for Authorization to Implement* a new academic degree program;
- Providing instructional design and media services to assist faculty in developing online courses and teaching in an online environment;
- Marketing and recruiting students to the program and providing high-touch student services from admissions through graduation;
- Serving as the fiscal agent for the program to include accounting, budgeting, forecasting, analysis, and reporting;
- Provide ongoing administration and management oversight on behalf of the program.

### **Program Funding and Management**

As part of the Adult Student Initiative, CEOEL's General Purpose Revenues (GPR) will be used as temporary start-up funding for the Bachelor of Science degree in Applied Computing with the expectations the program will become self-supporting from its program revenues within five years of enrolling students.

UW partner campuses' academic expenditures will initially be funded with three years of GPR. The GPR serves two purposes: (1) to pay the costs associated with planning and developing the curriculum in year one and (2) to pay the instructional and program support costs related to offering the degree program in years two and three. It is expected that by the third year of enrolling students and beyond, the program will be generating sufficient program revenues to pay for the academic expenditures at the partner campuses.

UW-Extension's program support expenditures will be funded from a combination of program revenues and GPR and will eventually transition to being funded exclusively from program revenues as the program grows. Program deficits, expenditures greater than revenues, will be absorbed and funded with CEOEL carryforward funds. Program surpluses, revenues greater than expenditures, will be shared equally among the six partners with the intent that those funds be reinvested back into growing the program.

The collaborative partners will meet annually to review and discuss program trends and financial results. The partners will jointly develop and implement programming strategies aimed at growing the program and for the program to be self-supporting within three to five years of enrolling students, and thus leading to revenue sharing among the partner campuses.

The following represents cost and revenue projections for the B.S. in Applied Computing through year five.

## **Program Assumptions**

The Bachelor of Science degree in Applied Computing is intended to be self-supporting from its program revenues within three to five years of enrolling students. The program's revenues and expenditures are based on a set of measurable assumptions that will be used to manage the program towards growth and profitability which have been summarized in the table below.

<b>Ref</b>	<b>Program Assumptions</b>	
A	New Students	The program will admit 50 to 70 new students to the program per year.
B	Continuing Students	The program will see 80.0% of the students admitted to the program continue and graduate within 3 to 4 years of beginning their academic work.
C	Courses Offered / Taught	The program's 21 online courses will be offered and taught at least once during the academic year – summer, fall or spring – with an average of 20 to 30 students per course.
D	Course Enrollments	On average, students will complete 5 to 7 courses per academic year – summer, fall and spring.
E	Student Credit Hours	Three credits have been assigned to all courses.
F	Faculty / Instructional FTEs	Existing faculty and instructional staff will develop and teach the online courses.
G	Administrative FTEs	Existing administrative staff will manage and support the program.
H	Tuition	Proposed at \$495.00 per credit.
<b>Faculty / Instructional Salaries and Fringe</b>		
I	Faculty Course Development	The program's 21 online courses will be developed over a 2-year period at a cost of \$6,425 per course developed.
I	Faculty Course Revisions	Online courses will be revised every 2 to 3 years with 7 course revisions occurring per year at a cost of \$2,570 per revision.
I	Faculty Instruction	Online Instructional cost has been set at \$9,638 per course taught.
<b>Instructional Supplies and Expenses</b>		
J	Curriculum Software & Hosting	The program at a cost of \$1,200 per student will utilize a virtual computer lab environment.
J	Instructional Support	Instructional materials cost has been set at \$500 per course taught.
<b>Program Management Salaries and Fringe</b>		
K	Academic Director	Each partner campus will have an assigned Academic Director to the program at a cost of \$32,125 per campus per year.
K	Student Services	Each partner campus will receive \$6,425 in student service funding per campus per year.
K	Program Manager / Student Coordinator	CEOEL will dedicate a half-time Program Manager and Student Coordinator to the program at a cost of \$89,628 per year.
<b>Instructional Design &amp; Media Salaries and Fringe</b>		
L	Instructional Design & Media – Course Development	CEOEL will provide instructional design and media services to assist faculty in developing the 21 online courses over a 2-year period at a cost of \$171,999 per year.
L	Instructional Design & Media – Course Revisions	CEOEL will provide instructional design and media services to assist faculty in revising and maintaining the online courses at a cost of \$107,500 per year.
<b>Marketing &amp; Recruitment Salaries and Fringe</b>		
M	Marketing & Recruitment	CEOEL will have dedicated marketing and recruitment staff assigned to the program at a cost of \$43,077 per year.
<b>Marketing Supplies and Expenses</b>		
N	Local Marketing	Each partner campus will receive \$7,000 in funding per year to promote and market the program locally.
N	Media Buys	CEOEL will promote and market the program more broadly through search engine optimization, websites, email, direct mail, etc., at a cost of \$80,000 per year.



Office of the Provost and Vice Chancellor for Academic Affairs • 116 North Hall • (715) 425-3700

---

Date: February 9, 2017

To: Ray Cross  
President  
University of Wisconsin System

From: Faye Perkins  
Interim Provost and Vice Chancellor of Academic Affairs  
University of Wisconsin-River Falls

Re: B.S. in Applied Computing

On behalf of Johannes Britz, UW-Milwaukee; Lane Earns, UW-Oshkosh; Elizabeth Throop, UW-Platteville; Greg Summers, UW-Stevens Point; and, Aaron Brower, UW-Extension, I request authorization to implement the *Bachelor of Science in Applied Computing*.

This program will be a 61-credit collaborative, online degree-completion program offered jointly by five UW institutions: UW-Milwaukee; UW-Oshkosh; UW-Platteville; UW-River Falls, and UW-Stevens Point. UW-Extension will provide administrative and financial support. Students entering the program will select an academic home institution from among the five degree offering partner campuses.

Each of the above institutions has strongly embraced the collaborative program model; has contributed greatly to the development of this new, innovative and exciting degree program; has made resource commitments to ensure program success to include faculty, curriculum, materials and required academic supports for students; and has secured support and approval from each of their faculty governance bodies. In addition, each Provost signed below endorses the submitted UW System Budget Template developed for this collaborative program offering. Finally, this program will be integrated into each institution's assessment and accreditation processes and program review procedures.

A handwritten signature in black ink, appearing to read "A. Brower", written over a horizontal line.

Aaron Brower, Provost and Vice Chancellor for Academic Affairs, UW-Extension

A handwritten signature in black ink, appearing to read "J. Britz", written over a horizontal line.

Johannes Britz, Provost and Vice Chancellor for Academic Affairs, UW-Milwaukee

A handwritten signature in black ink, appearing to read "Lane Earns", written over a horizontal line.

Lane Earns, Provost and Vice Chancellor for Academic Affairs, UW-Oshkosh

A handwritten signature in black ink, appearing to read "Elizabeth Throop", written over a horizontal line.

Elizabeth Throop, Acting Provost and Vice Chancellor for Academic Affairs, UW-Platteville

A handwritten signature in black ink, appearing to read "Faye Perkins", written over a horizontal line.

Faye Perkins, Interim Provost and Vice Chancellor for Academic Affairs, UW-River Falls

A handwritten signature in black ink, appearing to read "Greg Summers", written over a horizontal line.

Greg Summers, Provost and Vice Chancellor for Academic Affairs, UW-Stevens Point

Program Authorization (Implementation)  
Master of Science in Atmospheric Science  
UW-Milwaukee

EDUCATION COMMITTEE

Resolution I.1.c:

That, upon the recommendation of the Chancellor of the University of Wisconsin-Milwaukee and the President of the University of Wisconsin System, the Chancellor is authorized to implement the Master of Science in Atmospheric Science.

**NEW PROGRAM AUTHORIZATION  
MASTER OF SCIENCE IN ATMOSPHERIC SCIENCE  
UNIVERSITY OF WISCONSIN-MILWAUKEE**

**EXECUTIVE SUMMARY**

**BACKGROUND**

The University of Wisconsin-Milwaukee submits this request to establish a Master of Science degree in Atmospheric Science. This proposal is presented in accord with the procedures outlined in Academic Planning and Program Review (ACIS 1.0, revised May 2016, available at <https://www.wisconsin.edu/program-planning/>).

**REQUESTED ACTION**

Adoption of Resolution I.1.c., approving the implementation of the Doctor of Philosophy degree in Atmospheric Science proposed by the University of Wisconsin-Milwaukee.

**DISCUSSION**

**Mission.** The Master of Science degree in Atmospheric Science will contribute directly to the institutional mission of the University of Wisconsin System, which is to: develop human resources, discover and disseminate knowledge, extend knowledge and its application beyond the boundaries of its campuses, and serve and stimulate society by developing in students heightened intellectual, scientific, technological expertise, and a sense of purpose.<sup>1</sup>

This degree also supports the institutional mission of UW-Milwaukee, which emphasizes the development and maintenance of high-quality graduate education programs that engage in sustained research efforts to enhance and fulfill the university's role as a doctoral institution of academic and professional excellence.

**Program Description.** Despite a strong track record of success, the Atmospheric Science program at UW-Milwaukee suffers from poor visibility due to its location in the Department of Mathematical Sciences. This atypical arrangement for a graduate-level Atmospheric Science program makes it difficult to recruit the best-possible prospective graduate students and limits local, regional, and national program exposure. Hence, the minor programmatic changes proposed herein will better align academic requirements with those expected by prospective employers.

Atmospheric Science is a discipline at the forefront of the “big data” movement. Further, program faculty in recent years have received external funding to support the application of predictive data analytics, distributed infrastructure, and cloud computing for weather prediction.

---

<sup>1</sup> University of Wisconsin System (2017). *Mission Statements of UW System Institutions*. Retrieved from: <https://www.wisconsin.edu/about-the-uw-system/>

Hence, the proposed degree leverages existing programmatic strength to develop an educated workforce that is well prepared to simultaneously solve the challenges posed by, and take advantage of the opportunities provided by, “big data” in the atmospheric and related sciences. As a result, the proposed degree will well position UW-Milwaukee to advance new directions within the field.

**Market and Student Demand.** Nationwide, for the period 2014-2024, data from the United States Bureau of Labor Statistics projects a 9-percent increase in employment, from 11,800 in 2014 to 12,900 in 2024, outpacing the 7-percent rate for all occupations.<sup>2</sup> For the period 2012-2022, the Wisconsin Department of Workforce Development occupational projections indicate a 7.51-percent increase in employment, outpacing Wisconsin’s 7.14-percent growth rate for all occupations.<sup>3</sup>

At the 19<sup>th</sup> Biennial American Meteorological Society and American Geophysical Union Heads and Chairs Meeting, held in Boulder, Colorado in 2014, 29 chairs of atmospheric science academic programs in the United States were surveyed with respect to programmatic enrollment trends. Of the 23 programs that offer M.S. degrees, 87 percent indicated that program enrollments are steady, increasing gradually, or increasing rapidly. Job prospects for Master of Science degree recipients were subjectively rated as strong.

Entering the 2016-17 academic year, there are ten degree-seeking students enrolled in the Atmospheric Science option in the Master of Science in Mathematics at UW-Milwaukee. In previous years, there were nine degree-seeking students enrolled in each of the academic years 2014-15 and 2015-16, and six to eight degree-seeking students enrolled in the academic years dating back to 2006-07. These enrollment trends demonstrate an increasing need for advanced degrees in order for graduates to acquire gainful employment within the field. Finally, an advanced degree increasingly is required for graduates to be competitive in the field. The Occupational Outlook Handbook states, “Workers with a graduate degree should enjoy better prospects than those whose highest level of education is a bachelor’s degree.”

**Credit Load and Tuition.** Students enrolled in the Master of Science in Atmospheric Science degree program must complete a total of thirty (30) credits. Standard tuition and fee rates apply. For the current academic year, residential tuition and segregated fees total \$5,894.26 per semester for a full-time student enrolled in eight credits per term. Non-resident tuition and segregated fees total \$12,412.74 per semester for a full-time student enrolled in eight or more credits per term. Of these amounts, \$700.90 is attributable to segregated fees.

**Program Funding and Management.** Delivery of instructional, student, and administrative services attributable to the major will be provided through the contributions of six current faculty FTE and the proportional .25 FTE contribution of one current administrative support staff supported by the Department of Mathematic Sciences. Therefore, no additional

---

<sup>2</sup>United States Department of Labor, Bureau of Labor Statistics Occupational Outlook Handbook (2014-15). Retrieved from <http://www.bls.gov/ooh/life-physical-and-social-science/atmospheric-scientists-including-meteorologists.htm>.

<sup>3</sup> Wisconsin Department of Workforce Development Office of Economic Advisors. Retrieved from [http://worknet.wisconsin.gov/worknet\\_info/downloads/OCCPRJ/lt\\_occ\\_2012.xlsx](http://worknet.wisconsin.gov/worknet_info/downloads/OCCPRJ/lt_occ_2012.xlsx).



faculty or staff salary and fringe expenses will be incurred in the first five years of the program. Net revenues will be reallocated to support existing direct and indirect program expenses.

## **RELATED REGENT AND UW SYSTEM POLICIES**

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

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

**REQUEST FOR AUTHORIZATION TO IMPLEMENT A  
MASTER OF SCIENCE IN ATMOSPHERIC SCIENCE  
AT UW-MILWAUKEE  
PREPARED BY UW-MILWAUKEE**

**ABSTRACT**

The University of Wisconsin-Milwaukee proposes to establish a Master of Science (M.S.) in Atmospheric Science. The proposed program will be comprised of 30 credits and will replace the existing Atmospheric Science option in the M.S. in Mathematics, thus increasing the visibility of existing offerings to prospective students and funding agencies. Degree requirements will align with employer expectations. Graduates will demonstrate broad knowledge of fundamental tenets in atmospheric sciences and will be able to effectively communicate understanding to diverse audiences in multiple media.

**PROGRAM IDENTIFICATION**

**Institution Name**

University of Wisconsin-Milwaukee

**Title of Proposed Program**

Atmospheric Science

**Degree/Major Designations**

Master of Science

**Mode of Delivery**

Single institution

**Projected Enrollments by Year Five**

Table 1 details enrollment and graduation projections for the first five years after program implementation. In year one it is anticipated that students currently enrolled in the existing M.S. in Mathematics Atmospheric Science option will transfer to the new program. By the end of year five, it is expected that 21 new students will have enrolled in the program and 21 students will have graduated from the program. In the last ten years, there has been less than 5 percent attrition of students seeking the Atmospheric Science option to the M.S. in Mathematics at UW-Milwaukee; thus, minimal attrition is expected.

**Table 1. Enrollment and graduation projections from Years 1 to 5**

	Year 1	Year 2	Year 3	Year 4	Year 5
New students	3	6	3	6	3
Continuing students	9	9	9	9	9
Total enrollment	12	15	12	15	12
Graduating students	3	6	3	6	3

**Tuition Structure**

For students enrolled in the M.S. in Atmospheric Science program, standard tuition and fee rates apply. For the current academic year, residential tuition and segregated fees total \$5,894.26 per semester for a full-time student enrolled in eight credits per semester. Non-resident tuition and segregated fees total \$12,412.74 per semester for a full-time student enrolled in eight or more credits per semester. Of these amounts, \$700.90 is attributable to segregated fees. Students supported as Research or Teaching Assistants receive a full tuition waiver and are thus responsible only for payment of segregated fees.

**Department or Functional Equivalent**

Department of Mathematical Sciences

**College, School, or Functional Equivalent**

College of Letters and Science

**Proposed Date of Implementation**

August 2017

**INTRODUCTION****Rationale and Relation to Mission**

[UW-Milwaukee's Select Mission Statement](#) emphasizes the development and maintenance of high-quality undergraduate, graduate, and continuing education programs that are appropriate to a major urban doctoral university; engage in a sustained research effort to enhance and fulfill the university's role as a doctoral institution of academic and professional excellence; will attract highly-qualified students who demonstrate the potential for intellectual development, innovation, and leadership for their communities; and will serve and collaborate with the state of Wisconsin, its metropolitan areas, and the University of Wisconsin System.

[UW-Milwaukee's Strategic Plan](#) emphasizes the graduation of highly-skilled individuals at all levels and the generation of societally-relevant scholarship that is recognized within the global research community. The proposed program will support a research environment to promote and grow research impact, including focused research clusters such as the atmospheric and related sciences and the development and delivery of relevant, engaging, innovative, and distinctive academic programs.

The [UW-Milwaukee Atmospheric Science Program](#) is comprised of a group of scholars, including six faculty members, who engage in a wide array of distinguished, societally-relevant research that is currently supported by over \$3 million in external funding. Faculty are world-renowned researchers in their areas of expertise. The program has a history of innovation in both education and research. The Innovative Weather program and the first-of-its-kind "Air Pollution and Ancient Cultures," a faculty-led study abroad course, are two representative examples of innovative educational opportunities. Students graduating from the program, particularly with graduate degrees, have a long history of acquiring gainful employment with top-tier public and private sector institutions in Wisconsin and beyond.

The proposed degree will replace the existing Atmospheric Science option in the M.S. in Mathematics offered by the UW-Milwaukee Department of Mathematical Sciences. Despite a strong track record of success, UW-Milwaukee's program suffers from poor visibility due to its location in the Department of Mathematical Sciences. This is an atypical arrangement for a graduate-level Atmospheric Science program, making it difficult to recruit the best-possible prospective graduate students and limiting local, regional, and national program exposure. In turn, these limitations impact the quality of research that faculty can conduct with students, therein hindering the ability of the institution to attract and maximize external funding. The proposed M.S. in Atmospheric Science will enable the program to support the institutional mission of UW-Milwaukee, particularly those elements relating to student recruitment, research excellence, and educational leadership. The outcomes will contribute to maintaining UW-Milwaukee's Research 1 (R1) classification. Further, minor programmatic changes proposed herein will better align academic requirements with those expected by prospective employers.

### **Need as Suggested by Current Student Demand**

Entering the 2016-17 academic year, there are ten degree-seeking students enrolled in the Atmospheric Science option to the M.S. in Mathematics at UW-Milwaukee. In previous years, there were nine degree-seeking students enrolled in both academic years 2014-15 and 2015-16, and six to eight degree-seeking students enrolled in the academic years dating back to 2006-07. These enrollment trends demonstrate an increasing need for advanced degrees in order for graduates to acquire gainful employment within the field.

### **Need as Suggested by Market Demand**

According to the 2014-15 United States Bureau of Labor Statistics Occupational Outlook Handbook,<sup>1</sup> 36 percent of individuals employed as atmospheric or space scientists are employed within the private sector; 29 percent are employed by the federal government, primarily by the National Weather Service; 19 percent are employed by an academic institution; and 8 percent are employed in broadcasting. Increasingly, an advanced degree is required for graduates to be competitive in the field. The Occupational Outlook Handbook states, "Workers with a graduate degree should enjoy better prospects than those whose highest level of education is a bachelor's degree."

At the 19<sup>th</sup> Biennial American Meteorological Society and American Geophysical Union Heads and Chairs Meeting, held in Boulder, Colorado in 2014, 29 chairs of atmospheric science academic programs in the United States were surveyed with respect to programmatic enrollment trends. Of the 23 programs that offer M.S. degrees, 87 percent indicated that program enrollments are steady, increasing gradually, or increasing rapidly. Job prospects for M.S. degree recipients were subjectively rated as strong.

The primary occupational classification for atmospheric scientists with an earned M.S. degree is Atmospheric and Space Scientists (SOC Code 19-2021). For the period 2012-2022, the

---

<sup>1</sup> United States Department of Labor, Bureau of Labor Statistics Occupational Outlook Handbook (2014-15). Retrieved from <https://www.bls.gov/ooh/life-physical-and-social-science/atmospheric-scientists-including-meteorologists.htm>.

Wisconsin Department of Workforce Development occupational projections indicate a 7.51-percent increase in employment, from 213 in 2012 to a projected 229 in 2022, outpacing that for all occupations (7.14 percent).<sup>2</sup> Seven average annual openings are projected, with two due to growth and five due to replacements. Annual wages at the 25<sup>th</sup>, 50<sup>th</sup>, 75<sup>th</sup>, and 90<sup>th</sup> percentiles are 1.6 to 2.6 times their respective values for all occupations. Nationwide, for the period 2014-2024, data from the United States Bureau of Labor Statistics projects a 9-percent increase in employment, from 11,800 in 2014 to 12,900 in 2024, again outpacing that for all occupations (7 percent).<sup>3</sup>

### **Emerging Knowledge and Advancing New Directions**

Atmospheric science is a discipline at the forefront of the “big data” movement. The rate at which new data from observations and numerical model simulations is generated to advance predictive abilities and fundamental understanding outpaces the ability to interpret the data using existing techniques. The proposed degree leverages existing programmatic strength to develop an educated workforce that is well prepared to solve the challenges posed and to take advantage of the opportunities provided by “big data” in the atmospheric and related sciences. Examples include catastrophe modeling, risk assessment, and analysis of renewable resources. Students enrolled in the proposed program may elect to complete a two-course sequence in statistical analysis and interpretation of geophysical data sets and a special topics course in data analytics applied to the atmospheric sciences. Further, program faculty in recent years have received external funding to support the application of predictive data analytics, distributed infrastructure, and cloud computing for weather prediction. As a result, the proposed degree will well-position UW-Milwaukee to advance new directions within the field.

## **DESCRIPTION OF PROGRAM**

### **Institutional Program Array**

At present, UW-Milwaukee offers seven M.S. degrees in natural science disciplines: Biological Sciences, Chemistry, Engineering, Freshwater Sciences, Geosciences, Mathematics, and Physics. There is no academic programmatic overlap, existing or planned, among these programs and the proposed M.S. in Atmospheric Science. Due to the multidisciplinary nature of the atmospheric sciences, graduate courses in Freshwater Sciences, Mathematics, and to a lesser extent Chemistry, Communication, English, Geography, Geosciences, and Physics may be of benefit to students pursuing the M.S. in Atmospheric Science. Student interest in these areas will be accommodated through standard degree requirements. In turn, graduate courses in Atmospheric Science may be of benefit to graduate students in Freshwater Sciences and Mathematics. In research, significant potential for interdisciplinary collaboration exists between Atmospheric Science and Freshwater Sciences.

---

<sup>2</sup> Wisconsin Department of Workforce Development Office of Economic Advisors. Retrieved from [http://worknet.wisconsin.gov/worknet\\_info/downloads/OCCPRJ/lt\\_occ\\_2012.xlsx](http://worknet.wisconsin.gov/worknet_info/downloads/OCCPRJ/lt_occ_2012.xlsx).

<sup>3</sup>United States Department of Labor, Bureau of Labor Statistics Occupational Outlook Handbook (2014-15). Retrieved from <http://www.bls.gov/ooh/life-physical-and-social-science/atmospheric-scientists-including-meteorologists.htm>.

## **Other Programs in the University of Wisconsin System**

In the UW System, only UW-Madison offers a Ph.D. degree program in the atmospheric or related sciences. UW-Madison offers programmatic expertise in aerosol, air-sea interaction, biogeochemistry, ecology and biosphere-atmosphere interactions, middle atmosphere dynamics, polar meteorology, radiative transfer, remote sensing, satellite meteorology, and tropical convection. UW-Milwaukee has unique programmatic expertise in cloud parameterization, data analytics, non-linear data analysis, and systems modeling. Where shared research expertise exists in specialties represented in a supermajority of graduate atmospheric science programs, specific research foci differ between the faculty at each institution. Further, centers or programs located at each campus are unique. At UW-Madison, programs include the Cooperative Institute for Meteorological Satellite Studies, Nelson Institute for Environmental Studies, Space Science and Engineering Center, and Wisconsin State Climatology Office. At UW-Milwaukee, there are the Innovative Weather program and the School of Freshwater Sciences. With the exception of minor research overlap between the Nelson Institute for Environmental Studies and the School of Freshwater Sciences, these are unique programs with which faculty and students at their respective institutions have active research collaborations.

## **Collaborative Nature of the Program**

In the Intent to Plan stage of this process, faculty at UW-Madison and UW-Milwaukee jointly identified areas of potential collaboration. To leverage each program's respective expertise, parallel course offerings may be considered, with video conferencing and alternating on-campus meetings fostering interaction between institutions. A joint research symposium alternating between the two campuses would allow students and faculty to discuss potential collaborations. Faculty at both institutions are involved with proposed field experiments in Wisconsin that offer the opportunity to expose students to a more diverse range of field study than possible at only one institution. Collaborative efforts to recruit prospective graduate students at professional conferences may lead to the attraction of higher-quality students to each program. A coordinated effort to encourage prospective graduate students at one institution to apply to the other institution when shared research interests exist may have a similar effect.

## **Diversity**

According to the National Science Foundation, from 2002-2012, 36.8 percent of earned M.S. in Atmospheric Science degrees in the United States were awarded to women and 12.4 percent were awarded to persons from ethnic or racial minority groups.<sup>4</sup> By comparison, from 2000-2016, 27.7 percent of earned M.S. in Mathematics, Atmospheric Science option, degrees at UW-Milwaukee were awarded to women and 6.4 percent were awarded to those from ethnic or racial minority groups. Of these, one degree was awarded to a student supported by a UW-Milwaukee Advanced Opportunity Program fellowship. Internal and external efforts to maintain diversity in the graduate ranks in this and other STEM-related programs have been proposed. The UW-Milwaukee [STEM-Inspire](#), [Wisconsin Alliance for Minority Participation](#), and [McNair](#) initiatives seek to improve retention and persistence in science, technology, engineering, and mathematics (STEM) fields of students from underrepresented backgrounds. Externally, the [Significant Opportunities in Atmospheric Research and Science](#) program seeks to broaden

---

<sup>4</sup>National Science Foundation, 2017. Women, Minorities, and Persons with Disabilities in Science and Engineering. Retrieved from <http://www.nsf.gov/statistics/wmpd/>.

participation of students from underrepresented backgrounds at the graduate level via engagement in intensive research, mentorship, and community activities. Events such as the [Undergraduate Leadership Workshop](#) afford students the opportunity to explore atmospheric science careers and develop their leadership potential.

UW-Milwaukee will identify students who would benefit from participation in one or more of these initiatives early in students' academic careers. Faculty mentors will be identified to provide individual guidance specific to achievement within the major and matriculation to the graduate program. As feasible, funding from the UW-Milwaukee Office of Undergraduate Research will be sought to support these students as undergraduate research assistants to engage them in activities similar to those that they would complete if they were to attend graduate school. These integrated efforts offer the potential of increasing diversity through improved matriculation of students to graduate-level study. Success at accomplishing this goal is likely to increase the appeal of UW-Milwaukee's program to students from underrepresented backgrounds at other institutions, further increasing diversity.

### **Student Learning Outcomes and Program Objectives**

Reflecting sufficient preparation for gainful post-graduation employment or admission to a Doctor of Philosophy program at a peer or aspirational institution, students who obtain the M.S. in Atmospheric Science degree at UW-Milwaukee will:

1. Demonstrate the ability to conduct supervised research that builds upon existing theory and methods to result in an original contribution to understanding in the atmospheric sciences. This requires demonstrated criticality and creativity of thought and mastery of appropriate analysis, interpretation, and synthesis techniques.
2. Demonstrate broad knowledge of fundamental tenets in the atmospheric sciences and advanced knowledge of existing understanding and future directions specific to the chosen research specialization in the atmospheric sciences.
3. Demonstrate the ability to clearly and effectively communicate, in multiple media, fundamental tenets of the atmospheric sciences and specialized research findings to diverse audiences, including students, professionals, and the general public.

### **Assessment of Objectives**

Institutional program review is described in the Institutional Review section below. At the program level, multiple measures are used to assess success relative to program objectives, specifically:

1. The outcome relating to supervised research will be assessed through evaluation of the quality of each student's thesis research by a three-member evaluation committee.
2. The outcome relating to advanced knowledge and specialization will be assessed through evaluation of the quality of each student's thesis research by a three-member committee of Atmospheric Science faculty and performance on any coursework completed.
3. The outcome relating to communication across media will be assessed through evaluation of the quality of the oral and written components of each student's thesis

defense, course assignments, and presentation at departmental seminars and professional conferences. For teaching assistants, student, peer, and supervisor teaching evaluations will be used as part of this assessment.

Informal evaluation of student progress toward all student learning outcomes will be periodically conducted by the student's major professor, who will provide the results to both the student and the Atmospheric Science program coordinator. Exit interviews and post-graduation surveys will be used to acquire feedback as to the perceived effectiveness of program initiatives toward fostering the successful completion of all student learning outcomes.

### **Program Curriculum**

Students seeking admission to the M.S. in Atmospheric Science degree program must meet all UW-Milwaukee Graduate School admission requirements. GRE General Test scores are recommended but not required. Entering graduate students should have a general background in both physics and mathematics, including calculus and ordinary differential equations. However, given the intrinsic multidisciplinary nature of the atmospheric sciences, no specific undergraduate coursework is required. Students who lack this background may be admitted provided that the deficiencies amount to no more than two courses, and deficiencies must be made up within three enrolled semesters of graduate study.

Students enrolled in the M.S. in Atmospheric Science degree program must complete a total of thirty (30) credits. Of these credits, twelve (12) must be uniquely earned at the Atmospheric Science (Atm Sci) course level of 700-level or greater; six (6) must be earned in approved graduate elective courses; six (6) must be earned in either Math 601 and Math 602 *or* Atm Sci 500 and Atm Sci 950 (as "Topics in Statistical Analysis and Interpretation of Geophysical Data Sets: Part II"); and six (6) must be earned in Atm Sci 990 (Master Thesis).

Formal courses in Atmospheric Science that may be taken for graduate credit are listed below. Only courses offered in the last ten years are listed. All courses award three credits unless otherwise denoted.

<b>Atm Sci 330</b>	Air Pollution Meteorology
<b>Atm Sci 350</b>	Atmospheric Thermodynamics
<b>Atm Sci 351</b>	Dynamic Meteorology I
<b>Atm Sci 352</b>	Dynamic Meteorology II
<b>Atm Sci 360</b>	Synoptic Meteorology I (4 cr)
<b>Atm Sci 361</b>	Synoptic Meteorology II (4 cr)
<b>Atm Sci 460</b>	Mesoscale Circulations
<b>Atm Sci 464</b>	Cloud Physics
<b>Atm Sci 470</b>	Tropical Meteorology
<b>Atm Sci 480</b>	The General Circulation and Climate Dynamics
<b>Atm Sci 497</b>	Study Abroad: (Subtitled)
<b>Atm Sci 500</b>	Statistical Methods in Atmospheric Sciences
<b>Atm Sci 505</b>	Micrometeorology
<b>Atm Sci 511</b>	Seminar in Atmospheric Radiation and Remote Sensing



<b>Atm Sci 690</b>	Seminar in Atmospheric Sciences
<b>Atm Sci 705</b>	Air Pollution Modeling
<b>Atm Sci 711</b>	Cloud Dynamics
<b>Atm Sci 750</b>	Nonlinear Time Series Analysis
<b>Atm Sci 761</b>	Advanced Synoptic/Mesoscale Meteorology
<b>Atm Sci 950</b>	Seminar on Topics in Atmospheric Sciences

Prior to graduation, students – under the direction of a major professor and supervision of a three-member evaluation committee comprised of Atmospheric Science graduate faculty – must complete and orally defend an acceptable thesis. An acceptable thesis is defined as one representing an original contribution in the atmospheric sciences of sufficient caliber for publication in a peer-reviewed journal.

### **Projected Time to Degree**

Students entering without deficiencies and who enroll full-time can complete all degree requirements within two years of first enrollment. All degree requirements must be completed within five years of first enrollment, consistent with UW-Milwaukee's campus-wide policy.

### **Institutional Review**

The Sub-Committee on Graduate Program Reviews of the Graduate Faculty Committee supervises a systematic and continuing review of existing graduate programs at UW-Milwaukee. The procedures for qualitative reviews of graduate programs at UW-Milwaukee are described in detail in [Graduate Faculty Committee Document No. 951](#). In brief, graduate program reviews are conducted to assess and ensure the continuity of the quality of each graduate program; provide the Graduate Faculty Committee with a basis for evaluating proposals to expand, modify, or discontinue programs; and guide deans and the Provost in administrative decision-making and reporting related to graduate programs.

New graduate programs will undergo full-scale reviews involving external consultant site visits five years after implementation. Findings will be provided to UW System Administration as required for the first review of new academic programs. Continuing graduate programs undergo reviews using external consultants every ten years after the initial program review. Five years after closure of the most recent program review, graduate programs are required to provide a mid-cycle status report discussing the implementation of the recommendations adopted by the Graduate Faculty Committee in the last program review.

Program reviews are conducted by an internal review team, composed of two members of the graduate faculty, and at least two external consultants expert in the discipline. Each program is required to submit a self-study and supplementary documentation at least six weeks prior to a site visit by the external consultants. The self-study provides the program with the opportunity to evaluate all facets of program operation and outcomes; engage in critical self-examination; and formulate curricular and research objectives, benchmarks, and milestones for the next ten years. Included in the self-study are a description and evaluation of the program, its faculty, students, curriculum, outcomes and assessment thereof; the research and scholarship environment and productivity therein; resources; and additional supplementary information.

External consultants jointly prepare a report submitted to the Graduate School within four to six weeks of the site visit. This report contains general conclusions about the state of the graduate program, specific recommendations for action and a statement of rationale for each, and an analysis of the program's major strengths to be maintained and weaknesses to be addressed. Programs are permitted the opportunity to respond to the consultants' report before submission to and evaluation by the Graduate Faculty Committee. The Provost, Dean and Associate Dean of the relevant School or College, as well as the Dean of the Graduate School, then meet to discuss implementation and prioritization of the Graduate Faculty Committee's recommendations.

**Accreditation**

There exists no accrediting authority for atmospheric science graduate degrees.

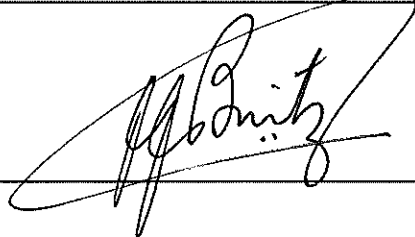
**University of Wisconsin - Milwaukee**  
**Cost and Revenue Projections For Newly Proposed M.S. in Atmospheric Science**

	Items	Projections				
		2017	2018	2019	2020	2021
		Year 1	Year 2	Year 3	Year 4	Year 5
<b>I</b>	<b>Enrollment (New Student) Headcount</b>	5	6	6	6	6
	<b>Enrollment (Continuing Student) Headcount</b>	7	5	6	6	6
	<b>Enrollment (New Student) FTE</b>	5	6	6	6	6
	<b>Enrollment (Continuing Student) FTE</b>	7	5	6	6	6
<b>II</b>	<b>Total New Credit Hours (# new sections x credits per section)</b>	70	84	168	168	168
	<b>Existing Credit Hours</b>	98	70	0	0	0
<b>III</b>	<b>FTE of New Faculty/Instructional Staff</b>	0	0	0	0	0
	<b>FTE of Current Fac/IAS</b>	6	6	6	6	6
	<b>FTE of New Admin Staff</b>	0	0	0	0	0
	<b>FTE Current Admin Staff</b>	0.25	0.25	0.25	0.25	0.25
<b>IV</b>	<b>New Revenues</b>					
	<i>From Tuition (new credit hours x 649.17/credit)</i>	\$45,442	\$54,530	\$109,061	\$109,061	\$109,061
	<i>From Fees</i>					
	<i>Program Revenue - Grants</i>					
	<i>Program Revenue - Other</i>	\$0	\$0	\$0	\$0	\$0
	<i>Reallocation</i>	\$0	\$0	\$0	\$0	\$0
	<b>Total New Revenue</b>	\$45,442	\$54,530	\$109,061	\$109,061	\$109,061
<b>V</b>	<b>New Expenses</b>					
	<b>Salaries plus Fringes</b>					
	<i>Faculty/Instructional Staff</i>	\$0	\$0	\$0	\$0	\$0
	<i>Other Staff</i>	\$0	\$0	\$0	\$0	\$0
	<b>Other Expenses</b>					
	<i>Facilities</i>	\$0	\$0	\$0	\$0	\$0
	<i>Equipment</i>	\$0	\$0	\$0	\$0	\$0
	<i>Other:</i>	\$2,000	\$2,000	\$2,000	\$2,000	\$2,000
	<b>Total Expenses</b>	\$2,000	\$2,000	\$2,000	\$2,000	\$2,000
<b>VI</b>	<b>Net Revenue</b>	\$43,442	\$52,530	\$107,061	\$107,061	\$107,061

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

- I. Existing students in Yr 1 indicates current enrollment in the concentration in MS in Mathematics
- II. Credit Hours assumes 7 graduate credits per student per semester.
- III. Current Admin Staff are supported in the Dept. of Mathematical Sciences. The 0.25 FTE is an estimate of the duties that are in direct support of MS in Atmospheric Science program
- IV: Tuition revenue calculated at in-state rate for credit hours generated by new students. In the first two years, credit hours generated by currently admitted students in the concentration in the MS in Mathematics are shown as existing credit hours
- V. Other expenses reflects costs associated with prospective student recruitment events and materials.

**Provost's Signature:**



**Date:**

03.06.17

UNIVERSITY OF WISCONSIN - MILWAUKEE  
COST AND REVENUE PROJECTIONS NARRATIVE  
M.S. IN ATMOSPHERIC SCIENCE

The University of Wisconsin-Milwaukee proposes to establish a Master of Science (M.S.) in Atmospheric Science. The proposed program will be comprised of 30 credits and will replace the existing Atmospheric Science option to the M.S. in Mathematics.

**Section I – Enrollment**

Anticipated enrollments classified as continuing student headcount and FTE in year one are based on current student enrollment in the M.S. in Mathematics concentration in Atmospheric Science. It is anticipated that these students will enroll in the proposed M.S. in Atmospheric Science, once implemented.

**Section II – Credit Hours**

New credit hours are those attributable to first-time enrollees in the program. Continuing credit hours are attributable to students who are already enrolled in the Atmospheric Science concentration in the M.S. in Mathematics. Credit hours listed in the template assumes 7 credit hours per student FTE per semester.

**Section III – Faculty and Staff Appointments**

No new faculty and staff appointments are anticipated. Delivery of instructional, student, and administrative services attributable to the major will be provided through the contributions of 6 faculty FTE and the proportional .25 FTE contribution of one current administrative support staff supported by the Department of Mathematic Sciences.

**Section IV – Program Revenues**

Tuition revenues are calculated using the in-state per credit tuition rate of \$649.17 per credit, and applied to new student credit hours. As indicated in Section II, new student credit hours are attributable to first-time enrollees to UW-Milwaukee and the proposed program.

**Section V – Program Expenses**

All of the courses required to support the proposed M.S. in Atmospheric Science will be delivered by current faculty, and administrative support will be provided by current staff. Therefore, no additional faculty or staff salary and fringe expenses will be incurred in the first five years of the program. Other expenses reflect costs associated with prospective student recruitment events and materials.

**Section VI – Net Revenue**

Net revenues will be reallocated to support existing direct and indirect program expenses.




**Academic Affairs**

Chapman Hall 230  
P.O. Box 413  
Milwaukee WI 53201-0413  
414-229-4503 *phone*  
414-229-4929 *fax*  
[www3.uwm.edu/dept/acad\\_aff/](http://www3.uwm.edu/dept/acad_aff/)

March 6, 2017

To: Ray Cross, President, University of Wisconsin System

From: Johannes J. Britz, Provost and Vice Chancellor 

Re: Authorization to implement a Master of Science in Atmospheric Sciences

Per UW System guidelines for new program development, I am writing to you to assure the support of the University of Wisconsin – Milwaukee for the proposed Master of Science in Atmospheric Sciences.

UWM has offered the Atmospheric Science submajor in the M.S. in Mathematics program since 2000. Over the years, the program has had stable enrollment. However, the exposure of the program to prospective students and funding agencies has been limited as it is an option within the Mathematics degree. The requested approval of this program will provide advantages to students with increased employability of the graduates in their chosen field. The degree requirements align with expectations of employers of masters-trained candidates. The program projects a net revenue generation based on reasonable projections on enrollment.

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

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

c: James Henderson, Vice President, UWSA Academic and Student Affairs  
Diane Treis-Rusk, UWSA Academic and Student Affairs  
David Clark, Acting Dean, College of Letters and Science  
Dev Venugopalan, Vice Provost, UWM Academic Affairs

Program Authorization (Implementation)  
Doctor of Philosophy in Atmospheric Science  
UW-Milwaukee

EDUCATION COMMITTEE

Resolution I.1.d:

That, upon the recommendation of the Chancellor of the University of Wisconsin-Milwaukee and the President of the University of Wisconsin System, the Chancellor is authorized to implement the Doctor of Philosophy in Atmospheric Science.

**NEW PROGRAM AUTHORIZATION  
DOCTOR OF PHILOSOPHY IN ATMOSPHERIC SCIENCE  
UNIVERSITY OF WISCONSIN-MILWAUKEE**

**EXECUTIVE SUMMARY**

**BACKGROUND**

The University of Wisconsin-Milwaukee submits this request to establish a Doctor of Philosophy degree in Atmospheric Science. This proposal is presented in accord with the procedures outlined in Academic Planning and Program Review (ACIS 1.0, revised May 2016, available at <https://www.wisconsin.edu/program-planning/>).

**REQUESTED ACTION**

Adoption of Resolution I.1.d, approving the implementation of the Doctor of Philosophy degree in Atmospheric Science proposed by the University of Wisconsin-Milwaukee.

**DISCUSSION**

**Mission.** The Doctor of Philosophy degree in Atmospheric Science will contribute directly to the institutional mission of the University of Wisconsin System, which is to: develop human resources, discover and disseminate knowledge, extend knowledge and its application beyond the boundaries of its campuses, and serve and stimulate society by developing in students heightened intellectual, scientific, technological expertise, and a sense of purpose.<sup>1</sup>

This degree also supports the institutional mission of UW-Milwaukee, which emphasizes the development and maintenance of high-quality graduate education programs that engage in sustained research efforts to enhance and fulfill the university's role as a doctoral institution of academic and professional excellence. Hence, this doctoral program will support a research environment to promote and grow research impact, including focused research clusters such as the atmospheric and related sciences and the development and delivery of relevant, engaging, innovative, and distinctive academic programs.

**Market and Student Demand.** Nationwide, for the period 2014-2024, data from the United States Bureau of Labor Statistics projects a 9-percent increase in employment for atmospheric scientists, from 11,800 in 2014 to 12,900 in 2024, outpacing the 7-percent increase projected for all occupations.<sup>2</sup> For the period 2012-2022, the Wisconsin Department of Workforce Development occupational projections indicate a 7.51-percent increase in employment, from 213 in 2012 to a projected 229 in 2022, outpacing the 7.14-percent growth

---

<sup>1</sup> University of Wisconsin System (2017). *Mission Statements of UW System Institutions*. Retrieved from: <https://www.wisconsin.edu/about-the-uw-system/>.

<sup>2</sup> United States Department of Labor, Bureau of Labor Statistics Occupational Outlook Handbook (2014-15). Retrieved from <http://www.bls.gov/ooh/life-physical-and-social-science/atmospheric-scientists-including-meteorologists.htm>.

rate for all occupations.<sup>3</sup> According to the 2014-15 United States Bureau of Labor Statistics Occupational Outlook Handbook,<sup>4</sup> 36 percent of individuals employed as atmospheric or space scientists are employed within the private sector; 29 percent are employed by the federal government, primarily by the National Weather Service; 19 percent are employed by an academic institution; and 8 percent are employed in broadcasting.

Entering the 2016-17 academic year, there are two doctoral degree-seeking students enrolled in the Atmospheric Science option to the Ph.D. in Mathematics at UW-Milwaukee. In previous years there were three degree-seeking students enrolled in each of the academic years 2014-15 and 2015-16. Between one and three degree-seeking students were enrolled in each academic year dating back to 2006-07. Increasingly, an advanced degree is required for graduates to be competitive in the field. Hence, these enrollment trends demonstrate an increasing need for advanced degrees in order for graduates to acquire gainful employment within the field.

**Program Description.** The proposed program will replace the existing Atmospheric Science option to the Ph.D. in Mathematics, thereby increasing the visibility of existing offerings to prospective students and funding agencies. Degree requirements will align with employer expectations. Graduates will demonstrate broad knowledge of fundamental tenets in atmospheric sciences and demonstrated ability to conduct independent research through the application of existing and development of novel theories and methods.

Atmospheric Science is a discipline at the forefront of the “big data” movement. The rate at which new data from observations and numerical model simulations are generated, to advance predictive abilities and fundamental understanding, outpaces the ability to interpret the data using existing techniques. Examples include catastrophe modeling, risk assessment, and analysis of renewable resources. Furthermore, program faculty in recent years have received external funding to support the application of predictive data analytics, distributed infrastructure, and cloud computing for weather prediction. Hence, the proposed doctoral degree leverages existing programmatic strength to develop an educated workforce that is well-prepared to simultaneously solve the challenges posed by, and take advantage of the opportunities provided by, “big data” in the atmospheric and related sciences. As a result, the proposed degree will well-position UW-Milwaukee to advance new directions within the field.

**Credit Load and Tuition.** Students enrolled in the Ph.D. in Atmospheric Science program must complete a total of fifty-four (54) graduate credits beyond the bachelor’s degree with at least twenty-seven (27) earned in residence at UW-Milwaukee.

Standard tuition and fee rates apply. For the current academic year, residential tuition and segregated fees total \$5,894.26 per semester for a full-time student enrolled in eight credits per term. Non-resident tuition and segregated fees total \$12,412.74 per semester for a full-time

---

<sup>3</sup> Wisconsin Department of Workforce Development Office of Economic Advisors. Retrieved from [http://worknet.wisconsin.gov/worknet\\_info/downloads/OCCPRJ/lt\\_occ\\_2012.xlsx](http://worknet.wisconsin.gov/worknet_info/downloads/OCCPRJ/lt_occ_2012.xlsx).

<sup>4</sup> United States Department of Labor, Bureau of Labor Statistics Occupational Outlook Handbook (2014-15). Retrieved from <https://www.bls.gov/ooh/life-physical-and-social-science/atmospheric-scientists-including-meteorologists.htm>.



student enrolled in eight or more credits per term. Of these amounts, \$700.90 is attributable to segregated fees. For students who have become dissertators, for the current academic year, residential tuition and segregated fees total \$4,464.66 per semester for a full-time student enrolled in eight credits per term. Non-resident tuition and segregated fees total \$6,064.66 per semester for a full-time student enrolled in eight or more credits per term. Of these amounts, \$700.90 is attributable to segregated fees. Students supported as Research or Teaching Assistants, regardless of dissertator status, receive a full tuition waiver and are thus responsible only for payment of segregated fees.

Entering full-time students with an earned Master of Science degree are expected to complete all degree requirements within three to four years of first enrollment. Entering full-time students without an earned Master of Science degree are expected to complete all degree requirements within five to six years of first enrollment. All degree requirements must be completed within ten years of first enrollment, consistent with UW-Milwaukee's campus-wide policy.

**Program Funding and Management.** No new faculty and staff appointments are anticipated. Delivery of instructional, student, and administrative services attributable to the major will be provided through the contributions of six FTE faculty and the proportional .25 FTE contribution of one current administrative support staff supported by the Department of Mathematic Sciences. Therefore, no additional faculty or staff salary and fringe expenses will be incurred in the first five years of the program. Net revenues will be reallocated to support existing direct and indirect program expenses.

## **RELATED REGENT AND UW SYSTEM POLICIES**

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

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

**REQUEST FOR AUTHORIZATION TO IMPLEMENT A  
DOCTOR OF PHILOSOPHY IN ATMOSPHERIC SCIENCE  
AT UW-MILWAUKEE  
PREPARED BY UW-MILWAUKEE**

**ABSTRACT**

The University of Wisconsin-Milwaukee proposes to establish a Doctor of Philosophy (Ph.D.) in Atmospheric Science. The proposed program will be comprised of 54 credits beyond the bachelor's degree and will replace the existing Atmospheric Science option to the Ph.D. in Mathematics, thus increasing the visibility of existing offerings to prospective students and funding agencies. Degree requirements will align with employer expectations. Graduates will demonstrate broad knowledge of fundamental tenets in atmospheric sciences and demonstrated ability to conduct independent research through the application of existing and development of novel theories and methods.

**PROGRAM IDENTIFICATION**

**Institution Name**

University of Wisconsin-Milwaukee

**Title of Proposed Program**

Atmospheric Science

**Degree/Major Designations**

Doctor of Philosophy

**Mode of Delivery**

Single institution

**Projected Enrollments by Year Five**

Table 1 details enrollment and graduation projections for the first five years after program implementation. In year one it is anticipated that students currently enrolled in the existing Ph.D. in Mathematics Atmospheric Science option will transfer to the new program. By the end of year five, it is expected that five new students will have enrolled in the program and five students will have graduated from the program. In the last ten years, there has been less than 5 percent attrition of students seeking the Atmospheric Science option in the Ph.D. in Mathematics at UW-Milwaukee; thus, minimal attrition is expected.

**Table 1. Enrollment and graduation projections from Years 1 to 5**

	Year 1	Year 2	Year 3	Year 4	Year 5
New students	1	1	1	1	1
Continuing students	3	3	3	3	3
Total enrollment	4	4	4	4	4
Graduating students	1	1	1	1	1

## **Tuition Structure**

For students seeking the Ph.D. in Atmospheric Science and who have not become dissertators, standard tuition and fee rates apply. For the current academic year, residential tuition and segregated fees total \$5,894.26 per semester for a full-time student enrolled in eight credits per semester. Non-resident tuition and segregated fees total \$12,412.74 per semester for a full-time student enrolled in eight or more credits per semester. Of these amounts, \$700.90 is attributable to segregated fees. For students who have become dissertators, for the current academic year, residential tuition and segregated fees total \$4,464.66 per semester for a full-time student enrolled in eight credits per semester. Non-resident tuition and segregated fees total \$6,064.66 per semester for a full-time student enrolled in eight or more credits per semester. Of these amounts, \$700.90 is attributable to segregated fees. Students supported as Research or Teaching Assistants, regardless of dissertator status, receive a full tuition waiver and are thus responsible only for payment of segregated fees.

## **Department or Functional Equivalent**

Department of Mathematical Sciences

## **College, School, or Functional Equivalent**

College of Letters and Science

## **Proposed Date of Implementation**

August 2017

## **INTRODUCTION**

### **Rationale and Relation to Mission**

[UW-Milwaukee's Select Mission Statement](#) emphasizes the development and maintenance of high-quality undergraduate, graduate, and continuing education programs that are appropriate to a major urban doctoral university; engage in a sustained research effort to enhance and fulfill the university's role as a doctoral institution of academic and professional excellence; will attract highly-qualified students who demonstrate the potential for intellectual development, innovation, and leadership for their communities; and will serve and collaborate with the state of Wisconsin, its metropolitan areas, and the University of Wisconsin System.

[UW-Milwaukee's Strategic Plan](#) emphasizes the graduation of highly-skilled individuals at all levels and the generation of societally-relevant scholarship that is recognized within the global research community. The proposed program will support a research environment to promote and grow research impact, including focused research clusters such as the atmospheric and related sciences and the development and delivery of relevant, engaging, innovative, and distinctive academic programs.

The [UW-Milwaukee Atmospheric Science Program](#) is comprised of a group of scholars, including six faculty members, who engage in a wide array of distinguished, societally-relevant research that is currently supported by over \$3 million in external funding. Faculty are world-renowned researchers in their areas of expertise. The program has a history of innovation in both

education and research. The Innovative Weather program and the first-of-its-kind “Air Pollution and Ancient Cultures,” a faculty-led study abroad course, are two representative examples of innovative educational opportunities. Students graduating from the program, particularly with graduate degrees, have a long history of acquiring gainful employment with top-tier public and private sector institutions in Wisconsin and beyond.

The proposed program will replace the existing Atmospheric Science option in the Ph.D. in Mathematics offered by the UW-Milwaukee Department of Mathematical Sciences. Pursuing a Ph.D. in Atmospheric Science will prepare students for a post-graduation research-focused career in academia, government, or the private sector. An earned Ph.D. reflects that graduates have become experts within their chosen sub-discipline of atmospheric science. The existing Atmospheric Science option to the Ph.D. in Mathematics at UW-Milwaukee is not well aligned with employer expectations for degree holders. Students in the existing program are required to complete 12 credits in applied computational mathematics and mathematical analysis and to specialize in at least one area of mathematics. This requires students to invest substantial effort on courses addressing topics not often used in most sub-disciplines of the field, with an equivalent reduction in effort spent on relevant coursework and dissertation research. Programmatic changes accompanying the proposed degree will better align the curriculum with employer expectations for degree holders.

Further, despite a strong track record of success, UW-Milwaukee’s program suffers from poor visibility due to its location in the Department of Mathematical Sciences. This is an atypical arrangement for a graduate-level Atmospheric Science program, making it difficult to recruit the best-possible prospective graduate students and limiting local, regional, and national program exposure. In turn, these limitations impact the quality of research that faculty can conduct with students, therein hindering the ability of the institution to attract and maximize external funding. The proposed Ph.D. in Atmospheric Science will enable the program to progress the institutional mission of UW-Milwaukee, particularly those elements relating to student recruitment, research excellence, and educational leadership. The outcomes will contribute to maintaining UW-Milwaukee’s Research 1 (R1) classification. Further, minor programmatic changes proposed herein will better align academic requirements with those expected by prospective employers.

### **Need as Suggested by Current Student Demand**

Entering the 2016-17 academic year, there are two degree-seeking students enrolled in the Atmospheric Science option in the Ph.D. in Mathematics at UW-Milwaukee. In previous years, there were three degree-seeking students enrolled in both academic years 2014-15 and 2015-16, and one to three degree-seeking students enrolled in the academic years dating back to 2006-07.

## **Need as Suggested by Market Demand**

According to the 2014-15 United States Bureau of Labor Statistics Occupational Outlook Handbook,<sup>1</sup> 36 percent of individuals employed as atmospheric or space scientists are employed within the private sector; 29 percent are employed by the federal government, primarily by the National Weather Service; 19 percent are employed by an academic institution; and 8 percent are employed in broadcasting. Increasingly, an advanced degree is required for graduates to be competitive in the field. The Occupational Outlook Handbook states, “Workers with a graduate degree should enjoy better prospects than those whose highest level of education is a bachelor’s degree.”

At the 19<sup>th</sup> Biennial American Meteorological Society and American Geophysical Union Heads and Chairs Meeting, held in Boulder, Colorado in 2014, 29 chairs of atmospheric science academic programs in the United States were surveyed with respect to programmatic enrollment trends. Of the 23 programs that offer M.S. degrees, 87 percent indicated that program enrollments are steady, increasing gradually, or increasing rapidly. Job prospects for M.S. degree recipients were subjectively rated as strong.

The primary occupational classification for atmospheric scientists with an earned M.S. degree is Atmospheric and Space Scientists (SOC Code 19-2021). For the period 2012-2022, the Wisconsin Department of Workforce Development occupational projections indicate a 7.51-percent increase in employment, from 213 in 2012 to a projected 229 in 2022, outpacing that for all occupations (7.14 percent).<sup>2</sup> Seven average annual openings are projected, with two due to growth and five due to replacements. Annual wages at the 25<sup>th</sup>, 50<sup>th</sup>, 75<sup>th</sup>, and 90<sup>th</sup> percentiles are 1.6 to 2.6 times their respective values for all occupations. Nationwide, for the period 2014-2024, data from the United States Bureau of Labor Statistics projects a 9-percent increase in employment, from 11,800 in 2014 to 12,900 in 2024, again outpacing that for all occupations (7 percent).<sup>3</sup> For Atmospheric, Earth, Marine, and Space Sciences Teachers, Postsecondary, employment is projected to increase from 13,200 in 2014 to 14,300 in 2024.

## **Emerging Knowledge and Advancing New Directions**

Atmospheric science is a discipline at the forefront of the “big data” movement. The rate at which new data from observations and numerical model simulations is generated to advance predictive abilities and fundamental understanding outpaces the ability to interpret the data using existing techniques. The proposed degree leverages existing programmatic strength to develop an educated workforce that is well prepared to solve the challenges posed and to take advantage of the opportunities provided by “big data” in the atmospheric and related sciences. Examples include catastrophe modeling, risk assessment, and analysis of renewable resources. Students

---

<sup>1</sup> United States Department of Labor, Bureau of Labor Statistics Occupational Outlook Handbook (2014-15). Retrieved from <https://www.bls.gov/ooh/life-physical-and-social-science/atmospheric-scientists-including-meteorologists.htm>.

<sup>2</sup> Wisconsin Department of Workforce Development Office of Economic Advisors. Retrieved from [http://worknet.wisconsin.gov/worknet\\_info/downloads/OCCPRJ/lt\\_occ\\_2012.xlsx](http://worknet.wisconsin.gov/worknet_info/downloads/OCCPRJ/lt_occ_2012.xlsx).

<sup>3</sup> United States Department of Labor, Bureau of Labor Statistics Occupational Outlook Handbook (2014-15). Retrieved from <http://www.bls.gov/ooh/life-physical-and-social-science/atmospheric-scientists-including-meteorologists.htm>.

enrolled in the proposed program may elect to complete a two-course sequence in statistical analysis and interpretation of geophysical data sets and a special topics course in data analytics applied to the atmospheric sciences. Further, program faculty in recent years have received external funding to support the application of predictive data analytics, distributed infrastructure, and cloud computing for weather prediction. As a result, the proposed degree will well position UW-Milwaukee to advance new directions within the field.

## **DESCRIPTION OF PROGRAM**

### **Institutional Program Array**

At present, UW-Milwaukee offers seven Ph.D. degrees in natural science disciplines: Biological Sciences, Chemistry, Engineering, Freshwater Sciences, Geosciences, Mathematics, and Physics. There is no academic programmatic overlap, existing or planned, among these programs, and the proposed Ph.D. in Atmospheric Science. Moreover, because Atmospheric Science is multidisciplinary by nature, graduate coursework in Freshwater Sciences, Mathematics, and to a lesser extent Chemistry, Communication, English, Geography, Geosciences, and Physics will benefit students seeking an Atmospheric Science Ph.D. Student interests in these areas will be accommodated through standard degree requirements. In turn, graduate courses in Atmospheric Science may be of benefit to degree-seeking students in Freshwater Sciences and Mathematics. In research, significant potential for interdisciplinary research collaboration exists between Atmospheric Science and Freshwater Sciences.

### **Other Programs in the University of Wisconsin System**

In the UW System, only UW-Madison offers a Ph.D. degree program in the atmospheric or related sciences. UW-Madison offers programmatic expertise in aerosol, air-sea interaction, biogeochemistry, ecology and biosphere-atmosphere interactions, middle atmosphere dynamics, polar meteorology, radiative transfer, remote sensing, satellite meteorology, and tropical convection. UW-Milwaukee has unique programmatic expertise in cloud parameterization, data analytics, non-linear data analysis, and systems modeling. Where shared research expertise exists in specialties represented in a supermajority of graduate atmospheric science programs, specific research foci differ between the faculty at each institution. Further, centers or programs located at each campus are unique. At UW-Madison, programs include the Cooperative Institute for Meteorological Satellite Studies, Nelson Institute for Environmental Studies, Space Science and Engineering Center, and Wisconsin State Climatology Office. At UW-Milwaukee, there are the Innovative Weather program and the School of Freshwater Sciences. With the exception of minor research overlap between the Nelson Institute for Environmental Studies and the School of Freshwater Sciences, these are unique programs with which faculty and students at their respective institutions have active research collaborations.

### **Collaborative Nature of the Program**

In the Intent to Plan stage of this process, faculty at UW-Madison and UW-Milwaukee jointly identified areas of potential collaboration. To leverage each program's respective expertise, parallel course offerings may be considered, with video conferencing and alternating on-campus meetings fostering interaction between institutions. A joint research symposium alternating between the two campuses would allow students and faculty to discuss potential

collaborations. Faculty at both institutions are involved with proposed field experiments in Wisconsin that offer the opportunity to expose students to a more diverse range of field study than possible at only one institution. Collaborative efforts to recruit prospective graduate students at professional conferences may lead to the attraction of higher-quality students to each program. A coordinated effort to encourage prospective graduate students at one institution to apply to the other institution when shared research interests exist may have a similar effect.

## **Diversity**

According to the [National Science Foundation](#), from 2002-2012, 31.4 percent of earned Ph.D. in Atmospheric Science degrees in the United States were awarded to women and 17.7 percent were awarded to persons from ethnic or racial minority groups.<sup>4</sup> By comparison, from 2000-2016, 42.9 percent of earned Ph.D. in Mathematics, Atmospheric Science option, degrees at UW-Milwaukee were awarded to women and 57.1 percent were awarded to persons from ethnic or racial minority groups. Internal and external efforts to maintain diversity in the graduate ranks in this and other STEM-related programs have been proposed. The UW-Milwaukee [STEM-Inspire](#), [Wisconsin Alliance for Minority Participation](#), and [McNair](#) initiatives seek to improve retention and persistence in science, technology, engineering, and mathematics (STEM) fields of students from underrepresented backgrounds. Externally, the [Significant Opportunities in Atmospheric Research and Science](#) program seeks to broaden participation of students from underrepresented backgrounds at the graduate level via engagement in intensive research, mentorship, and community activities. Events such as the [Undergraduate Leadership Workshop](#) afford students the opportunity to explore atmospheric science careers and develop their leadership potential.

UW-Milwaukee will identify students who would benefit from participation in one or more of these initiatives early in students' academic careers. Faculty mentors will be identified to provide individual guidance specific to achievement within the major and matriculation to the graduate program. As feasible, funding from the UW-Milwaukee Office of Undergraduate Research will be sought to support these students as undergraduate research assistants to engage them in activities similar to those that they would complete if they were to attend graduate school. These integrated efforts offer the potential of increasing diversity through improved matriculation of students to graduate-level study. Success at accomplishing this goal is likely to increase the appeal of UW-Milwaukee's program to students from underrepresented backgrounds at other institutions, further increasing diversity.

## **Student Learning Outcomes and Program Objectives**

Reflecting sufficient preparation for gainful post-graduation employment, students who obtain the Ph.D. in Atmospheric Science degree at UW-Milwaukee will:

1. Demonstrate the ability to conduct independent, cutting-edge research that, through the application of existing and development of novel theory and methods, results in one or more original contributions to understanding in the atmospheric sciences. This

---

<sup>4</sup> National Science Foundation, 2017. Women, Minorities, and Persons with Disabilities in Science and Engineering. Retrieved from <http://www.nsf.gov/statistics/wmpd/>.

- requires demonstrated criticality and creativity of thought and mastery of appropriate analysis, interpretation, and synthesis techniques.
2. Demonstrate broad knowledge of fundamental tenets in the atmospheric sciences and advanced knowledge of existing understanding and future directions specific to the chosen research specialization in the atmospheric sciences.
  3. Demonstrate the ability to clearly and effectively communicate, in multiple media, fundamental tenets of the atmospheric sciences and specialized research findings to diverse audiences, including students, professionals, and the general public.

### **Assessment of Objectives**

Institutional program review is described in the Institutional Review section below. At the program level, multiple measures are used to assess success relative to program objectives, specifically:

1. The outcome relating to independent research will be assessed through evaluation of the quality of each student's dissertation research by a five-member evaluation committee.
2. The outcome relating to advanced knowledge and specialization will be assessed through evaluation of the quality of each student's dissertation research by a five-member evaluation committee, performance on the doctoral preliminary examination, and performance on any completed coursework.
3. The outcome relating to communication across media and audiences will be assessed through evaluation of the quality of the oral and written components of each student's dissertation proposal hearing, dissertation defense, course assignments, and presentation of research at departmental seminars and professional conferences. For students who are teaching assistants, student, peer, and supervisor teaching evaluations will be used as part of this assessment.

Informal evaluation of student progress toward all student learning outcomes will be periodically conducted by the student's major professor, who will provide the results to both the student and the Atmospheric Science program coordinator. Exit interviews and post-graduation surveys will be used to acquire feedback as to the perceived effectiveness of program initiatives.

### **Program Curriculum**

Students seeking admission to the Ph.D. in Atmospheric Science degree program must meet all UW-Milwaukee Graduate School admission requirements. An earned Master of Science degree is not a prerequisite for admission; however, it is expected that most applicants will have an earned Master of Science degree in Atmospheric Science or a closely-related discipline. GRE General Test scores are recommended but not required. Entering students without an earned Master of Science degree should have a general background in both physics and mathematics, including calculus and ordinary differential equations. Students who lack this background may be admitted provided that the deficiencies amount to no more than two courses, and deficiencies must be made up within three enrolled semesters of graduate study.



Students enrolled in the Ph.D. in Atmospheric Science program must complete a total of fifty-four (54) graduate credits beyond the bachelor's degree with at least twenty-seven (27) earned in residence at UW-Milwaukee. As part of their 54 credits, students admitted directly to the Ph.D. program without an earned Master of Science in Atmospheric Science must complete the following twenty-four (24) credits: twelve (12) earned at the Atmospheric Science (Atm Sci) course level of 700-level or greater, six (6) in approved graduate elective courses, and six (6) in either Math 601 and Math 602 *or* Atm Sci 500 and Atm Sci 950 (as "Topics in Statistical Analysis and Interpretation of Geophysical Data Sets: Part II"). Students admitted to the Ph.D. program with an earned Master of Science in Atmospheric Science have fulfilled these requirements. In consultation with their major professor, students are expected to identify additional graduate courses that benefit their research and/or professional development; however, no specific coursework is required. It is expected that some, if not most, students will elect to supplement their formal Atmospheric Science coursework with formal coursework from other curricular areas. With the approval of the student's major professor, any graduate-level course at UW-Milwaukee may fulfill degree requirements.

To qualify for dissertator status, students must successfully pass a preliminary examination in Atmospheric Science, focusing on three sub-disciplines of the field, and complete a dissertation proposal hearing. The preliminary exam must be attempted prior to the start of the third year of study, and students who fail the exam will be permitted one opportunity to retake the exam. Both the preliminary examination and dissertation proposal hearing must be completed no later than the end of the student's fourth year of study. To receive the degree, students, under the direction of a major professor and the supervision of a five-member evaluation committee, must complete and successfully defend a dissertation representing an original contribution to the field of sufficient caliber for publication in a peer-reviewed journal. The evaluation committee is to be comprised of four Atmospheric Science graduate faculty members and one member external to the program.

Formal courses in Atmospheric Science that may be taken for graduate credit are listed below. Only courses offered in the last ten years are listed. All courses award three credits unless otherwise denoted.

<b>Atm Sci 330</b>	Air Pollution Meteorology
<b>Atm Sci 350</b>	Atmospheric Thermodynamics
<b>Atm Sci 351</b>	Dynamic Meteorology I
<b>Atm Sci 352</b>	Dynamic Meteorology II
<b>Atm Sci 360</b>	Synoptic Meteorology I (4 cr)
<b>Atm Sci 361</b>	Synoptic Meteorology II (4 cr)
<b>Atm Sci 460</b>	Mesoscale Circulations
<b>Atm Sci 464</b>	Cloud Physics
<b>Atm Sci 470</b>	Tropical Meteorology
<b>Atm Sci 480</b>	The General Circulation and Climate Dynamics
<b>Atm Sci 497</b>	Study Abroad: (Subtitled)
<b>Atm Sci 500</b>	Statistical Methods in Atmospheric Sciences
<b>Atm Sci 505</b>	Micrometeorology

<b>Atm Sci 511</b>	Seminar in Atmospheric Radiation and Remote Sensing
<b>Atm Sci 690</b>	Seminar in Atmospheric Sciences
<b>Atm Sci 705</b>	Air Pollution Modeling
<b>Atm Sci 711</b>	Cloud Dynamics
<b>Atm Sci 750</b>	Nonlinear Time Series Analysis
<b>Atm Sci 761</b>	Advanced Synoptic/Mesoscale Meteorology
<b>Atm Sci 950</b>	Seminar on Topics in Atmospheric Sciences

### **Projected Time to Degree**

Entering full-time students with an earned Master of Science degree are expected to complete all degree requirements within three to four years of first enrollment. Entering full-time students without an earned Master of Science degree are expected to complete all degree requirements within five to six years of first enrollment. All degree requirements must be completed within ten years of first enrollment, consistent with UW-Milwaukee's campus-wide policy.

### **Institutional Review**

The Sub-Committee on Graduate Program Reviews of the Graduate Faculty Committee supervises a systematic and continuing review of existing graduate programs at UW-Milwaukee. The procedures for qualitative reviews of graduate programs at UW-Milwaukee are described in detail in [Graduate Faculty Committee Document No. 951](#). In brief, graduate program reviews are conducted to assess and ensure the continuity of the quality of each graduate program; provide the Graduate Faculty Committee with a basis for evaluating proposals to expand, modify, or discontinue programs; and guide deans and the Provost in administrative decision-making and reporting related to graduate programs.

New graduate programs will undergo full-scale reviews involving external consultant site visits five years after implementation. Findings will be provided to UW System Administration as required for the first review of new academic programs. Continuing graduate programs undergo reviews using external consultants every ten years after the initial program review. Five years after closure of the most recent program review, graduate programs are required to provide a mid-cycle status report discussing the implementation of the recommendations adopted by the Graduate Faculty Committee in the last program review.

Program reviews are conducted by an internal review team, composed of two members of the graduate faculty, and at least two external consultants expert in the discipline. Each program is required to submit a self-study and supplementary documentation at least six weeks prior to a site visit by the external consultants. The self-study provides the program with the opportunity to evaluate all facets of program operation and outcomes; engage in critical self-examination; and formulate curricular and research objectives, benchmarks, and milestones for the next ten years. Included in the self-study are a description and evaluation of the program, its faculty, students, curriculum, outcomes and assessment thereof; the research and scholarship environment and productivity therein; resources; and additional supplementary information.

External consultants jointly prepare a report submitted to the Graduate School within four to six weeks of the site visit. This report contains general conclusions about the state of the graduate program, specific recommendations for action and a statement of rationale for each, and an analysis of the program's major strengths to be maintained and weaknesses to be addressed. Programs are permitted the opportunity to respond to the consultants' report before submission to and evaluation by the Graduate Faculty Committee. The Provost, Dean and Associate Dean of the relevant School or College, as well as the Dean of the Graduate School, then meet to discuss implementation and prioritization of the Graduate Faculty Committee's recommendations.

**Accreditation**

There exists no accrediting authority for atmospheric science graduate degrees.

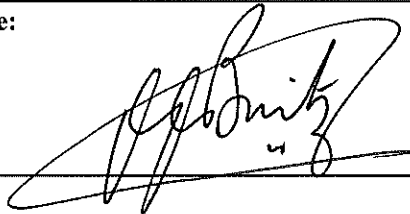
**University of Wisconsin - Milwaukee**  
**Cost and Revenue Projections For Newly Proposed Ph.D. in Atmospheric Science**

	Items	Projections				
		2017	2018	2019	2020	2021
		Year 1	Year 2	Year 3	Year 4	Year 5
<b>I</b>	<b>Enrollment (New Student) Headcount</b>	1	2	1	1	2
	<b>Enrollment (Continuing Student) Headcount</b>	1	1	3	3	2
	<b>Enrollment (New Student) FTE</b>	1	2	1	1	2
	<b>Enrollment (Continuing Student) FTE</b>	1	1	3	3	2
<b>II</b>	<b>Total New Credit Hours (# new sections x credits per section)</b>	14	42	56	56	56
	<b>Existing Credit Hours</b>	14	0	0	0	0
<b>III</b>	<b>FTE of New Faculty/Instructional Staff</b>	0	0	0	0	0
	<b>FTE of Current Fac/IAS</b>	6	6	6	6	6
	<b>FTE of New Admin Staff</b>	0	0	0	0	0
	<b>FTE Current Admin Staff</b>	0.5	0.5	0.5	0.5	0.5
<b>IV</b>	<b>New Revenues</b>					
	<i>From Tuition (new credit hours x 649.17/credit)</i>	\$9,088	\$27,265	\$36,354	\$36,354	\$36,354
	<i>From Fees</i>					
	<i>Program Revenue - Other</i>	\$0	\$0	\$0	\$0	\$0
	<i>Reallocation</i>	\$0	\$0	\$0	\$0	\$0
	<b>Total New Revenue</b>	\$9,088	\$27,265	\$36,354	\$36,354	\$36,354
<b>V</b>	<b>New Expenses</b>					
	<b>Salaries plus Fringes</b>					
	<i>Faculty/Instructional Staff</i>	\$0	\$0	\$0	\$0	\$0
	<i>Other Staff</i>	\$0	\$0	\$0	\$0	\$0
	<b>Other Expenses</b>					
	<i>Facilities</i>	\$0	\$0	\$0	\$0	\$0
	<i>Equipment</i>	\$0	\$0	\$0	\$0	\$0
	<i>Other:</i>	\$2,000	\$2,000	\$2,000	\$2,000	\$2,000
	<b>Total Expenses</b>	\$2,000	\$2,000	\$2,000	\$2,000	\$2,000
<b>VI</b>	<b>Net Revenue</b>	\$7,088	\$25,265	\$34,354	\$34,354	\$34,354

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

- I. Existing students in Yr 1 indicates current enrollment in the concentration in PhD in Mathematics
- II. Credit Hours assumes 7 graduate credits per student per semester.
- III. Current Admin Staff are supported in the Dept. of Mathematical Sciences. The 0.25 FTE is an estimate of the duties that are in direct support of PhD in Atmospheric Science program
- IV: Tuition revenue calculated at in-state rate for credit hours generated by new students. In the first year, credit hours generated by currently admitted students in the concentration in the PhD in Mathematics are shown as existing credit hours
- V. Other expenses reflects costs associated with prospective student recruitment events and materials.

**Provost's Signature:**



**Date:**

03.06.17

UNIVERSITY OF WISCONSIN - MILWAUKEE  
COST AND REVENUE PROJECTIONS NARRATIVE  
PH.D. IN ATMOSPHERIC SCIENCE

The University of Wisconsin-Milwaukee proposes to establish a Doctor of Philosophy (Ph.D.) in Atmospheric Science. The proposed program will be comprised of 54 credits beyond the bachelor's degree and will replace the existing Atmospheric Science option to the Ph.D. in Mathematics.

**Section I – Enrollment**

Anticipated enrollments classified as continuing student headcount and FTE in year one are based on current student enrollment in the Ph.D. in Mathematics concentration in Atmospheric Science. It is anticipated that these students will enroll in the proposed Ph.D. in Atmospheric Science, once implemented.

**Section II – Credit Hours**

New credit hours are those attributable to first-time enrollees in the program. Continuing credit hours are attributable to students already enrolled in the Atmospheric Science concentration in the Ph.D. in Mathematics. Credit hours listed in the template assumes 7 credit hours per student FTE per semester.

**Section III – Faculty and Staff Appointments**

No new faculty and staff appointments are anticipated. Delivery of instructional, student, and administrative services attributable to the major will be provided through the contributions of six FTE faculty and the proportional .25 FTE contribution of one current administrative support staff supported by the Department of Mathematic Sciences.

**Section IV – Program Revenues**

Tuition revenues are calculated using the in-state per credit tuition rate of \$649.17 per credit, and applied to new student credit hours. As indicated in Section II, new student credit hours are attributable to first-time enrollees to UW-Milwaukee and the proposed program.

**Section V – Program Expenses**

All of the courses required to support the proposed Ph.D. in Atmospheric Science will be delivered by current faculty, and administrative support will be provided by current staff. Therefore, no additional faculty or staff salary and fringe expenses will be incurred in the first five years of the program. Other expenses reflect costs associated with prospective student recruitment events and materials.

**Section VI – Net Revenue**

Net revenues will be reallocated to support existing direct and indirect program expenses.



**Academic Affairs**

Chapman Hall 230  
P.O. Box 413  
Milwaukee WI 53201-0413  
414-229-4503 *phone*  
414-229-4929 *fax*  
[www3.uwm.edu/dept/acad\\_aff/](http://www3.uwm.edu/dept/acad_aff/)

March 6, 2017

To: Ray Cross, President, University of Wisconsin System

From: Johannes J. Britz, Provost and Vice Chancellor *JB*

Re: Authorization to implement a Doctor of Philosophy in Atmospheric Sciences

Per UW System guidelines for new program development, I am writing to you to assure the support of the University of Wisconsin – Milwaukee for the proposed Doctor of Philosophy in Atmospheric Sciences.

UWM has offered the Atmospheric Science submajor in the Ph.D. in Mathematics program since 2000. Over the years, the program has had stable enrollment. However, the exposure of the program to prospective students and funding agencies has been limited as it is an option within the Mathematics degree. The requested approval of this program will provide advantages to both students and faculty in securing fellowships and grants as well as increase the employability of the graduates in their chosen field. The program projects a net revenue generation based on reasonable projections on enrollment.

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

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

c: James Henderson, Vice President, UWSA Academic and Student Affairs  
Diane Treis-Rusk, UWSA Academic and Student Affairs  
David Clark, Acting Dean, College of Letters and Science  
Dev Venugopalan, Vice Provost, UWM Academic Affairs

Program Authorization (Implementation)  
Doctor of Philosophy in Epidemiology  
UW-Milwaukee

EDUCATION COMMITTEE

Resolution I.1.e:

That, upon the recommendation of the Chancellor of the University of Wisconsin-Milwaukee and the President of the University of Wisconsin System, the Chancellor is authorized to implement the Doctor of Philosophy in Epidemiology.

**NEW PROGRAM AUTHORIZATION  
DOCTOR OF PHILOSOPHY IN EPIDEMIOLOGY  
UNIVERSITY OF WISCONSIN-MILWAUKEE**

**EXECUTIVE SUMMARY**

**BACKGROUND**

The University of Wisconsin-Milwaukee submits this request to establish a Doctor of Philosophy Degree in Epidemiology. This proposal is presented in accord with the procedures outlined in Academic Planning and Program Review (ACIS 1.0, revised May 2016, available at <https://www.wisconsin.edu/program-planning/>).

**REQUESTED ACTION**

Adoption of Resolution I.1.e, approving the implementation of the Doctor of Philosophy degree in Epidemiology proposed by the University of Wisconsin-Milwaukee.

**DISCUSSION**

**Mission.** The proposed Ph.D. in Epidemiology program furthers the mission of the UW System by providing education and fostering research intended to “improve the human condition.” The program also extends UW-Milwaukee’s institutional mission as “a major urban doctoral university” that develops and maintains high-quality graduate programs appropriate to a major urban doctoral university and that engages in a sustained research effort to achieve academic and professional excellence. Implementation will further support the mission of the Zilber School to “advance population health, health equity, and social and environmental justice among diverse communities in Milwaukee, the state of Wisconsin, and beyond.”

**Program Description.** As one of the fundamental disciplines in the field of public health, a Ph.D. in Epidemiology will raise the national profile of UW-Milwaukee’s Zilber School, and position UW-Milwaukee as a state and national leader in doctoral training in epidemiology. The program will respond to on-going public health challenges in Wisconsin, as well as critical state and national workforce needs. The UW-Milwaukee Zilber School is also under review to become the first accredited school of public health in Wisconsin. The proposed program will be comprised of 75 credits and will meet requirements outlined by the national Council on Education for Public Health (CEPH). The program will provide students with advanced epidemiological training at a top-tier Research 1 (R1)-designated public university that is located in a diverse urban setting. Students will acquire rigorous theoretical and methodological training needed to conduct independent research to examine the distribution and determinants of health, and will be able to translate epidemiologic findings to public health policy. Graduates will be prepared for multiple career paths in academia, non-governmental organizations, and public service at all levels of government.

**Market and Student Demand.** According to the U.S. Department of Labor, Bureau of Labor Statistics, national employment of epidemiologists is projected to grow 6 percent from



2014 to 2024. Furthermore, the 2009 National Assessment of Epidemiology Capacity (ECA) completed by the Council of State and Territorial Epidemiologists (CSTE) found that the proportion of state health department epidemiologists intending to retire or change careers over the next five years increased to 17 percent, up from 11 percent in 2006. Considering attrition, the ECA estimated a need for 1,374 epidemiologists in the U.S., by 2013, a 50-percent increase.<sup>1</sup> Finally, there is clear demand for advanced training in epidemiology from public health workers across the U.S. The *2013 Council of State and Territorial Epidemiologists Epidemiology Capacity Assessment* (CSTE) report indicated that more than 30 percent of current epidemiologists at the entry and mid-levels expressed a need for additional training.<sup>2</sup>

According to *The Association of Schools and Programs of Public Health* (ASPPH),<sup>3</sup> there are currently 16 institutions nationally that offer undergraduate programs in public health, of which three are in the Midwest, including the: University of Illinois at Chicago, University of Kentucky, and Saint Louis University. The Ph.D. Epidemiology program at the Zilber School will be the only such program in a CEPH-accredited school of public health in Wisconsin. Currently, every other Midwestern state has at least one CEPH-accredited Epidemiology Ph.D. program. Moreover, the program will be located at a public university with a direct mission to increase diversity among students in higher education.

It is anticipated that the program will appeal to both Wisconsin and out-of-state undergraduates and master's students, as well as health care professionals and public health practitioners seeking additional training, due to its unique focus in the diverse, urban Milwaukee community, UW-Milwaukee's status as an R1 research-designated public university, and its accessible tuition structure. The strongest demand for the program is expected to be from Zilber School MPH graduates and students. It is also anticipated that once authorized, interest will emerge from MPH students enrolled in other regional programs at UW-Madison, UW-La Crosse, the on-line MPH program at the Medical College of Wisconsin, from regional schools of public health, including the University of Illinois at Chicago and University of Minnesota Schools of Public Health, as well as students from other national MPH and master's programs.

**Credit Load and Tuition.** Students must complete 66 graduate credits beyond the bachelor's degree, plus an additional 9 credits dedicated toward dissertation writing and research. Completion of a high-quality doctoral dissertation based on original research is a key feature of the academic program. Students' capacity to complete dissertation research will be supported by a rigorous curriculum designed to bring students to the intellectual forefront of the discipline.

The program will use the tuition structure for residential delivery of graduate-level coursework at UW-Milwaukee. Tuition and fees for graduate students who are Wisconsin residents and enrolled full-time currently are \$5,894.26 for Wisconsin residents and \$12,412.74 for non-residents, per semester, of which \$700.90 is attributable to segregated fees. Tuition costs

---

<sup>1</sup> Council of State and Territorial Epidemiologists, *2013 National Assessment of Epidemiology Capacity*, December 2014, <http://www.cste2.org/2013eca/CSTEEpidemiologyCapacityAssessment2014-final2.pdf>.

<sup>2</sup> Council of State and Territorial Epidemiologists, *2013 National Assessment of Epidemiology Capacity*, December 2014, <http://www.cste2.org/2013eca/CSTEEpidemiologyCapacityAssessment2014-final2.pdf>.

<sup>3</sup> Association of Schools & Programs of Public Health, "Academic Program Finder," last modified 2016, <http://www.aspph.org/program-finder/>.

for graduate students who achieve dissertator status and are enrolled in three credits is \$1,411.23 for residents and \$2,011.41 for non-residents, per semester, plus segregated fees as listed above. Online course tuition will be assessed separately at a flat rate of \$2,500 per three-credit course for both resident and non-resident students.

**Program Funding and Management.** No new faculty and staff appointments are anticipated within the first five years of the program.

## **RELATED REGENT AND UW SYSTEM POLICIES**

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

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

**REQUEST FOR AUTHORIZATION TO IMPLEMENT A  
DOCTOR OF PHILOSOPHY IN EPIDEMIOLOGY  
AT UW-MILWAUKEE  
PREPARED BY UW-MILWAUKEE**

**ABSTRACT**

The UW-Milwaukee Joseph J. Zilber School of Public Health (Zilber School) proposes to establish a Doctor of Philosophy (Ph.D.) in Epidemiology. The program will respond to ongoing public health challenges in Wisconsin, as well as critical state and national workforce needs. The UW-Milwaukee Zilber School is also under review to become the first accredited school of public health in Wisconsin. The proposed program will be comprised of 75 credits and will meet requirements outlined by the national Council on Education for Public Health (CEPH). The program will provide students with advanced epidemiological training at a top-tier Research 1 (R1)-designated public university that is located in a diverse urban setting. Students will acquire rigorous theoretical and methodological training needed to conduct independent research to examine the distribution and determinants of health, and will be able to translate epidemiologic findings to public health policy. Graduates will be prepared for multiple career paths in academia, non-governmental organizations, and public service at all levels of government.

**PROGRAM IDENTIFICATION**

**Institution Name**

University of Wisconsin-Milwaukee

**Title of Proposed Program**

Epidemiology

**Degree/Major Designations**

Doctor of Philosophy (Ph.D.)

**Mode of Delivery**

Single institution. Residential program at UW-Milwaukee consisting of classroom and some technology-based/online instruction as well as faculty-guided student conduct of independent research.

**Projected Enrollments by Year Five**

Table 1 details enrollment and graduation projections for the first five years after program implementation. Three students will be admitted in Fall 2017, and two students every year thereafter. The expected time to graduation for full-time students is 4.5 years post-bachelor's degree and 3.5 years post-Master's in Public Health (MPH) degree. It is expected that three to five students will graduate from the program by the end of year five. Given program retention data for other Zilber School Ph.D. programs, it is expected that the attrition rate for the program will be minimal and the program will enroll a mix of in-state (50 percent) and out-of-state (50 percent) students.

**Table 1: Enrollment and graduation projections from Years 1 to 5**

	Year 1	Year 2	Year 3	Year 4	Year 5
New students	3	2	2	2	2
Continuing students	0	2	4	6	5
Total enrollment	3	4	6	8	7
Graduating students	0	0	0	2	3

**Tuition Structure**

The program will use the tuition structure for residential delivery of graduate-level coursework at UW-Milwaukee. Tuition and fees for graduate students who are Wisconsin residents and enrolled full-time currently are \$5,894.26 for Wisconsin residents and \$12,412.74 for non-residents, per semester, of which \$700.90 is attributable to segregated fees. Tuition costs for graduate students who achieve dissertator status and are enrolled in three credits is \$1,411.23 for residents and \$2,011.41 for non-residents, per semester, plus segregated fees as listed above. Online course tuition will be assessed separately at a flat rate of \$2,500 per three-credit course for both resident and non-resident students.

**Department or Functional Equivalent**

Joseph J. Zilber School of Public Health, which is not divided into departments.

**College, School, or Functional Equivalent**

Joseph J. Zilber School of Public Health

**Proposed Date of Implementation**

Fall 2017

**INTRODUCTION****Rationale and Relation to Mission**

The proposed Ph.D. in Epidemiology will meet critical workforce development needs, and will further the Zilber School's mission to address population health and health equity in Wisconsin and beyond. Characterized by the national Centers for Disease Control and Prevention (CDC) as the "basic science of public health," the Epidemiology Ph.D. program trains students to discern the determinants and distribution of diseases and health conditions at the population level, as well as the application of this research to the control of health problems.<sup>1</sup> As outlined in the most recent *Wisconsin Public Health Workforce Report*,<sup>2</sup> Wisconsin continues to face a shortage of competent and technically skilled public health workers, particularly in the face of an aging workforce. Wisconsin and Milwaukee continue to face challenges to achieving the benchmarks set by CDC's Healthy People 2020 initiative<sup>3</sup> and the Wisconsin Healthiest 2020

<sup>1</sup> Centers for Disease Control and Prevention, U.S. Department of Health and Human Services, "Principles of Epidemiology in Public Health Practice, Third Edition, An Introduction to Applied Epidemiology and Biostatistics," last modified May 18, 2012, <http://www.cdc.gov/ophss/csels/dsepd/ss1978/lesson1/section1.html>.

<sup>2</sup> Wisconsin Department of Health Services, Division of Public Health, Office of Health Informatics, Population Health Information Section, *Wisconsin Public Health Workforce Report, 2011 (P-45719-11)*, July 2011, <https://www.dhs.wisconsin.gov/publications/p4/p45719-11.pdf>.

<sup>3</sup> Office of Disease Prevention and Health Promotion, U.S. Department of Health and Human Services, "About Healthy People," September 2016, <https://www.healthypeople.gov/2020/About-Healthy-People>.

Plan<sup>4,5</sup>. *The Health of Wisconsin Report Card* published in 2013<sup>6</sup> graded the overall health of the people of Wisconsin a “B minus,” health disparities in Wisconsin a “D,” and the health of African Americans and populations in large urban areas (e.g., Milwaukee County) an “F.” Public health is the responsibility of the state, and trained epidemiologists are essential to protecting the health of Wisconsinites in the face of these documented and emerging health threats. The proposed Ph.D. program will be unique in its focus on translating epidemiologic findings into actionable interventions and policy strategies to promote population health and health equity, and will train leaders to address these challenges.

The proposed Ph.D. in Epidemiology program furthers the mission of the UW System by providing education and fostering research intended to “improve the human condition.” This program also extends UW-Milwaukee’s institutional mission as “a major urban doctoral university” and contributes to the goals from the UW-Milwaukee Select Mission (<http://www4.uwm.edu/discover/mission.cfm>) to develop and maintain high-quality graduate programs appropriate to a major urban doctoral university and engage in a sustained research effort which will enhance and fulfill the university’s role as a doctoral institution of academic and professional excellence. As one of the fundamental disciplines in the field of public health, a Ph.D. in Epidemiology will raise the national profile of UW-Milwaukee’s Zilber School, and position UW-Milwaukee as a state and national leader in doctoral training in epidemiology. The Ph.D. program will enhance UW-Milwaukee’s status as an R1 top-tier research university by providing students with the rigorous methodological and theoretical training needed to conduct independent research.

Implementation of the proposed program will support UW-Milwaukee’s mission to attract students who demonstrate aptitude for intellectual development, innovation, and leadership for their communities. Programming will promote public service and research to meet the social, economic and cultural needs of the state of Wisconsin and its metropolitan areas. Implementation will further support the mission of the Zilber School to “advance population health, health equity, and social and environmental justice among diverse communities in Milwaukee, the state of Wisconsin, and beyond [...]” by providing education through coursework in advanced epidemiologic methods, applied analytic skills for epidemiologic research and translation of epidemiologic findings to public health policies. Graduates will be prepared to engage with diverse communities, organizations, and government agencies and will develop rigorous, independent epidemiologic research that addresses current public health challenges.

### **Need as Suggested by Current Student Demand**

There is clear demand for advanced training in epidemiology from public health workers across the U.S. Findings of the *2013 Council of State and Territorial Epidemiologists Epidemiology Capacity Assessment* (CSTE) report indicated that more than 30 percent of current

---

<sup>4</sup> Wisconsin Department of Health Services. “Wisconsin State Health Plan - Healthiest Wisconsin 2020,” last modified March 14, 2016, <https://www.dhs.wisconsin.gov/hw2020/index.htm>.

<sup>5</sup> City of Milwaukee Health Department, *City of Milwaukee Community Health Assessment 2015-2016*.

<sup>6</sup> Wisconsin Center for Health Equity, *Healthiest Wisconsin 2020 Focus Area Profile*, April 2014, [http://www.wche.org/uploads/8/8/9/8/8898682/hw2020\\_health\\_disparities\\_focus\\_area\\_profile\\_20140421\\_final.pdf](http://www.wche.org/uploads/8/8/9/8/8898682/hw2020_health_disparities_focus_area_profile_20140421_final.pdf).

epidemiologists at the entry- and mid-levels expressed a need for additional training.<sup>7</sup> The Ph.D. in Epidemiology will offer the flexibility of academic or professional pathways. Coursework will support the production of highly trained professionals prepared to excel in academia and to lead real world change.

The Ph.D. Epidemiology program at the Zilber School will be the only such program in a CEPH-accredited school of public health in Wisconsin. Currently, every other Midwestern state has at least one CEPH-accredited Epidemiology Ph.D. program. CEPH accreditation provides students with the greatest access to employment and fellowship opportunities in public health. Moreover, the program will be located at a public university with a direct mission to increase diversity among students in higher education. It is anticipated that the program's unique focus in the diverse, urban Milwaukee community, UW-Milwaukee's status as an R1 research-designated public university, as well as its accessible tuition structure, will make it appealing to both Wisconsin and out-of-state graduating undergraduates and master's students, as well as healthcare professionals and public health practitioners seeking additional training.

The strongest demand for the program is expected to be from Zilber School MPH graduates and students. Currently, at least two Zilber School students have expressed interest in applying to the program in summer 2017, and several of UW-Milwaukee's 13 currently enrolled Epidemiology MPH students have indicated interest in the program. It is also anticipated that, once authorized, interest will emerge from MPH students enrolled in other regional programs at UW-Madison, UW-La Crosse, and the online MPH program at the Medical College of Wisconsin, and from regional schools of public health, including the University of Illinois at Chicago and the University of Minnesota Schools of Public Health, as well as from students in other national MPH and master's programs. According to *The Association of Schools and Programs of Public Health* (ASPPH),<sup>8</sup> there are currently 16 institutions nationally that offer undergraduate programs in public health, of which three are in the Midwest (University of Illinois at Chicago, University of Kentucky, and Saint Louis University). Unlike most other established Ph.D. programs in epidemiology that require a master's degree before enrollment in the Ph.D. program, the UW-Milwaukee program will also offer the opportunity to enroll directly after completion of a bachelor's degree.

### **Need as Suggested by Market Demand**

According to the U.S. Department of Labor, Bureau of Labor Statistics, national employment of epidemiologists is projected to grow 6 percent from 2014 to 2024. Advanced training and increased need for professional epidemiologists will be needed given continued improvements in medical recordkeeping and mapping software, greater requirements for hospitals to track health outcomes, and emerging local population health concerns and health threats.<sup>9</sup> For example, with the expanded use of electronic medical records, there is an unprecedented opportunity for Ph.D.-trained epidemiologists to utilize these data to generate new

---

<sup>7</sup> Council of State and Territorial Epidemiologists, *2013 National Assessment of Epidemiology Capacity*, December 2014, <http://www.cste2.org/2013eca/CSTEEpidemiologyCapacityAssessment2014-final2.pdf>.

<sup>8</sup> Association of Schools & Programs of Public Health, "Academic Program Finder," last modified 2016, <http://www.aspph.org/program-finder/>.

<sup>9</sup> Bureau of Labor Statistics, U.S. Department of Labor, "Epidemiologists," *Occupational Outlook Handbook*, 2016-17 Edition, last modified December 17, 2015, <http://www.bls.gov/ooh/life-physical-and-social-science/epidemiologists>.

knowledge about the distribution and determinants of health and healthcare access. Furthermore, the 2009 National Assessment of Epidemiology Capacity (ECA) completed by the Council of State and Territorial Epidemiologists (CSTE) found that the proportion of state health department epidemiologists intending to retire or change careers over the next five years increased to 17 percent, up from 11 percent in 2006. Considering attrition, the ECA estimated a need for 1,374 epidemiologists in the U.S., by 2013, a 50 percent increase.<sup>10</sup>

### **Emerging Knowledge and Advancing New Directions**

The proposed program is closely aligned with recommendations for the future of education in public health generated by the *American Schools and Programs of Public Health Framing the Future: The Second 100 Years of Education for Public Health Task Force*.<sup>11</sup> Specifically, the curriculum will emphasize two key areas: (1) the social determinants of health and disparities in health and (2) an explicit focus on the policy implications of epidemiologic research.

## **DESCRIPTION OF PROGRAM**

### **General Structure**

The Ph.D. in Epidemiology is the highest degree for epidemiology, preparing graduates for research careers in many settings including academia, non-governmental organizations, and public service at the state, national, and international levels. Students will be trained to conduct independent epidemiologic research in applied and academic settings, with an emphasis on the translation of epidemiologic findings into policies that promote population health, social justice and health equity. Coursework will focus on theory, quantitative and qualitative methods, community engagement, and the intersection of epidemiologic research and public health policy. Students must complete 66 graduate credits beyond the bachelor's degree, plus an additional 9 credits dedicated toward dissertation writing and research. Completion of a high-quality doctoral dissertation based on original research is a key feature of the academic program. Students' capacity to complete dissertation research will be supported by a rigorous curriculum designed to bring students to the intellectual forefront of the discipline.

### **Institutional and University of Wisconsin System Program Array**

The Zilber School offers both applied public health and research-focused degrees through five program areas: Epidemiology, Community and Behavioral Health Promotion, Biostatistics, Public Health Policy and Administration, and Environmental Health Sciences. The school currently offers an MPH degree with a specialization in these areas. It also offers a Ph.D. in Public Health, with a focus in either Community and Behavioral Health or Biostatistics, as well as a Ph.D. in Environmental Health Sciences.

Only one other UW System institution, the UW-Madison School of Medicine and Public Health, Department of Population Health Sciences offers a Ph.D. in Epidemiology and a Ph.D. in Population Health with an option in Epidemiology. The proposed Ph.D. in Epidemiology at the Zilber School will be distinct from these degree programs in a number of ways. First, the

---

<sup>10</sup> Council of State and Territorial Epidemiologists, *2013 National Assessment of Epidemiology Capacity*, December 2014, <http://www.cste2.org/2013eca/CSTEEpidemiologyCapacityAssessment2014-final2.pdf>.

<sup>11</sup> Association of Schools & Programs of Public Health, "Framing the Future," modified 2016, <http://www.aspph.org/educate/framing-the-future/>.

proposed Ph.D. program in Epidemiology at UW-Milwaukee will be the only program at a CEPH-accredited school of public health in Wisconsin. Second, the Zilber School's diverse urban location and public health mission focused on prevention, health equity, and the social determinants of health offers students distinct opportunities for on-the-ground engagement with the significant public health challenges facing the Milwaukee region. Finally, the proposed program is nationally distinct given its focus on the integration of a public health policy perspective into epidemiologic training. The presence of two complementary Ph.D. programs in Epidemiology in Wisconsin will provide opportunities for training synergy and enhanced research collaboration between the two institutions as UW-Milwaukee educates future leaders from Wisconsin in epidemiology.

### **Collaborative Nature of the Program**

There is strong collaboration across the five program areas at the Zilber School, with the proposed Ph.D. incorporating shared coursework across the school. The proposed Ph.D. shares four 3-credit courses with other existing Ph.D. programs at the Zilber School and builds on existing coursework in the Zilber School Master's in Public Health (MPH) in Epidemiology, with at least 24 credits toward the Ph.D. obtained through MPH coursework. Additionally, depending on research interests, students may enroll in elective coursework in other programs on the UW-Milwaukee campus.

### **Diversity**

The Zilber School at UW-Milwaukee was founded in 2009 with an explicit commitment to "advancing population health, health equity, and social and environmental justice among diverse communities in Milwaukee, the state of Wisconsin, and beyond." Consistent with this mission, the access and select mission of UW-Milwaukee, and the UW System Doctoral Cluster Mission, program faculty and staff will aim to provide program access and academic opportunities for a diverse student body that reflects the social and racial/ethnic composition of the surrounding community. Program faculty and staff will recruit and admit students from populations that have been systematically underrepresented in higher education including women, financially or educationally disadvantaged individuals, and other marginalized groups.

Proposed program curricula will integrate divergent theoretical, epistemological, and methodological approaches to epidemiologic research that aim to identify and address health inequities in a broad range of areas including pediatric health, environmental health, mental health and cancer prevention, infectious disease, aging, and nutritional epidemiology. In addition, program faculty will employ pedagogical approaches aimed at training students how to not only improve overall population health but also promote social and health equity in Milwaukee, Wisconsin, the U.S., and worldwide.

### **Student Learning Outcomes and Objectives**

Graduates of the doctoral program in Epidemiology will be able to meet the following Ph.D. in Epidemiology program competencies:

1. Integrate knowledge regarding biological, behavioral, cultural, and sociopolitical mechanisms within historical contexts operating at multiple levels of causation to shape hypotheses regarding population health and health equity.



2. Critically evaluate normative dominant theories of the distribution and determinants of health and implications for epidemiologic knowledge production.
3. Apply theories across multiple disciplines to frame and interpret epidemiologic research with attention to relevant policy and practice implications.
4. Critically appraise the scientific literature to identify strengths and limitations of existing methodological approaches in the field of Epidemiology.
5. Design and conduct independent, interdisciplinary epidemiologic research using appropriate qualitative and/or quantitative methods demonstrating knowledge of theory, study design, sources of bias and other limitations to causal inference.
6. Explain the principles and methods of conducting community-engaged epidemiologic research to promote population health and health equity.
7. Engage ethically in interactions with study participants, community and colleagues, in the conduct of research, analysis of data, reporting of findings, and formulation of policy recommendations.
8. Demonstrate respect for diverse values, beliefs, and cultures and the dignity of individuals and communities in the conduct of research.
9. Communicate epidemiologic concepts, methods and research findings to a range of audiences with attention to ethical, policy, and practice implications including how findings represent and impact study participants and their communities.
10. Translate epidemiologic findings into policy recommendations and advocacy strategies that promote population health and health equity.

### **Assessment of Objectives**

The proposed program will continuously assess student learning both at the course and program level. At the course level, learning objectives will be developed that align with the listed student learning outcomes and competencies. Learning will be assessed via problem sets, group projects, oral presentations, in-class participation, exams and written assignments. At the program level, student learning will be continuously assessed in two ways. First, students will provide a self-assessment of competencies achieved each semester and discuss progress and future goals for achieving competencies. Further, graduating students will be surveyed to identify the degree to which graduates believe they achieved stated competencies as a result of the program. The Zilber School Ph.D. Coordinating Committee will collect and summarize survey results and evaluate improvements on a yearly basis. Second, program assessment will be conducted via a Ph.D. Preliminary Examination that will be administered to students before advancement to Ph.D. candidacy (i.e., dissertator) status. The exam will consist of two parts. Part one will be an in-class examination that focuses on competencies related to (1) core epidemiologic methods, (2) analytic methods relevant to epidemiologic research, and (3) policy implications of epidemiologic research. Part two will be a take-home exam for students to demonstrate competencies related to knowledge of selected epidemiology content in the range of research areas in which students may specialize (e.g., chronic disease, infectious disease and/or environmental epidemiology).

### **Dissertation**

Students who have achieved candidate status will develop, in consultation with their primary faculty advisor, a dissertation research plan and form a dissertation advisory committee. The dissertation research plan must include an abstract, background, outline of specific aims and

hypotheses (articulated as three distinct but related research questions), preliminary findings (if applicable), research methods proposed, public health significance of the proposed research and references. The composition of the dissertation committee must be in compliance with the rules and regulations of the Graduate School. Candidates will then submit a written dissertation plan to be reviewed and formally approved by the dissertation advisory committee. The research plan must clearly outline the student's obligation for completing an original piece of work of sufficient quality, as determined by the committee. The review and approval process for the dissertation research plan will include a formal presentation to the committee. Once the approved dissertation research and write-up has been completed, the candidate will submit the original work to the committee for review. The candidate must also orally defend the dissertation in a publicly announced presentation that is open to the academic community. When the Zilber School Chair certifies completion of all requirements, the candidate will be awarded the Ph.D. in Epidemiology and encouraged to submit the dissertation for publication.

### **Program Curriculum**

Applicants to the Ph.D. program in Epidemiology will be recruited from a diverse group of individuals who communicate interest in epidemiology and in promoting health equity. Applicants must have earned a bachelor's degree in any field and a cumulative undergraduate GPA of 3.0. Preferred applicants will have completed at least one undergraduate mathematics or statistics course and one biological sciences course with at least a 3.0 average. A completed master's degree in Epidemiology, public health or the social sciences will be encouraged, but a master's degree is not a prerequisite for admission. Graduate Record Examination (GRE) scores and letters of recommendation will be required. Students will be asked to identify their primary research areas of interest and faculty with potential shared interests; faculty will be matched to serve as a career mentor and advisor.

Program curricula will develop in students the above-stated competencies through didactic coursework, opportunities to conduct both guided and independent research, and professional development. Table 2 illustrates an overview of a suggested program of study. The curriculum will consist of 75 credits beyond the bachelor's degree. This will include 66 credits of didactic coursework and 9 credits toward dissertation writing and research, and will meet all of the competencies and requirements established by CEPH.<sup>12</sup>

Coursework will include:

- 24 credits - principles of epidemiology, biostatistics, public health policy, and community engagement;
- 12 credits - Ph.D.-level coursework in research ethics, community engagement, as well as a seminar in current issues in epidemiology that will incorporate leadership training and career development;
- 9 credits - advanced coursework in both theoretical and applied epidemiology;
- 6 credits of subject matter area, or 's' elective coursework;

---

<sup>12</sup> Council on Education for Public Health, *Accreditation Criteria Public Health Programs*, June 2011, <http://ceph.org/assets/PHP-Criteria-2011.pdf>.

- 6 credits of coursework in advanced analytic methods;
- 6 credits in advanced policy analysis and translation of epidemiologic findings to policy-interventions; and
- 3 credits of an elective in an area that aligns with their research interests.

**Table 2. Suggested Course Plan for Ph.D. in Epidemiology**

<b>Fall 1 (12 credits)</b> PH700 Structures of Inequality & Population Health (3) PH702 Introduction to Biostatistics (3) PH704 Principles & Methods of Epidemiology (3) PH801 Seminar in Public Health Research (3)	<b>Spring 1 (12 credits)</b> PH705 Principles of Public Health Policy & Administration (3) PH759 Applied Quantitative Methods for Studying Population Health & Health Disparities (3) PH761 Epidemiology Field Methods (3) PH864 Research Ethics in Epi. & Public Health (3)
<b>Fall 2 (12 credits)</b> PH758 Social Epidemiology (3) PH779 Public Health Policymaking & Analysis (3) PH823 Applied Analysis of Binary Outcomes in Public Health Research (3) <i>†Subject matter elective, analytic elective or other elective (3)</i>	<b>Spring 2 (12 credits)</b> PH763 Epidemiology in Action for Equity (3) H819 Social & Environmental. Justice in Public Health -OR- PH859 Racial/Ethnic Health Disparities in US (3) PH804 Advanced Epidemiology (3) <i>†Subject matter elective, analytic elective or other elective (3)</i>
<b>Fall 3 (9 credits)</b> PH870 Epidemiology in Health Policy & Advocacy (3) PH904 Survey of Analytic Methods for Epidemiology (3) <i>†Subject matter elective, analytic elective or other elective (3)</i>	<b>Spring 3 (9 credits)</b> PH960 Current Issues in Epidemiology (3) <i>†Subject matter elective, analytic elective and other elective (6)</i>
<b>Fall 4 (3 credits)</b> PH990 Research & Dissertation (3 repeatable)	<b>Spring 4 (3 credits)</b> PH990 Research and Dissertation (3 repeatable)
<b>Fall 5 (3 credits)</b> PH990 Research and Dissertation (3 repeatable)	<b>Spring 5 (as needed; required program credits attained after 4.5 years)</b> PH990 Research and Dissertation (as needed)

**†Required Epidemiology Subject Matter “S” elective (Choose two courses, 6 cr.)**

- PH 768 Cancer Epidemiology (3)  
 PH 769 Critical Perspectives in Nutritional Epidemiology and Food Systems (3)  
 PH 762 Environmental Epidemiology (3)  
 PH 868 Epidemiologic Links Between Infectious and Chronic Disease (3)  
 PH 865 Critical Methodologies for Health Equity Research (3)

**Analytic Methods Electives (Choose 2 courses, 6 cr.; other classes as approved)**

PH712 Probability and Statistical Inference (3)  
PH714 Statistical Genetics and Genetic Epidemiology (3)  
PH715 Applied Categorical Data Analysis (3)  
PH716 Applied Survival Analysis (3)  
PH717 Applied Longitudinal Data Analysis (3)  
PH718 Data Management and Visualization in R (3)  
PH776 Qualitative Approaches in Public Health Policy and Administration (3)  
SOC982 Advanced Quantitative Analysis (3)  
EDPSY823 Structural Equation Modelling (3)  
EDPSY832 Theory of Hierarchical Linear Modelling (3)  
PH729 Survey Research Methods in Public Health (3) -OR- SOC752 Fundamentals of Survey Methodology (3)  
GEOG525 Geographic Information Science (4)

**Other Electives (Choose 1 course, 3 cr.; other classes as approved)**

PH 727 Program Planning and Implementation in Public Health (3)  
PH 728 Program Evaluation in Public Health (3)  
PH 774 Violence and Health: Interdisciplinary Theories and Interventions (3)  
PH 784 Social and Economic Policy as Health Policy (3)  
PH 808 Writing a Federal Grant in the Public Health Sciences (3)  
PH 820 Maternal and Child Health Foundations, Policy and Practice (3)  
PH 826 Principles of Community Intervention Research (3)  
PH 831 Community Engaged and Participatory Research and Practice (3)

NOTE: Students may apply previous graduate coursework towards didactic Ph.D. credits, contingent on assessment of course equivalencies, in accordance with UW-Milwaukee policies.

**Projected Time to Degree**

The average time to degree completion for full-time students is anticipated to be 4.5 years beyond the bachelor's degree (see Suggested Course Plan above). Average time to degree completion will be shorter for full-time students who previously earned a master's degree, depending on previous coursework, (e.g., 3-4 years).

**Program Review Process**

The internal program review process for the Ph.D. in Epidemiology will involve the annual collection of feedback from faculty and students regarding curriculum, advising, and job placement. Quantitative and qualitative data will be used to improve courses, assess whether students achieved program competencies, measure time to graduation, and provide input about processes. The Zilber School's Epidemiology program area, Graduate Program Committee and Ph.D. Coordinating Committee will ensure that a schedule of specific evaluation activities is maintained and that improvement actions are carried out in a timely manner. This review will be coordinated with campus and school accreditation cycles. Review of the Ph.D. in Epidemiology program will also be incorporated into the school's overall evaluation plan, which is designed to provide data for specific measurable objectives and ensure quality improvement.

**Institutional Review**

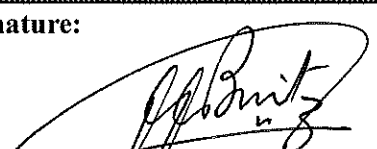
The Ph.D. in Epidemiology program will be reviewed in accordance with UW-Milwaukee's graduate program review process (Graduate Faculty Committee Doc. No. 951). The first full-scale Graduate School review will take place after five years. Zilber School faculty and staff will complete a self-study of the Ph.D. in Epidemiology program in coordination with the Zilber School Graduate Program Committee, and external reviewers will prepare a site visit report. These materials will be presented to the UW-Milwaukee Graduate Faculty Committee for recommendations. The Zilber School will also provide requested assessment materials for the UW-Milwaukee reaccreditation by the Higher Learning Commission. These assessment materials include Epidemiology Ph.D. qualifying exams, dissertation proposals, and dissertation defense presentations. The campus received a ten-year reaccreditation in 2015.

**Accreditation**

The Zilber School is currently in the final stages of becoming accredited by CEPH, the accrediting body for schools of public health nationally. The Zilber School submitted the Final Self-Study Report required by CEPH in mid-September 2016. The site visit occurred in October 2016, with the CEPH Council making a final decision in June 2017.

Accreditation applies to the school itself rather than to individual programs within the school, although general requirements for Ph.D. programs are specified. Each Ph.D. program must have at least five dedicated faculty members; the Epidemiology Program Area met this requirement at the start of the 2016-17 academic year. The Zilber School must engage in an ongoing self-study process to assess and document the extent to which each student has met the competencies outlined for the Ph.D. in Epidemiology. The Zilber School will also track graduation and job placement rates for the program, collected via graduation, alumni and employer surveys.

**University of Wisconsin - Joseph J. Zilber School of Public Health**  
**Cost and Revenue Projections For Newly Proposed Program-EPI PhD**

	Items	Projections				
		Year 1	Year 2	Year 3	Year 4	Year 5
		2017-18	2018-19	2019-20	2020-21	2021-22
<b>I</b>	<b>Enrollment (New Student) Headcount</b>	3	2	2	2	2
	<b>Enrollment (Continuing Student) Headcount</b>	0	2	4	6	5
	<b>Enrollment (New Student) FTE</b>	3	2	2	2	2
	<b>Enrollment (Continuing Student) FTE</b>	0	2	4	6	5
<b>II</b>	<b>Total New Credit Hours (# new sections x credits per section)</b>	66	84	108	117	114
	<b>Existing Credit Hours</b>					
<b>III</b>	<b>FTE of New Faculty/Instructional Staff</b>					
	<b>FTE of Current Fac/IAS</b>	5	5	5	5	5
	<b>FTE of New Admin Staff</b>					
	<b>FTE Current Admin Staff</b>	0.1	0.1	0.1	0.1	0.1
<b>IV</b>	<b>New Revenues</b>					
	<i>From Tuition (new credit hours x FTE)</i>	\$61,439	\$60,191	\$89,080	\$108,756	\$103,878
	<i>From Fees</i>					
	<i>Program Revenue - Grants</i>					
	<i>Program Revenue - Other</i>					
	<i>Reallocation</i>					
	<b>Total New Revenue</b>					
<b>V</b>	<b>New Expenses</b>					
	<b>Salaries plus Fringes</b>					
	<i>Faculty/Instructional Staff</i>					
	<i>Other Staff</i>					
	<b>Other Expenses</b>					
	<i>Facilities</i>					
	<i>Seminar Series</i>	\$1,500	\$1,500	\$1,500	\$1,500	\$1,500
	<i>Other: Financial Aid-Fellowships</i>	\$30,000	\$15,000	\$15,000	\$15,000	\$15,000
	<b>Total Expenses</b>					
<b>VI</b>	<b>Net Revenue</b>	\$29,939	\$43,691	\$72,580	\$92,256	\$87,378
<b>Provost's Signature:</b>		<b>Date:</b>				
		03.07.17.				

UNIVERSITY OF WISCONSIN - MILWAUKEE  
COST AND REVENUE PROJECTIONS NARRATIVE  
DOCTOR OF PHILOSOPHY (Ph.D.) IN EPIDEMIOLOGY

The proposed Ph.D. in Epidemiology requires 75 post-baccalaureate credits and meets the requirements of the Council on Education for Public Health guidelines. The projections reflect revenue that will be generated through tuition. In the first five years of the program, new expenditures will be limited to fellowship and seminar series.

**Section I – Enrollment**

Enrollment new headcount based upon projected enrollment of a combination of 50 percent in-state and 50 percent out-of-state students and 50 percent post-MPH (earned at UW-Milwaukee), 30 percent post-MPH (earned outside of UW-Milwaukee) and 20 percent post-bachelors students across Years 1-5 of the program as well as attrition of 1 student after Year 1. Enrollment (continuing student) FTE based upon graduation of 1 in-state post-MPH student (earned at UW-Milwaukee) within 3.5 to 4 years of program matriculation.

**Section II – Credit Hours**

Total new credit hours in each year of the program reflects the following:

1. Post-bachelors students will take 24 credits per year in Years 1 and 2, 18 credits in Year 3, 6 credits as a dissertator in Year 4, and 3 credits as dissertator in Year 5.
2. Post-MPH students who earned their degree in ZSPH will take 18 credits in Years 1 and 2, 6 credits as a dissertator in Year 3, and 3 credits as a dissertator in Year 4.
3. Post-MPH students who earned their degree outside of ZSPH will take 24 credits in Years 1 and 2 (dependent upon prior coursework), 6 credits as a dissertator in Year 3, and 3 credits as dissertator in Year 4.

**Section III – Faculty and Staff Appointments**

No new faculty and staff appointments are anticipated within the first five years of the program. The listed values are for current faculty and staff.

**Section IV – Program Revenues**

New revenue estimates the tuition revenue based on the assumptions in Section I and II.

**Section V – Program Expenses**

It is planned to provide two fellowships in Year 1 and one fellowship per year after that. The school will hold seminars on a regular basis on topics related to the program.



**Academic Affairs**

Chapman Hall 230  
P.O. Box 413  
Milwaukee WI 53201-0413  
414-229-4503 *phone*  
414-229-4929 *fax*  
[www3.uwm.edu/dept/acad\\_aff/](http://www3.uwm.edu/dept/acad_aff/)

March 7, 2017

To: Ray Cross, President, University of Wisconsin System

From: Johannes J. Britz, Provost and Vice Chancellor

A handwritten signature in black ink, appearing to read "JJB", is placed over the name "Johannes J. Britz" in the "From:" line.

Re: Authorization to implement a Doctor of Philosophy in Epidemiology

Per UW System guidelines for new program development, I am writing to you to assure the support of the University of Wisconsin – Milwaukee for the proposed Doctor of Philosophy in Epidemiology.

The proposed program addresses the documented workforce needs to address public health challenges in Wisconsin and the nation. The program, as designed, will meet all of the requirements of the Council on Education for Public Health. This program will enhance the research standing of the Zilber School of Public Health. The proposed program has the support of the faculty in the Department of Population Health Sciences at the University of Wisconsin-Madison and has the potential to enhance collaboration between the two schools. The program projects a net revenue generation based on reasonable projections on enrollment.

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

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

c: James Henderson, Vice President, UWSA Academic and Student Affairs  
Diane Treis-Rusk, UWSA Academic and Student Affairs  
Ronald Perez, Acting Dean, Zilber School of Public Health  
Dev Venugopalan, Vice Provost, UWM Academic Affairs



EDUCATION COMMITTEE

Resolution I.1.f:

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

## **UW COLLEGES POST-TENURE REVIEW POLICY**

### **EXECUTIVE SUMMARY**

#### **BACKGROUND**

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

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

A memo from Chancellor Sandeen requesting approval of the UW Colleges post-tenure review policy by the Board of Regents is attached to this document. The UW System Office of General Counsel and the Office of Academic and Student Affairs reviewed the proposed policy. The President recommends approval of the UW Colleges post-tenure review policy.

#### **REQUESTED ACTION**

Adoption of Resolution I.1.f, approving the UW Colleges Post-Tenure Review Policy.

#### **DISCUSSION**

On March 24, 2017, the UW Colleges Faculty Senate approved the university’s new post-tenure review policy. Attached to this document is Appendix A, containing the new UW Colleges post-tenure review policy as it would read if approved by the Board of Regents, followed by Appendix B containing the former post-tenure policy with changes marked.

#### **RELATED REGENT POLICIES AND LAWS**

Section 36, Wis. Stats.  
Chapters UWS 3 and 5, Wis. Admin. Code  
Regent Policy Document 20-23

**APPENDIX A**  
**New UW Colleges Post-Tenure Review Policy**

**UW Colleges Senate Policy**  
**Faculty Personnel Policy #506**  
**Faculty Post-Tenure Review Procedures**

---

Adopted by the Senate, May 8, 1993, p. 6, App. 10  
Approval of Regent Mandated-Language, October 2, 1993, p. 6, App. 8  
Revision adopted by the Senate, November 16, 1996, pg. 7  
Revision adopted by the Senate, September 29, 2001, pg. 27, App. 8  
Reorganized and Renumbered March 15, 2002  
Revised by the Senate March 6, 2009  
Revised by the SSC 4-23-2010  
Revised by the Faculty Council (FPSC) 2011-04-29  
Revised by the Faculty Council (FPSC) 2014-01-22  
Revised and Adopted by the Faculty Council (FPSC) 2017-03-24

**I. UW System BOR Policy Statement Regarding Post-Tenure Review**

Tenure is an essential part of the guarantee of academic freedom that is necessary for university-based intellectual life to flourish. The grant of indeterminate tenure to faculty members represents an enormous investment of university and societal resources, and those who receive this investment do so only after rigorous review which established that their scholarship, research, teaching, and service met the highest standards and are congruent with the needs of the university. It is the policy of the Board of Regents that a periodic, Post-Tenure Review of tenured faculty members is essential to promoting faculty development, including recognizing innovation and creativity; enhancing the educational environment for students; and identifying and redressing deficiencies in overall performance of duties through a supportive and developmental remediation process. Nothing in this policy shall be interpreted to alter or to infringe upon existing tenure rights, as set forth in UW System Board of Regents or UW System policies, nor shall this policy diminish the important guarantees of academic freedom. Specifically, this policy does not supersede administrative rules providing for termination for cause set forth in Chapter UWS 4 of the Wisconsin Administrative Code. The provision of an independent review conducted by the Provost has been added to comply with Board of Regent's policy RPD 20-9, and shall remain in this policy until such time as regent policy changes.

**II. Definitions**

- A. **AR:** a faculty member's annual Activity Report.
- B. **Campus Evaluations Committee:** The appropriate standing committee on each campus charged with conducting bi-annual campus merit reviews and any other faculty reviews.
- C. **Faculty Council:** All UW Colleges Faculty Senators representing campuses.
- D. **FPP:** Faculty Personnel Policy
- E. **Merit Review:** Annual evaluation of faculty, by campus in odd years and by department in even years, which reviews the faculty performance over the previous 2 years. Faculty is then assigned a rank (unsatisfactory, satisfactory, meritorious, highly meritorious, or

exceptionally meritorious) based upon the evidence the faculty member provides in their Activity Reports (AR) and Student Survey of Instruction (SSI).

F. **PTR:** Post-Tenure Review

G. **PTR Committee:** The committee charged with reviewing a faculty member's post-tenure review materials and reaching a finding of performance level.

H. **PTR File:** The documents and self-reflection narrative to be submitted for PTR review.

I. **RADAA:** Regional Associate Dean for Academic Affairs

J. **Remediation Plan:** The individualized document specifying goals of remediation to be reached by the faculty member by the end of the allotted period of remediation, and the actions to be taken by this faculty member during this period to return to a level of satisfactory performance of work duties. This plan shall also include the possible sanctions should the faculty member fail to meet the goals of remediation by the agreed completion time and fail to return to a satisfactory level of work performance.

K. **REO:** Regional Executive Officer/Dean

L. **Review & Development Conference:** The meeting held with the faculty member, the Department Chair and REO to review the decision of the PTR Committee.

### **III. UW Colleges Statement Regarding Post-Tenure Review**

This document provides for the implementation within the UW Colleges of the UW System Board of Regents policy on tenured faculty review and development. The focus of the review process is to be primarily on the tenured faculty member's activity reports and merit review letters covering the most recent five-year period of performance. These materials shall be reviewed by the department Post-Tenure Review Committee at a regularly scheduled meeting. In keeping with UW Colleges policies and practice, the criteria for review (FPP#501 and FPP#503.01)—teaching effectiveness, professional development, and service—are defined in terms of the mission of the UW Colleges and of the respective department. UW Colleges annual reviews take student evaluations of instruction into account (FPP#503).

A. Post-Tenure Review and Development is not a re-tenuring process but rather a review of performance and provides the opportunity to plan for developmental activities and identify strategies by which these activities may be implemented. This process will fully respect the concept of tenure. Reviews must not infringe on the accepted standards of academic freedom of faculty to pursue novel, unpopular, or unfashionable lines of inquiry. Nothing in the criteria used for determining a tenured faculty member's performance of contractually assigned duties or application of any UW System, UW Colleges, or Board of Regents policies shall allow the review to be prejudiced by factors proscribed by applicable state or federal law.

[https://dwd.wisconsin.gov/er/discrimination\\_civil\\_rights/fair\\_employment\\_law.htm](https://dwd.wisconsin.gov/er/discrimination_civil_rights/fair_employment_law.htm)

- B. Post-Tenure Reviews are separate from the annual merit review process. Annual merit reviews, conducted in even years by the appropriate committee of the faculty member's department, and in odd years by the appropriate committee of peers of the tenured faculty member's campus, are assessments of level of performance in the areas of teaching, professional development, and service, as specified and in accordance with the standards of the merit review policy (FPP#503). An official Merit Review Letter issued by the appropriate committee (see FPP#503) communicates the findings of this annual merit review process. The PTR, in assessing whether the faculty member under review has discharged conscientiously and with professional competence the duties appropriately associated with the faculty member's position, relies most heavily upon the outcomes and documentations of the preceding five years of annual merit reviews, yet shall also consider the tenured faculty member's additionally submitted materials (see section V.B. of this policy).
- C. Except in cases where the Provost has altered the timeline, Post-Tenure Reviews shall occur every five years, with the first PTR occurring in the academic year following four academic years of service as a tenured faculty member. Because of the in-depth review of a tenured faculty member up for promotion of rank, and because the granting of this promotion is a clear statement of exceeding expected performance, the Provost, upon request of the faculty member, shall have the option to consider promotion of rank as a successful PTR and to reset the term for the next PTR. The review process will be based on evidence of sustained performance consistent with the criteria contained in FPP#501.
- D. The reviews shall be conducted under the auspices of the academic departments.
- E. Review for promotion shall occur in conjunction with the PTR when such reviews are otherwise concurrent. A negative promotion decision should not imply Post-Tenure performance deficiencies.
- F. Individual Post-Tenure Reviews shall not be the basis for decisions relating to budgetary items nor for program or departmental modification, reorganization, or elimination.
- G. The conclusions of the PTR shall be shared with the reviewed faculty member in a letter from the PTR Committee Chair and by way of a follow-up Review and Development Conference. This Summative Letter shall also be shared with other appropriate officials and placed in designated permanent files, as specified in later sections of this policy.
- H. The department chair has responsibility for scheduling and seeing to completion the necessary Post Tenure Reviews within his/her department each year, and shall notify the Provost when all such reviews have been completed for the year. The Provost, as the chancellor's designee, shall keep a record of the schedule of PTR for all tenured faculty in the UW Colleges, and bears responsibility, as the chancellor's designee, for assuring that all Post Tenure Reviews are conducted.

#### **IV. Post-Tenure Review Committee Membership**

- A. The PTR Committee should include 3 tenured faculty members, from the department to which the faculty member who is being reviewed belongs, one of whom shall be the department chairperson. In addition, to represent the campus, the Regional Executive Officer (REO), and the campus evaluations committee chair shall serve on the PTR Committee. The Department Chair serves as committee member and the chair of the PTR Committee. In the event that there are not three tenured department members, the Department Chair, in consultation with the REO shall come to a consensus as to appropriate outside members for the committee. If there is not a mutual agreement, the REO shall have the final say in the selection of the outside members. Department by-laws must clearly articulate the selection and membership of the three department members to the PTR Committee. Campus constitutions must specify that the chair of the appropriate evaluations committee shall serve on each PTR Committee formed to evaluate tenured faculty from the campus. Whenever possible, PTR Committees should be composed of full professors or associate professors who have previously undergone Post-Tenure Review.
- B. When a Department Chair undergoes Post-Tenure Review (PTR), the department Post-Tenure Review Committee will consist of an additional tenured representative of the department and a Chair for this review will be elected by the department members of the PTR Committee. The Department Chair under review will not serve on the review committee.

## **V. Post-Tenure Review Timeline and Procedures**

- A. By **May 1st**, the Department Chair will notify those tenured faculty members who will be scheduled for review in the subsequent academic year. If the department PTR Committee requires any additional materials beyond those described in section V.B. (such as peer visitations, Student Surveys of Instruction, etc.), this request must be included in this notification. Any additional materials required by a department must be standardized and detailed in the department's by-laws.

Failure to meet this notification deadline does not indicate a PTR will not be conducted. In the event of a late notification, the faculty member under review shall be granted three months from notification to submit required documents. All following deadlines will follow at intervals of lapsed time consistent with the intervals in the original timeline.

- B. By **September 15th**, those faculty members to be reviewed shall submit copies of their PTR file to the PTR Committee.

Materials required for submission will be the faculty member's brief self-narrative summarizing their past activities, a brief summary of their future development plans, and their Activity Reports and Merit Review letters for the period under review.

- C. The PTR Committee shall set a meeting date to review and deliberate concerning the faculty member's materials and shall review all materials submitted by the faculty

member prior to deliberations. During the deliberations, the committee members shall discuss the faculty member's submitted materials and then determine which ranking category level best represents the overall performance of the faculty member over the period under review. The criteria shall be based upon those in FFP #503: teaching, professional development, and service, with strongest consideration be given to teaching (see below). The PTR Committee's discussion and review of the faculty member shall focus on and encourage development that is appropriate for the individual faculty member. The missions of the institution, the department and the campus will provide the framework within which the development plans take place.

**Teaching:**

- Displays a vigorous commitment to teaching
- Employs effective teaching strategies
- Pursues course development and/or revision
- Participates in Department and Institutional Assessment

**Service:** Participates in and provides leadership to committees, work groups, and/or activities in one or more of the following areas:

- UW System
- UW Colleges
- Campus
- Department
- Community

**Professional Development:**

- Participates and/or holds leadership position in Professional Society
- Achieves progress toward or attainment of a terminal degree
- Engages in scholarly or professional publication, research, and presentations
- Provides discipline related performance
- Other types of professional creativity

Although Merit Review rankings conducted during the period under review should be considered, they shall not be the only criteria in determining the faculty member's performance. The committee must also take into consideration the following:

- a. Has the faculty member "...discharged conscientiously and with professional competence the duties appropriately associated with the faculty member's position...", during the period under review, at the level expected by the department and campus.
- b. Each tenured faculty has a unique career trajectory and will have areas of emphasis distinct to them. A faculty member's performance shall neither be compared to other faculty PTR within the department nor other departments. Comparisons should always be made to the standards of performance identified in the merit policy (see above and FFP #503).

- c. Given the breadth of a tenured faculty member's responsibilities in teaching, professional development, and service, there should not be an expectation by the reviewers that a faculty member performs equally across all criteria.
- d. The committee should also consider some projects, activities, and research require much more time to be involved in and/or come to fruition.
- e. Future development plans outlined by the faculty member under review can be considered as an indication of continual performance and may be used by the PTR Committee to address a slight deficiency.

Upon review and discussion of the tenured faculty member's performance, the PTR Committee will vote, by simple majority, which ranking category they believe best describes the faculty member's performance during the period under review:

- 1. **Does Not Meet Expectations:** This category is awarded to those tenured faculty members whose performance reflects a level of accomplishment below the expected level and which requires remediation.
- 2. **Meets Expectations:** This category is awarded to those tenured faculty members whose performance reflects the expected level of accomplishment.

Once the category for the faculty member is determined (by a majority of votes from those present who have the right to vote), the Committee Chair shall provide a written summary ("Summative Letter") as specified in section V.D of this policy. The PTR file and the PTR Committee's recommendation and Summative Letter are to be forwarded to the provost for the independent administrative review and final PTR finding.

The PTR Committees shall complete their work by **Feb. 1**.

- D. Within **15 working days** of the PTR Committee's deliberations, and no later than **Feb. 1**, the Committee Chair will provide the Summative Letter of the committee review and its final ranking of the tenured faculty member's performance to the RADAA, the REO, the Provost, and the faculty member reviewed. The Provost shall also receive a copy of the reviewed faculty member's PTR file. The faculty member will then have **15 working days** to submit to the department chair a written response to the Summative Letter, should the faculty member elect to do so, with distribution to the same bodies and individuals.
- E. The final decision of the Post-Tenure Review by the Provost shall occur by **March 1**. Upon receipt of the Summative Letter of the PTR Committee's findings and review, and response, if any, from the faculty member, the Provost shall conduct an independent and substantive review of the faculty members under PTR. The Provost's independent review is to be conducted in accordance with the criteria for review used by the PTR Committee and additionally guided by the Summative Letter from the PTR Committee's review and findings and any faculty response.



- a. If the PTR Committee found that the faculty member's performance warranted the category "meets expectations," and if the Provost agrees, the Provost shall communicate this finding to the faculty member, and the Provost may add to the Summative Letter prior to submitting this letter to the faculty member's personnel file.
  - b. If the PTR Committee found that the faculty member's performance warranted the category "does not meet expectations," and if the Provost agrees, the Summative Letter prepared by the Provost is to include specific reasons or grounds for this decision, including evidence from the PTR documents reviewed. This is to help direct the parties who will draft the required remediation plan. The Provost must send this same Summative Letter, along with a charge to initiate remediation for this faculty member, in accordance with FPP#506.01, to the chair of the faculty member's department and the faculty member's REO.
  - c. If the Provost disagrees with the PTR Committee's findings, the Provost shall include specific reasons in a Summative Letter to the faculty member and PTR Committee. All reviews resulting in "does not meet expectations," will result in a remediation plan as described in FPP#506.01.
- F. The faculty member may submit a response to the Provost's findings within **10 days** of receipt of such findings.
- G. Copies of the PTR Committee's Summative Letter, the Provost's Summative Letter, and any written response from the faculty member shall be placed in the campus personnel file, the department personnel file and, following review by the Provost, in the permanent file in the Provost's office. Faculty members should retain these materials in their own professional files.
- H. Following the Provost's finding that a faculty member "meets expectations," the PTR Committee and the faculty member shall schedule the Review and Development Conference as outlined in section VI.

## **VI. Review & Development Conference Procedures**

- A. Following the Provost's finding that a faculty member "meets expectations," the PTR Committee and the faculty member shall schedule the Review and Development Conference. The PTR Development Conference has no bearing on the outcome of the PTR decision, which has already been reached and appropriately communicated. The purpose for the Development Conference is to promote, plan, and support the faculty member's professional growth and development over the next review period (usually 5 years). Prior to the meeting, the faculty member will be informed by a letter from the PTR Committee chairperson of the committee's determination (the PTR Committee's Summative Letter) and shall review specifics within the Summative Letter. Department bylaws should specify who participates in the Review and Development Conference, but

the REO and the Committee chair are required to participate. Bylaws may grant the faculty member authority to determine an additional participant.

- B. As much as possible, recommendations resulting from the review should be addressed through funds designated for post-tenure development as well as through existing professional development programs, such as support for sabbatical leave, assistance in grant writing, and the establishment of meaningful mentoring relationships.
- C. By **April 15<sup>th</sup>**, all Review and Development Conferences for that year are to be completed.
- D. Copies of the PTR Committee's Summative Letter and any written response from the faculty member shall be placed in the campus personnel file, the department personnel file and, following review by the Provost, in the permanent file in the Provost's office. Faculty members should retain these materials in their own professional files. In the time between PTR Committee Review and the Development Conference, the faculty member can update his/her development plans with the approval of the PTR Committee.

## **VII. Inactive or Ineffective Performance Between Post-Tenure Review**

To ensure faculty members continue to fulfill their duties between Post-Tenure Reviews, any faculty member who, in the merit review process, receives a merit ranking of 'unsatisfactory' (FPP#503) for 2 years within the period between Post-Tenure Reviews will be required to develop and complete a remediation plan as outlined in FPP#506.01.

## **VIII. No Grievance Procedures**

Institutional grievance procedures do not apply to actions and decisions made in accordance with this policy and the related remediation policy.

# **UW Colleges Senate Policy**

## **Faculty Personnel Policy #506.01**

### **Faculty Remediation Procedures**

---

Revised and Renumbered by the Faculty Council of Senators (FPSC) 2017-03-24

#### **I. Remediation Process and Plan**

In cases where the Post-Tenure Review reveals deficiencies and a determination that the faculty member “does not meet expectations,” or the faculty member receives a merit ranking of ‘unsatisfactory’ for a second time within the period between Post-Tenure Reviews, and upon concurrence from the Provost (as the Chancellor’s designee) a remediation plan will be developed. The plan will focus on remedying the problem with specific support, goals and outcomes indicated. This remediation plan shall also indicate deadlines for completion and consequences for failure to satisfactorily complete the remediation plan, which may include referral to the chancellor for consideration of dismissal for cause. While on remediation in response to one of these two triggers, should a faculty member trigger additional remediation due to failed PTR or additional unsatisfactory merit rankings, the existing remediation plan shall be modified, including timeline, if deemed necessary to respond to the new triggers for remediation. When a Remediation Plan has been successfully completed, this finding shall serve as a PTR finding of Meets Expectations.

#### **II. Definitions**

- A. **AR:** a faculty member’s annual Activity Report.
- B. **Campus Evaluations Committee:** The appropriate standing committee on each campus charged with conducting bi-annual campus merit reviews and any other faculty reviews.
- C. **Department Chair:** Current Chair of the department in which the tenured faculty being reviewed is housed.
- D. **Final Review Meeting:** Meeting at which, after careful consideration and discussion of all present, a final assessment is made of satisfactory, or unsatisfactory, completion of the requirements of the Remediation Plan.
- E. **FPP:** Faculty Personnel Policy
- F. **Merit Review:** Annual evaluation of faculty, by campus in odd years and by department in even years, which reviews the faculty performance over the previous 2 years. Faculty is then assigned a rank (unsatisfactory, satisfactory, meritorious, highly meritorious, or exceptionally meritorious) based upon the evidence the faculty member provides in their Activity Reports (AR) and Student Survey of Instruction (SSI).
- G. **Progress Meeting:** Meeting at which the faculty member engaged in a remediation plan will present evidence of progress towards the goals of the remediation plan and receive feedback from the department chair and the REO.

H. **PTR:** Post-Tenure Review

I. **PTR Committee:** The committee charged with reviewing a faculty member's post-tenure review materials and reaching a finding of performance level.

J. **RADAA:** Regional Associate Dean for Academic Affairs

K. **Remediation Conference:** Face-to-face meeting of the faculty member under review, the department chair, the REO, and an additional tenured faculty member (if so selected by the member under review), and one additional member of UW Colleges administration (if so selected by the department chair) at which needs for remediation are discussed, goals of the remediation plan are discussed, and potential consequences for failing to complete the plan or appropriately meet the goals of the plan are to be presented.

L. **Remediation Plan:** The individualized document specifying goals of remediation to be reached by the faculty member by the end of the allotted period of remediation, and the actions to be taken by this faculty member during this period to return to a level of satisfactory performance of work duties. This plan shall also include specifics regarding possible sanctions should the faculty member fail to meet the goals of remediation by the agreed completion time and fail to return to a satisfactory level of work performance. These sanctions should include the full range of potential sanctions appropriate to each case as determined by the chancellor or the chancellor's designee.

M. **REO:** Regional Executive Officer/Dean

### **III. Initiating the Remediation Process in the Case of a Post-Tenure Review Conclusion of "Does Not Meet Expectations"**

A. Initiation of the Remediation Process in cases of a Post-Tenure Review Conclusion of "Does Not Meet Expectations" follows the steps of Post-Tenure Review specified in FPP#506 sections V.D – V.H.

B. The specific criteria and process for development of the remedial plan, contents of the plan, deadlines for steps in the process, and details of assessment of progress and completion of the plan are outlined in sections V and VI of this policy.

### **IV. Initiating Remediation Process in the Case of Receiving a Second Annual Merit Ranking of "Unsatisfactory" within the Five Years between Post-Tenure Reviews**

A. After a faculty member receives a second 'unsatisfactory' merit ranking in the period between Post-Tenure Reviews, the Department Chair will inform the Provost of the finding of the faculty member's performance as Inactive or Ineffective (not meeting expectations for performance). The department chair shall also forward to the Provost the two merit review summary letters and the faculty member's relevant Activity Reports from the two years of "Unsatisfactory" rankings. The Provost will then submit a letter within ten working days to the faculty member clearly indicating whether or not the

Provost concurs the faculty member is inactive or ineffective and a remediation plan needs to be developed.

1. If the Provost does not concur with the need for a remediation plan, the Provost must submit a letter to the faculty member within ten working days clearly indicating the Evaluation concerns and that the Provost does not concur and does not require a remediation plan. The Provost's letter is also submitted to the department Chair, the RADAA, the REO, and HR.
  2. Alternatively, if the provost concurs that a remediation plan is required, the Provost shall send a letter, within 15 working days of receiving the department chair's letter of finding of inactive or ineffective performance by the identified faculty member, to the faculty member, the department chair, the RADAA, the REO, and HR outlining the process and timeline of a remediation plan.
- B. The specific criteria and process for development of the remediation plan, contents of the plan, deadlines for steps in the process, and details of assessment of progress and completion of the plan are outlined in sections V and VI.

#### **V. Remediation Plan Development Procedures**

The development of the Remediation Plan is the joint responsibility of the respective department Chair and the respective REO of the faculty member under review. When the Provost determines that a remediation plan is needed in either circumstance outlined in this policy, the following shall occur.

1. The provost shall send a letter (the Summative Letter, required in 506) to the faculty member and the department chair, within 15 working days of determining that remediation is required, indicating that a remediation plan is needed as has been recommended by the department. The Provost's letter shall indicate that the department chair and REO will set up a face-to-face meeting, the Remediation Conference, with the faculty member within 15 working days of the date of the Provost's letter.
2. The Remediation Conference shall be held within 15 working days of the date of the Provost's letter informing of the need for remediation. This conference shall serve as a constructive conversation to inform the department chair and the REO of best steps to include in the Remediation Plan. If the faculty member rejects the opportunity for a face-to-face meeting or is unable to schedule such a meeting, the department chair and REO will complete the process without consultation with the faculty member. The faculty member may, if desired, choose one other tenured faculty member from the UW Colleges to attend the Remediation Conference as a liaison. The department chair may, if desired, also elect to have one other tenured faculty member or administrator from the UW Colleges attend the meeting as a liaison or alternate if the chair cannot be in attendance.

3. Within 20 working days of the mailing date of the provost's letter, and no later than May 20, the remediation plan must be finalized by agreement between the department chair and the REO. The potential consequences for failure to successfully complete the remediation plan shall be approved by the provost, after consulting with the department chairperson and the REO, prior to finalizing the remediation plan.
4. Within 5 working days of the finalizing of the remediation plan, the Department Chair and REO will provide the faculty member (and Provost and HR) with a copy of the remediation plan that has been developed.

## **VI. Remediation Plan Content, Deadlines, and Progress Meetings**

The remediation plan is referred to as developmental as its purpose is to help the faculty member reach appropriate improvement goals in line with the area(s) of deficiency identified. The developmental remediation plan should reflect both the mission, goals, and objectives of the department, UW Colleges, the UW System, and the faculty member's professional development needs and objectives.

Each remediation plan will be unique to the faculty member and shall be developed jointly with the department chair and REO and be agreed upon mutually. The development of the plan should be viewed by all parties as an aid that will enhance the faculty member's future performance which in turn results in a better fulfillment of the institution's mission.

### **A. The remediation plan shall**

1. clearly indicate the links between the deficiency or deficiencies, indicated in previous Merit Ranking Letters and the letter from the Provost regarding the need for a Remediation Development Plan, and the specific operationalized goals and outcomes for the faculty member.
2. list resources for appropriate support from the department and/or other campus resources as applicable (e.g., Virtual Teaching and Learning Center). Specific financial resources, including supplies and equipment supporting the specific areas of improvement should also be identified if needed and agreed upon.
3. clearly indicate a deadline (not to exceed 3 academic semesters starting the Fall semester subsequent to the development of remediation plan) by which time all elements of the plan must be satisfied, as judged by agreement between the department Chair and the REO.

In those few remediation plans related to a performance shortfall in research, scholarship, or professional activity where more than three academic semesters may be necessary to correct identified deficiencies, an extension of 1 academic semester shall be permitted only with the approval of the Chancellor, which shall trigger a notification of that extension to the UW System Administration Vice President for Academic and Student Affairs.

4. indicate the potential consequence(s), as determined by the provost, of not meeting the operationalized goals of the remediation plan by the deadline.

- B. Within 40 working days of the end of the 1st semester into the plan, the Department Chair shall convene a progress meeting with the Department Chair, the REO and the faculty member. The faculty member will provide evidence of progress relating to the remediation plan. The meeting participants will determine if progress has occurred and to identify additional resources that may aid the faculty member. The faculty member may, if desired, choose one other tenured faculty member from the UW Colleges to attend the Progress Meeting as a liaison. The department chair may, if desired, also elect to have one other tenured faculty member or administrator from the UW Colleges attend the meeting as a liaison or if the chair cannot be in attendance.
- C. Within 40 working days of the end of the final semester of the scheduled Remediation Plan, the department Chair shall convene a Final Review Meeting, to be attended by the faculty member under review and the PTR Committee. The faculty member may, if desired, choose one other tenured faculty member from the UW Colleges to attend the Final Review Meeting as a liaison. The department chair may, if desired, also elect to have one other tenured faculty member or administrator from the UW Colleges attend the meeting as a liaison or as an alternate if the chair cannot be in attendance. Again, the faculty member will provide evidence of progress relating to the remediation plan. At the meeting the PTR Committee shall recommend to the Provost it's finding of whether the faculty member has met or not met the obligations of the remediation plan.
- D. Within 20 working days of the PTR Committee's recommendation of findings on completion of the remediation plan, the Provost (as Chancellor's designee) will issue the official finding of meets or fails to meet outcome provisions of the remediation plan.
- E. The Provost's official finding will result in a letter from the Provost to the faculty member in question, the Department Chair of the faculty member, the RADAA, the REO, and HR indicating that the faculty member has
  - 1. met the conditions of the Remediation Plan
  - 2. not met the conditions of the Remediation Plan. If the conditions of the remediation plan have not been met, this letter will include information regarding the sanctions, discipline or dismissal procedures, not to exceed those which had been included in the Remediation Plan.

If it has been determined the faculty member has not met the conditions of the Remediation Plan, in contrast to a non-retention decision for probationary faculty, consequences may range from informal sanctions as previously specified in the remediation plan document, to discipline short of dismissal for cause [such as suspension without pay or demotion of rank (with reduction of pay associated with rank)] under section UWS Chapter 6. In extreme instances, where it is determined by the Provost that the faculty member has failed to make even reasonable efforts to achieve the goals of the Remediation Plan, the Provost may forward all documentation to the Chancellor, with a recommendation to begin the process of

dismissal for cause, under UWS Chapter 4. The decision to seek dismissal for cause shall be made by the Chancellor.

## **VII. Appeals and Grievances**

A faculty member cannot appeal a remediation plan implementation decision based on Post-Tenure Review, nor the final determination of completion of a remediation plan initiated from Post-Tenure Review. Furthermore, the reviews conducted and remediation plans developed in accordance with this policy, as triggered by a Post-Tenure Review, are not subject to the grievance process set forth in Chapter UWS 6.02, Wis. Admin. Code. Remediation decisions triggered by two unsatisfactory ratings in the merit review process may be appealed/follow the grievance process as laid out in FPP#604.



## APPENDIX B

### UW Colleges Post-Tenure Review Policy with Tracked Changes

#### UW Colleges Senate Policy Faculty Personnel Policy #506 Faculty Post-Tenure Review Procedures

---

Adopted by the Senate, May 8, 1993, p. 6, App. 10  
Approval of Regent Mandated-Language, October 2, 1993, p. 6, App. 8  
Revision adopted by the Senate, November 16, 1996, pg. 7  
Revision adopted by the Senate, September 29, 2001, pg. 27, App. 8  
Reorganized and Renumbered March 15, 2002  
Revised by the Senate March 6, 2009  
Revised by the SSC 4-23-2010  
Revised by the Faculty Council (FPSC) 2011-04-29  
Revised by the Faculty Council (FPSC) 2014-01-22  
Revised and Adopted by the Faculty Council (FPSC) 2016-11-14

#### **I. UW System BOR Policy Statement Regarding Post-Tenure Review**

Tenure is an essential part of the guarantee of academic freedom that is necessary for university-based intellectual life to flourish. The grant of indeterminate tenure to faculty members represents an enormous investment of university and societal resources, and those who receive this investment do so only after rigorous review which established that their scholarship, research, teaching, and service met the highest standards and are congruent with the needs of the university. It is the policy of the Board of Regents that a periodic, Post-Tenure Review of tenured faculty members is essential to promoting faculty development, including recognizing innovation and creativity; enhancing the educational environment for students; and identifying and redressing deficiencies in overall performance of duties through a supportive and developmental remediation process. Nothing in this policy shall be interpreted to alter or to infringe upon existing tenure rights, as set forth in UW System Board of Regents or UW System policies, nor shall this policy diminish the important guarantees of academic freedom. Specifically, this policy does not supersede administrative rules providing for termination for cause set forth in Chapter UWS 4 of the Wisconsin Administrative Code. The provision of an independent review conducted by the Provost has been added to comply with Board of Regent's policy RPD 20-9, and shall remain in this policy until such time as regent policy changes.

#### **II. Definitions**

- A. **AR:** a faculty member's annual Activity Report.
- B. **Campus Evaluations Committee:** The appropriate standing committee on each campus charged with conducting bi-annual campus merit reviews and any other faculty reviews.
- C. **Faculty Council:** All UW Colleges Faculty Senators representing campuses.
- D. **FPP:** Faculty Personnel Policy
- E. **Merit Review:** Annual evaluation of faculty, by campus in odd years and by department in even years, which reviews the faculty performance over the previous 2 years. Faculty is then assigned a rank (unsatisfactory, satisfactory, meritorious, highly meritorious, or

exceptionally meritorious) based upon the evidence the faculty member provides in their Activity Reports (AR) and Student Survey of Instruction (SSI).

F. **PTR:** Post-Tenure Review

G. **PTR Committee:** The committee charged with reviewing a faculty member's post-tenure review materials and reaching a finding of performance level.

H. **PTR File:** The documents and self-reflection narrative to be submitted for PTR review.

I. **RADAA:** Regional Associate Dean for Academic Affairs

J. **Remediation Plan:** The individualized document specifying goals of remediation to be reached by the faculty member by the end of the allotted period of remediation, and the actions to be taken by this faculty member during this period to return to a level of satisfactory performance of work duties. This plan shall also include the possible sanctions should the faculty member fail to meet the goals of remediation by the agreed completion time and fail to return to a satisfactory level of work performance.

K. **REO:** Regional Executive Officer/Dean

L. **Review & Development Conference:** The meeting held with the faculty member, the Department Chair and REO to review the decision of the PTR Committee.

### **III. UW Colleges Statement Regarding Post-Tenure Review**

This document provides for the implementation within the UW Colleges of the UW System Board of Regents policy on tenured faculty review and development. The focus of the review process is to be primarily on the tenured faculty member's activity reports and merit review letters covering the most recent five-year period of performance. These materials shall be reviewed by the department Post-Tenure Review Committee at a regularly scheduled meeting. In keeping with UW Colleges policies and practice, the criteria for review (FPP #501 and FPP #503.01)—teaching effectiveness, professional development, and service—are defined in terms of the mission of the UW Colleges and of the respective department. UW Colleges annual reviews take student evaluations of instruction into account (FPP #503).

A. Post-Tenure Review and Development is not a re-tenuring process but rather a review of performance and provides the opportunity to plan for developmental activities and identify strategies by which these activities may be implemented. This process will fully respect the concept of tenure. Reviews must not infringe on the accepted standards of academic freedom of faculty to pursue novel, unpopular, or unfashionable lines of inquiry. Nothing in the criteria used for determining a tenured faculty member's performance of contractually assigned duties or application of any UW System, UW Colleges, or Board of Regents policies shall allow the review to be prejudiced by factors proscribed by applicable state or federal law.

[https://dwd.wisconsin.gov/er/discrimination\\_civil\\_rights/fair\\_employment\\_law.htm](https://dwd.wisconsin.gov/er/discrimination_civil_rights/fair_employment_law.htm)

[https://dwd.wisconsin.gov/er/discrimination\\_civil\\_rights/fair\\_employment\\_law.htm](https://dwd.wisconsin.gov/er/discrimination_civil_rights/fair_employment_law.htm) *made a live link*

- B. Post-Tenure Reviews are separate from the annual merit review process. Annual merit reviews, conducted in even years by the appropriate committee of the faculty member's department, and in odd years by the appropriate committee of peers of the tenured faculty member's campus, are assessments of level of performance in the areas of teaching, professional development, and service, as specified and in accordance with the standards of the merit review policy (FPP#503). An official Merit Review Letter issued by the appropriate committee (see FPP#503) communicates the findings of this annual merit review process. The PTR, in assessing whether the faculty member under review has discharged conscientiously and with professional competence the duties appropriately associated with the faculty member's position, relies most heavily upon the outcomes and documentations of the preceding five years of annual merit reviews, yet shall also consider the tenured faculty member's additionally submitted materials (see section V.B. of this policy).
- C. Except in cases where the Provost has altered the timeline, Post-Tenure Reviews shall occur every five years, with the first PTR occurring in the academic year following ~~five~~ **four** academic years of service as a tenured faculty member. Because of the in-depth review of a tenured faculty member up for promotion of rank, and because the granting of this promotion is a clear statement of exceeding expected performance, the Provost, upon request of the faculty member, shall have the option to consider promotion of rank as a successful PTR and to reset the term for the next PTR. The review process will be based on evidence of sustained performance consistent with the criteria contained in FPP #501. ~~Since a faculty member's leave of absence, sabbatical leave, or faculty development assignment must have the Provost's approval, each may serve as a deferral of the original timeline, and the Provost may then set a new timeline for the next PTR and communicate this to the affected tenured faculty member, the department chairperson and the campus REO.~~
- D. The reviews shall be conducted under the auspices of the academic departments.
- E. Review for promotion shall occur in conjunction with the PTR when such reviews are otherwise concurrent. A negative promotion decision should not imply Post-Tenure performance deficiencies.
- F. Individual Post-Tenure Reviews shall not be the basis for decisions relating to budgetary items nor for program or departmental modification, reorganization, or elimination.
- G. The conclusions of the PTR shall be shared with the reviewed faculty member in a letter from the PTR Committee Chair and by way of a follow-up Review and Development Conference. This **Summative Letter** ~~summary letter~~ shall also be shared with other appropriate officials and placed in designated permanent files, as specified in later sections of this policy.
- H. The department chair has responsibility for scheduling and seeing to completion the necessary Post Tenure Reviews within his/her department each year, and shall notify the

Provost when all such reviews have been completed for the year. The Provost, as the chancellor's designee, shall keep a record of the schedule of PTR for all tenured faculty in the UW Colleges, and bears responsibility, as the chancellor's designee, for assuring that all Post Tenure Reviews are conducted.

#### **IV. Post-Tenure Review Committee Membership**

- A. The PTR Committee should **include** ~~be comprised of~~ 3 tenured faculty members, from the department to which the faculty member who is being reviewed belongs, one of whom shall be the department chairperson. ~~To~~ **In addition, to** represent the campus, the Regional Executive Officer (REO), and the campus evaluations committee chair shall serve on the PTR Committee. The Department Chair serves as committee member and the chair of the PTR Committee. In the event that there are not three tenured department members, the Department Chair, in consultation with the REO shall come to a consensus as to appropriate outside members for the committee. If there is not a mutual agreement, the REO shall have the final say in the selection of the outside members. Department by-laws must clearly articulate the selection and membership of the 3 **three** department members to the PTR Committee. Campus constitutions must specify that the chair of the appropriate evaluations committee shall serve on each PTR Committee formed to evaluate tenured faculty from the campus. Whenever possible, PTR Committees should be composed of full professors or associate professors who have previously undergone Post-Tenure Review.
- B. When a Department Chair undergoes Post-Tenure Review (PTR), the department Post-Tenure Review Committee will consist of an additional tenured representative of the department and a Chair for this review will be elected by the department members of the PTR Committee. The Department Chair under review will not serve on the review committee.

#### **V. Post-Tenure Review Timeline **and Procedures****

- A. By **May 1st**, the Department Chair will notify those tenured faculty members who will be scheduled for review in the subsequent academic year. If the department PTR Committee requires any additional materials beyond those described in section V.B. (such as peer visitations, Student Surveys of Instruction, etc.), this request must be included in this notification. Any additional materials required by a department must be standardized and detailed in the department's by-laws.

Failure to meet this notification deadline does not indicate a PTR will not be conducted. In the event of a late notification, the faculty member under review shall be granted three months (~~but no earlier than October 1<sup>st</sup>~~) from notification to submit required documents. All following deadlines will follow at intervals of lapsed time consistent with the intervals in the original timeline.

- B. By **September 15th**, those faculty members to be reviewed shall submit copies of their PTR file to the PTR Committee.

Materials required for submission will be the faculty member's brief self-narrative summarizing their past activities, a brief summary of their future development plans, and their Activity Reports and Merit Review letters for the period under review.

- C. The PTR Committee shall set a meeting date to review *and deliberate concerning* the faculty member's materials and ~~make a determination as outlined in section VI. The PTR Committees shall complete their work by Feb. 1. [moved to end of C, below—1]~~

~~The PTR Committee's discussion and review of the faculty member shall focus on and encourage development that is appropriate for the individual faculty member. The missions of the institution, the department and the campus will provide the framework within which the development plans take place. [moved to continuation of C, below—2] See section VI. for specific procedures and ranking categories.~~

- D. ~~Within 15 working days of the PTR Committee's discussion and review of the faculty member, and no later than Feb. 1, the Committee Chair will provide a written summary of the committee review and its final ranking of the tenured faculty member's performance to the RADAA, the REO, the Provost, and the faculty member reviewed. The Provost shall also receive a copy of the reviewed faculty member's PTR file. The faculty member will then have 15 working days to submit to the department chair a written response to the review summary letter, should the faculty member elect to do so. A response letter submitted to the department chair shall be copied and forwarded by the department chair to the RADAA, the REO, and the Provost. [moved to section D below and modified—3]~~

- E. ~~The final decision of the Post tenure Review by the Provost shall occur by March 1. Upon receipt of the summary letter of the PTR Committee's findings and review, the Provost shall conduct an independent and substantive review of the faculty members under PTR. This review shall only consider each faculty member's PTR file materials and the summary letter forwarded from the PTR Committee. The Provost's review is to assure that proper procedures were followed, allowing the Provost the opportunity to correct any egregious outcomes from the PTR Committee work. The provost's independent review is to be conducted in accordance to the criteria for review used by the PTR Committee and as stipulated in section VI of this policy, additionally guided by the summary letter from the PTR Committee's review and findings. [moved to E below and modified—4]~~

~~Should the Provost's finding of a faculty member under review be that this faculty member meets expectations of performance, and should this have been the finding of the PTR Committee, the Provost shall communicate this finding to the faculty member, and the Provost may add to the summative letter prior to submitting this letter to the faculty member's personnel file. [moved to E.a. and modified—5] Should the Provost's finding of meets expectations not concur with the PTR Committee's finding of does not meet expectations of performance, the Provost shall communicate this finding to the faculty member, and the Provost must write a summative letter on the findings and place this~~

letter, copied to the PTR Committee Chairperson, the RADAA, and the REO, in the faculty member's personnel file. *[moved to E.c. and modified—7]*

~~F. All reviews resulting in “does not meet expectations,” will result in a remediation plan as described in FPP#506.01. *[moved to E.c. below—8]*~~

~~G. Should the provost's decision be the faculty member “does not meet expectations” of work performance, the Summative Letter prepared by the provost is to include specific reasons or grounds for this decision, including evidence from the PTR documents reviewed. This is to help direct the parties who will draft the required remediation plan. The Provost must send this same summary letter, along with a charge to initiate remediation for this faculty member, in accordance with FPP#506.01, to the chair of the faculty member's department and the faculty member's REO. *[moved to E.b. and modified, below—6]*~~

~~H. Copies of the PTR Committee's summary, the Provost's summary, and any written response from the faculty member shall be placed in the campus personnel file, the department personnel file and, following review by the Provost, in the permanent file in the Provost's office. Faculty members should retain these materials in their own professional files. *[moved to G below—9]*~~

~~I. Following the Provost's finding that a faculty member “meets expectations”, the PTR Committee and the faculty member shall schedule the Review and Development Conference as outlined in section VII. *[moved to H and renumbered—10]*~~

## **VI. Post-Tenure Review Committee Procedures**

~~A. The PTR Committee shall review all materials submitted by the faculty member prior to deliberations. See section V.A. and B. for required and departmental requested materials.~~

~~B. During the deliberations, the committee members shall discuss the faculty's ***faculty member's*** submitted materials and then determine which ranking category level best represents the overall performance of the faculty member over the period under review. The criteria shall be based upon those in FFP #503: teaching, professional development, and service, with strongest consideration be given to teaching (***see below***). *The PTR Committee's discussion and review of the faculty member shall focus on and encourage development that is appropriate for the individual faculty member. The missions of the institution, the department and the campus will provide the framework within which the development plans take place.* *[moved from above—2]*~~

### **Teaching:**

- Displays a vigorous commitment to teaching
- Employs effective teaching strategies
- Pursues course development and/or revision
- Participates in Department and Institutional Assessment

**Service:** Participates in and provides leadership to committees, work groups, and/or activities in one or more of the following areas:

- UW System
- UW Colleges
- Campus
- Department
- Community

**Professional Development:**

- Participates and/or holds leadership position in Professional Society
- Achieves progress toward or attainment of a terminal degree
- Engages in scholarly or professional publication, research, and presentations
- Provides discipline related performance
- Other types of professional creativity

Ⓒ. Although Merit Review rankings conducted during the period under review should be considered, they shall not be the only criteria in determining the faculty member's performance. The committee must also take into consideration the following:

*[section was numbered 1-5]*

- a.* Has the faculty member "...discharged conscientiously and with professional competence the duties appropriately associated with the faculty member's position...", during the period under review, at the level expected by the department and campus.
- b.* Each tenured faculty has a unique career trajectory and will have areas of emphasis distinct to them. A faculty member's performance shall neither be compared to other faculty PTR within the department nor other departments. Comparisons should always be made to the standards of performance identified in the merit policy (see section VI.B. of this policy and FPP #503).
- c.* Given the breadth of a tenured faculty member's responsibilities in teaching, professional development, and service, there should not be an expectation by the reviewers that a faculty member performs equally across all criteria.
- d.* The committee should also consider some projects, activities, and research require much more time to be involved in and/or come to fruition.
- e.* Future development plans outlined by the faculty member under review can be considered as an indication of continual performance and may be used by the PTR Committee to address a slight deficiency.

Ⓓ. Upon review and discussion of the tenured faculty member's performance, the PTR Committee will vote, by simple majority, which ranking category they believe best describes the faculty member's performance during the period under review:



1. **Does Not Meet Expectations:** This category is awarded to those tenured faculty members whose performance reflects a level of accomplishment below the expected level and which requires remediation.
  2. **Meets Expectations:** This category is awarded to those tenured faculty members whose performance reflects the expected level of accomplishment.
- Ⓔ. Once the category for the faculty member is determined (by a majority of ~~yes~~ votes from those present who have the right to vote), the Committee Chair shall provide a written summary (*“Summative Letter”*) as specified in section V.D of this policy. The PTR file and the PTR Committee’s recommendation and ~~summary letter~~ *Summative Letter* are to be forwarded to the provost for the independent administrative review and final PTR finding.

*The PTR Committees shall complete their work by Feb. 1. [moved from above—1]*

- D. *Within 15 working days of the PTR Committee’s ~~discussion and review of the faculty member~~ deliberations, and no later than Feb. 1, the Committee Chair will provide a ~~written summary~~ the Summative Letter of the committee review and its final ranking of the tenured faculty member’s performance to the RADAA, the REO, the Provost, and the faculty member reviewed. The Provost shall also receive a copy of the reviewed faculty member’s PTR file. The faculty member will then have 15 working days to submit to the department chair a written response to the ~~review summary letter~~ Summative Letter, should the faculty member elect to do so. A response letter submitted to the department chair shall be copied and forwarded by the department chair to the RADAA, the REO, and the Provost, with distribution to the same bodies and individuals. [moved from above, modified—3]*
- E. *The final decision of the Post-Tenure Review by the Provost shall occur by March 1. Upon receipt of the ~~summary letter~~ Summative Letter of the PTR Committee’s findings and review, and response, if any, from the faculty member, the Provost shall conduct an independent and substantive review of the faculty members under PTR. ~~This review shall only consider each faculty member’s PTR file materials and the summary letter forwarded from the PTR Committee. The Provost’s review is to assure that proper procedures were followed, allowing the Provost the opportunity to correct any egregious outcomes from the PTR Committee work. The provost’s independent review is to be conducted in accordance to the criteria for review used by the PTR Committee and as stipulated in section VI of this policy, additionally guided by the summary letter from the PTR Committee’s review and findings.~~ [moved from above, modified—4] The Provost’s independent review is to be conducted in accordance to with the criteria for review used by the PTR Committee and additionally guided by the Summative Letter from the PTR Committee’s review and findings and any faculty response.*
- a. *If the PTR Committee found that the faculty member’s performance warranted the category “meets expectations,” and if the Provost agrees, ~~Should the Provost’s finding of a faculty member under review be that this faculty member~~*



~~meets expectations of performance, and should this have been the finding of the PTR Committee, the Provost shall communicate this finding to the faculty member, and the Provost may add to the Ssummative Letter prior to submitting this letter to the faculty member's personnel file. [moved from above and modified—5]~~

- b. **If the PTR Committee found that the faculty member's performance warranted the category "does not meet expectations," and if the Provost agrees, Should the provost's decision be the faculty member "does not meet expectations" of work performance, the Summative Letter prepared by the Provost is to include specific reasons or grounds for this decision, including evidence from the PTR documents reviewed. This is to help direct the parties who will draft the required remediation plan. The Provost must send this same ~~summary letter~~ Summative Letter, along with a charge to initiate remediation for this faculty member, in accordance with FPP#506.01, to the chair of the faculty member's department and the faculty member's REO. [moved, modified—6]**
- c. **If the Provost disagrees with the PTR Committee's findings, the Provost shall include specific reasons in a Summative Letter to the faculty member and PTR Committee. [moved and modified—7]** All reviews resulting in "does not meet expectations," will result in a remediation plan as described in FPP#506.01. [moved—8]
- F. **The faculty member may submit a response to the Provost's findings within 10 days of receipt of such findings.**
- G. Copies of the PTR Committee's ~~summary~~ Summative Letter, the Provost's ~~summary~~ Summative Letter, and any written response from the faculty member shall be placed in the campus personnel file, the department personnel file and, following review by the Provost, in the permanent file in the Provost's office. Faculty members should retain these materials in their own professional files. [moved, modified—9]
- H. Following the Provost's finding that a faculty member "meets expectations," the PTR Committee and the faculty member shall schedule the Review and Development Conference as outlined in section ~~VH~~ VI. [moved and renumbered—10]

## **VI. Review & Development Conference Procedures**

- A. Following the Provost's finding that a faculty member "meets expectations", the PTR Committee and the faculty member shall schedule the Review and Development Conference. The PTR Development Conference has no bearing on the outcome of the PTR decision, which has already been reached and appropriately communicated. The purpose for the Development Conference is to promote, plan, and support the faculty member's professional growth and development over the next review period (usually 5 years). Prior to the meeting, the faculty member will be informed by a letter from the PTR Committee chairperson of the committee's determination (the PTR Committee's

~~summary~~ Summative Letter) and shall review specifics within the ~~summary~~ Summative Letter. Department bylaws should specify who participates in the Review and Development Conference, but the REO and the Committee chair are required to participate. Bylaws may grant the faculty member authority to determine an additional participant.

- B. As much as possible, recommendations resulting from the review should be addressed through funds designated for post-tenure development as well as through existing professional development programs, such as support for sabbatical leave, assistance in grant writing, and the establishment of meaningful mentoring relationships.
- C. By **April 15<sup>th</sup>**, all Review and Development Conferences for that year are to be completed.
- D. Copies of the PTR Committee's ~~summary~~ Summative Letter and any written response from the faculty member shall be placed in the campus personnel file, the department personnel file and, following review by the Provost, in the permanent file in the Provost's office. Faculty members should retain these materials in their own professional files. In the time between PTR Committee Review and the Development Conference, the faculty member can update his/her development plans with the approval of the PTR Committee.

#### **VII. Inactive or Ineffective Performance Between Post-Tenure Review**

To ensure faculty members continue to fulfill their duties between Post-Tenure Reviews, any faculty member who, in the merit review process, receives a merit ranking of 'unsatisfactory' (FPP#503) for 2 years within the period between Post-Tenure Reviews will be required to develop and complete a remediation plan as outlined in FPP#506.01.

#### **VIII. No Grievance Procedures**

*Institutional grievance procedures do not apply to actions and decisions made in accordance with this policy and the related remediation policy, except that they may apply to merit decisions.*

**UW Colleges Senate Policy**  
**Faculty Personnel Policy #506.01**  
**Faculty Remediation Procedures**

---

**I. Remediation Process and Plan**

In cases where the Post-Tenure Review reveals deficiencies and a determination that the faculty member “does not meet expectations,” or the faculty member receives a merit ranking of ‘unsatisfactory’ for a second time within the period between Post-Tenure Reviews, and upon concurrence from the Provost (as the Chancellor’s designee) a remediation plan will be developed. The plan will focus on remedying the problem with specific support, goals and outcomes indicated. This remediation plan shall also indicate deadlines for completion and consequences for failure to satisfactorily complete the remediation plan, which may include referral to the chancellor for consideration of dismissal for cause. While on remediation in response to one of these two triggers, should a faculty member trigger additional remediation due to failed PTR or additional unsatisfactory merit rankings, the existing remediation plan shall be modified, including timeline, if deemed necessary to respond to the new triggers for remediation. When a Remediation Plan has been successfully completed, this finding shall serve as a PTR finding of Meets Expectations.

**II. Definitions**

- A. **AR:** a faculty member’s annual Activity Report.
- B. **Campus Evaluations Committee:** The appropriate standing committee on each campus charged with conducting bi-annual campus merit reviews and any other faculty reviews
- C. **Department Chair:** Current Chair of the department in which the tenured faculty being reviewed is housed.
- D. **Final Review Meeting:** Meeting at which, after careful consideration and discussion of all present, a final assessment is made of satisfactory, or unsatisfactory, completion of the requirements of the Remediation Plan.
- E. **FPP:** Faculty Personnel Policy
- F. **Merit Review:** Annual evaluation of faculty, by campus in odd years and by department in even years, which reviews the faculty performance over the previous 2 years. Faculty is then assigned a rank (unsatisfactory, satisfactory, meritorious, highly meritorious, or exceptionally meritorious) based upon the evidence the faculty member provides in their Activity Reports (AR) and Student Survey of Instruction (SSI).
- G. **Progress Meeting:** Meeting at which the faculty member engaged in a remediation plan will present evidence of progress towards the goals of the remediation plan and receive feedback from the department chair and the REO.
- H. **PTR:** Post-Tenure Review

- I. **PTR Committee:** The committee charged with reviewing a faculty member's post-tenure review materials and reaching a finding of performance level.
- J. **RADAA:** Regional Associate Dean for Academic Affairs
- K. **Remediation Conference:** Face-to-face meeting of the faculty member under review, the department chair, the REO, and an additional tenured faculty member (if so selected by the member under review), and one additional member of UW Colleges administration (if so selected by the department chair) at which needs for remediation are discussed, goals of the remediation plan are discussed, and potential consequences for failing to complete the plan or appropriately meet the goals of the plan are to be presented.
- L. **Remediation Plan:** The individualized document specifying goals of remediation to be reached by the faculty member by the end of the allotted period of remediation, and the actions to be taken by this faculty member during this period to return to a level of satisfactory performance of work duties. This plan shall also include specifics regarding possible sanctions should the faculty member fail to meet the goals of remediation by the agreed completion time and fail to return to a satisfactory level of work performance. These sanctions should include the full range of potential sanctions appropriate to each case as determined by the chancellor or the chancellor's designee.
- M. **REO:** Regional Executive Officer/Dean

### **III. Initiating the Remediation Process in the Case of a Post-Tenure Review Conclusion of "Does Not Meet Expectations"**

- A. Initiation of the Remediation Process in cases of a Post-Tenure Review Conclusion of "Does Not Meet Expectations" follows the steps of Post-Tenure Review specified in FPP#506 sections V.D – V.G. [H](#)
- B. The specific criteria and process for development of the remedial plan, contents of the plan, deadlines for steps in the process, and details of assessment of progress and completion of the plan are outlined in sections V and VI of this policy.

### **IV. Initiating Remediation Process in the Case of Receiving a Second Annual Merit Ranking of "Unsatisfactory" within the Five Years between Post-Tenure Reviews**

- A. After a faculty member receives a second 'unsatisfactory' merit ranking in the period between Post-Tenure Reviews, the Department Chair will inform the Provost of the finding of the faculty member's performance as Inactive or Ineffective (not meeting expectations for performance). The department chair shall also forward to the Provost the two merit review summary letters and the faculty member's relevant Activity Reports from the two years of "Unsatisfactory" rankings. The Provost will then submit a letter within ten working days to the faculty member clearly indicating whether or not the Provost concurs the faculty member is inactive or ineffective and a remediation plan needs to be developed.

1. If the Provost does not concur with the need for a remediation plan, the Provost must submit a letter to the faculty member within ten working days clearly indicating the Evaluation concerns and that the Provost does not concur and does not require a remediation plan. The Provost's letter is also submitted to the department Chair, the RADAA, the REO, and HR.
  2. Alternatively, if the provost concurs that a remediation plan is required, the Provost shall send a letter, within 15 working days of receiving the department chair's letter of finding of inactive or ineffective performance by the identified faculty member, to the faculty member, the department chair, the RADAA, the REO, and HR outlining the process and timeline of a remediation plan.
- B. The specific criteria and process for development of the remediation plan, contents of the plan, deadlines for steps in the process, and details of assessment of progress and completion of the plan are outlined in sections V and VI.

## **V. Remediation Plan Development Procedures**

The development of the Remediation Plan is the joint responsibility of the respective department Chair and the respective REO of the faculty member under review. When the Provost determines that a remediation plan is needed in either circumstance outlined in this policy, the following shall occur.

1. The provost shall send a letter (the Summative Letter, required in 506.V-E & G) to the faculty member and the department chair, within 15 working days of determining that remediation is required, indicating that a remediation plan is needed as has been recommended by the department. The Provost's letter shall indicate that the department chair and REO will set up a face-to-face meeting, the Remediation Conference, with the faculty member within 15 working days of the date of the Provost's letter.
2. The Remediation Conference shall be held within 15 working days of the date of the Provost's letter informing of the need for remediation. This conference shall serve as a constructive conversation to inform the department chair and the REO of best steps to include in the Remediation Plan. If the faculty member rejects the opportunity for a face-to-face meeting or is unable to schedule such a meeting, the department chair and REO will complete the process without consultation with the faculty member. The faculty member may, if desired, choose one other tenured faculty member from the UW Colleges to attend the Remediation Conference as a liaison. The department chair may, if desired, also elect to have one other tenured faculty member or administrator from the UW Colleges attend the meeting as a liaison or alternate if the chair cannot be in attendance.
3. Within 20 working days of the mailing date of the provost's letter, and no later than May 20, the remediation plan must be finalized by agreement between the department

chair and the REO. The potential consequences for failure to successfully complete the remediation plan shall be approved by the provost, after consulting with the department chairperson and the REO, prior to finalizing the remediation plan.

4. Within 5 working days of the finalizing of the remediation plan, the Department Chair and REO will provide the faculty member (and Provost and HR) with a copy of the remediation plan that has been developed.

## **VI. Remediation Plan Content, Deadlines, and Progress Meetings**

The remediation plan is referred to as developmental as its purpose is to help the faculty member reach appropriate improvement goals in line with the area(s) of deficiency identified. The developmental remediation plan should reflect both the mission, goals, and objectives of the department, UW Colleges, the UW System, and the faculty member's professional development needs and objectives.

Each remediation plan will be unique to the faculty member and shall be developed jointly with the department chair and REO and be agreed upon mutually. The development of the plan should be viewed by all parties as an aid that will enhance the faculty member's future performance which in turn results in a better fulfillment of the institution's mission

### **A. The remediation plan shall**

1. clearly indicate the links between the deficiency or deficiencies, indicated in previous Merit Ranking Letters and the letter from the Provost regarding the need for a Remediation Development Plan, and the specific operationalized goals and outcomes for the faculty member.
2. list resources for appropriate support from the department and/or other campus resources as applicable (e.g., Virtual Teaching and Learning Center). Specific financial resources, including supplies and equipment supporting the specific areas of improvement should also be identified if needed and agreed upon.
3. clearly indicate a deadline (not to exceed 3 academic semesters starting the Fall semester subsequent to the development of remediation plan) by which time all elements of the plan must be satisfied, as judged by agreement between the department Chair and the REO.

In those few remediation plans related to a performance shortfall in research, scholarship, or professional activity where more than three academic semesters may be necessary to correct identified deficiencies, an extension of 1 academic semester shall be permitted only with the approval of the Chancellor, which shall trigger a notification of that extension to the UW System Administration Vice President for Academic and Student Affairs.

4. indicate the potential consequence(s), as determined by the provost, of not meeting the operationalized goals of the remediation plan by the deadline.

### **B. Within 40 working days of the end of the 1st semester into the plan, the Department Chair shall convene a progress meeting with the Department Chair, the REO and the faculty member. The faculty member will provide evidence of progress relating to the remediation plan. The meeting participants will determine if progress has occurred and to**

identify additional resources that may aid the faculty member. The faculty member may, if desired, choose one other tenured faculty member from the UW Colleges to attend the Progress Meeting as a liaison. The department chair may, if desired, also elect to have one other tenured faculty member or administrator from the UW Colleges attend the meeting as a liaison or if the chair cannot be in attendance.

- C. Within 40 working days of the end of the final semester of the scheduled Remediation Plan, the department Chair shall convene a Final Review Meeting, to be attended by the faculty member under review and the PTR Committee. The faculty member may, if desired, choose one other tenured faculty member from the UW Colleges to attend the Final Review Meeting as a liaison. The department chair may, if desired, also elect to have one other tenured faculty member or administrator from the UW Colleges attend the meeting as a liaison or as an alternate if the chair cannot be in attendance. Again, the faculty member will provide evidence of progress relating to the remediation plan. At the meeting the PTR Committee shall recommend to the Provost it's finding of whether the faculty member has met or not met the obligations of the remediation plan.
- D. Within 20 working days of the PTR Committee's recommendation of findings on completion of the remediation plan, the Provost (as Chancellor's designee) will issue the official finding of meets or fails to meet outcome provisions of the remediation plan.
- E. The Provost's official finding will result in a letter from the Provost to the faculty member in question, the Department Chair of the faculty member, the RADAA, the REO, and HR indicating that the faculty member has
  - 1. met the conditions of the Remediation Plan
  - 2. not met the conditions of the Remediation Plan. If the conditions of the remediation plan have not been met, this letter will include information regarding the sanctions, discipline or dismissal procedures, not to exceed those which had been included in the Remediation Plan.

If it has been determined the faculty member has not met the conditions of the Remediation Plan, in contrast to a non-retention decision for probationary faculty, consequences may range from informal sanctions as previously specified in the remediation plan document, to discipline short of dismissal for cause [such as suspension without pay or demotion of rank (with reduction of pay associated with rank)] under section UWS Chapter 6. In extreme instances, where it is determined by the Provost that the faculty member has failed to make even reasonable efforts to achieve the goals of the Remediation Plan, the Provost may forward all documentation to the Chancellor, with a recommendation to begin the process of dismissal for cause, under UWS Chapter 4. The decision to seek dismissal for cause shall be made by the Chancellor.

## **VII. Appeals and Grievances**

A faculty member cannot appeal a remediation plan implementation decision based on Post-Tenure Review, nor the final determination of completion of a remediation plan initiated from Post-Tenure Review. Furthermore, the reviews conducted and remediation

plans developed in accordance with this policy, as triggered by a Post-Tenure Review, are not subject to the grievance process set forth in Chapter UWS 6.02, Wis. Admin. Code. Remediation decisions triggered by two unsatisfactory ratings in the merit review process may be appealed/follow the grievance process as laid out in FPP#604.

This new policy, supportive to FPP#506, replaces provisions previously located in FPP#508. As a result, FPP#508 is being struck from UW Colleges Senate Policies. The most recent version of FPP#508 is copied below to assist in tracking the changes which have resulted in FPP#506.01.

### **UW Colleges Senate Policy Faculty Personnel Policy #508 ~~Policy on Ineffective or Inactive Performance~~**

---

~~Senate Minutes — Oct. 3, 1987, p.7, App. 18  
Reorganized and Renumbered March 15, 2002  
Revised by the Faculty Council (FPSC) 2014-10-24~~

---

- ~~A. All faculty of the UW Colleges have a responsibility to maintain the quality of teaching, professional growth and university and community service required by the faculty member's department and campus.~~
- ~~B. Faculty generally fulfill this responsibility well in their various ways. However, a faculty member may fail in this responsibility as shown through a pattern of ineffective effort or inactivity.~~
- ~~C. The deans of UW Colleges campuses and chairs of academic departments jointly have the primary and continuing annual responsibility for initially identifying possible patterns of ineffective or inactive performance. There can be no checklist for judging whether such a pattern may exist. Rather, standards of "reasonableness" should prevail.~~
- ~~D. If a dean or chair identifies such a possibility, then they shall jointly decide upon an initial course of action to determine the extent of the problem. Following a verbal communication by the department chair or dean to the faculty member that a concern may exist, various steps may be taken. For example, appropriate actions may include but shall not be limited to peer class visitations and evaluations and/or contacts with former students. If the dean and chair are satisfied that a problem does exist then they shall consult first with the Vice Chancellor, and then with the faculty member to decide upon a positive and remedial course of action to resolve the problem. The course of action should, if possible, include faculty renewal and development measures rather than punitive measures. This course of action shall be specified in a written Action Plan, including an appropriate timeline for completion, and shall be shared with the faculty member, the~~



~~campus dean, and the department chairperson. The dean and department chair shall involve the relevant campus and departmental committees as appropriate.~~

- ~~E. If the dean and/or chair conclude that remedial efforts to resolve the problem are not successful, the dean and/or department chair, in consultation with their appropriate faculty committees, shall submit the matter to the Chancellor by either (1) filing a formal complaint recommending specific courses of action, or (2) requesting an informal investigation under the provisions of UWS 4.01 (Dismissal for Cause).~~
- ~~F. A pattern of ineffectiveness or inactivity in a faculty member is grounds for discipline under section UWS 6.01 or dismissal for cause under section UWS 4.01, Wis. Adm. Code.~~
- ~~G. Merely being identified for review, as exhibiting a possible pattern of ineffective or inactive performance, cannot in itself be grounds for a formal grievance by the faculty member.~~
- ~~H. Throughout these processes, campus deans and department chairs shall keep adequate records.~~

March 24, 2017

James Henderson  
Vice President for Academic and Student Affairs  
University of Wisconsin System

RE: Support for UW Colleges Faculty Personnel Policy #506 and 506.01

Dear Jim:

I fully support the UW Colleges Post-Tenure Review policy that was approved by our Faculty Council on March 24, 2017.

Thank you for including review and approval of UW Colleges Faculty Personnel Policy #506 and 506.01 in the earliest Education Committee's agenda. Please contact me or Provost Greg Lampe if you have any questions.

Sincerely,



Cathy Sandeen  
Chancellor

EDUCATION COMMITTEE

Resolution I.1.g:

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

## **UW-MADISON POST-TENURE REVIEW POLICY**

### **EXECUTIVE SUMMARY**

#### **BACKGROUND**

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

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

A memo from Chancellor Blank requesting approval of the UW-Madison post-tenure review policy by the Board of Regents is attached to this document. The UW System Office of General Counsel and the Office of Academic and Student Affairs reviewed the proposed policy. The President recommends approval of the UW-Madison post-tenure review policy.

#### **REQUESTED ACTION**

Adoption of Resolution I.1.g, approving the UW-Madison Post-Tenure Review Policy.

#### **DISCUSSION**

On March 6, 2017, the UW-Madison Faculty Senate approved the university’s new post-tenure review policy. Attached to this document is Appendix A, containing the new UW-Madison post-tenure review policy as it would read if approved by the Board of Regents, followed by Appendix B containing the former policy on review of tenured faculty.

#### **RELATED REGENT POLICIES AND LAWS**

Section 36, Wis. Stats.  
Chapters UWS 3 and 5, Wis. Admin. Code  
Regent Policy Document 20-23

**APPENDIX A**  
**New UW-Madison Post-Tenure Review Policy**



***Post-Tenure Review Policy***  
*Faculty Policies and Procedures 7.17*  
Approved by the Faculty Senate, March 6, 2017

**A. PURPOSE**

The purposes of the review of tenured faculty are:

- a. to recognize outstanding achievement;
- b. to provide opportunities for mentoring and professional development;
- c. to help identify and remedy, from a developmental point of view, any deficiencies in teaching, service, outreach/extension, and research/scholarly productivity.

The process of post-tenure review is the periodic assessment of each faculty member's activities and performance, in accordance with the mission of the department, college, and institution, and the responsibilities of the faculty as described in *FPP* 8.02. The review is to be appropriately linked to the merit process, and should not involve the creation of unnecessary additional bureaucracy. Review of tenured faculty builds on and complements other aspects of the tenure process in order to develop faculty capacity and strengthen and promote the public benefits of tenure. Post-tenure review is not a reevaluation of tenure and is not undertaken for the purposes of discipline or dismissal. Faculty shall be subject to discipline or dismissal only for just cause (see *FPP* 9.). Departments, schools, and colleges may not use post-tenure reviews as the basis for budgetary decisions or for decisions regarding program discontinuance, curtailment, modification, or redirection.

**B. CRITERIA**

1. The basic standard for review shall be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with the faculty member's position.
2. Each department shall develop criteria to measure progress in teaching, service, outreach/extension, and research/scholarly productivity as appropriate to the field and consistent with *FPP* 8.02. Each department shall develop criteria to measure progress in scholarly productivity as appropriate to the field. The criteria for review shall be periodically reviewed by the executive committee of each department and the school or college APC.
3. The criteria for review should reflect the overall mission of the department, be sufficiently flexible to accommodate faculty with differing responsibilities, and recognize that careers and levels of productivity may change over time. In developing such criteria, departments may draw on statements used in other faculty review procedures, such as merit or promotion review. Special care should be taken to ensure that the scholarly productivity of jointly appointed and interdisciplinary faculty is appropriately evaluated.
4. The executive committee of each department shall ensure that the criteria governing faculty review do not infringe on the accepted standards of academic freedom of faculty, including the freedom to pursue novel, unpopular, or unfashionable lines of inquiry or innovative methods of teaching, and recognize that scholarly projects take varying amounts of time to come to fruition. Nothing in the criteria or application of these policies shall allow the review to be prejudiced by factors proscribed by applicable state or federal law, such as race, religion, sex, sexual orientation, ethnicity, age, and handicap.

5. For the purposes of this chapter, the following definitions shall apply:
  - a. A review resulting in an indication of “exceptionally good” performance shall constitute a rating of “exceeds expectations” for the purposes of Regent Policy Document (RPD) 20-9 sec. 9.b.
  - b. A review indicating “substantial deficiencies” in performance shall constitute a rating of “does not meet expectations” for the purposes of RPD 20-9 sec. 9.b.
  - c. All other review results under this chapter shall constitute a rating of “meets expectations” for the purposes of RPD 20-9 sec. 9.a. Discharging conscientiously and with professional competence the duties appropriately associated with the faculty member's position shall serve as the standard for “expected level of accomplishment” as described in the RPD.
  - d. For schools and colleges that are not officially divided into departments, all references to “department” or “chair” in this policy shall be understood to refer to the equivalent unit and its corresponding chair or equivalent.
  - e. An initial review indicating substantial deficiencies shall not constitute a disciplinary action under FPP 9.

### C. PROCEDURES

1. Reviews shall occur at least once every five years. These reviews may incorporate the annual merit review process and may encompass promotion, retention, salary, or other reviews, including but not limited to nominations for named chairs and professorships, major teaching awards, and national professional honors or awards. In the case of combined reviews, the department may require supplementary documentation from the faculty member, which meets the criteria below, that would not otherwise be required for the other review. The review may be deferred, by approval of the provost, for unusual circumstances such as when it may coincide with an approved leave, significant life event, promotion review, or other appointment, and the provost may then determine a new review schedule. Each review, as determined by each department's executive committee, shall be carried out by two or more tenured faculty members, who may be drawn from outside the department. Upon notification of the reviewers selected by the committee, if the faculty member under review formally objects to a reviewer, the chair, in consultation with the relevant dean, shall identify other appropriate reviewers. Such formal objections should be kept confidential. In the case of a faculty member with appointments in more than one department, the department chairs of the affected departments shall agree in writing on procedures for the conduct of the review.
2. Review procedures shall include:
  - a. A review of qualitative and quantitative evidence of the faculty member's performance over at least the previous five-year period. The evidence should include a current curriculum vitae, annual activity reports, teaching, and student evaluations or summaries of evaluations, and other materials providing evidence of the faculty member's accomplishments and contributions that the department or the faculty member feel are relevant to the review. The faculty member should provide the reviewers with a brief summary of career plans for the future. Letters from outside the university would not ordinarily be a part of the review process. The faculty member under review, however, may submit appropriate letters if she or he so chooses. The reviewers shall examine materials to the degree needed to accomplish the purposes of this review.
  - b. Discussion with the faculty member about his or her contributions to the profession, the department, and the university if either the reviewers or the faculty member so desire.

- c. Appropriate consideration of a faculty member's contributions outside the department to interdisciplinary and other programs, governance, and administration.
  - d. Other steps the reviewers consider useful in making a fair and informed judgment, including but not limited to consultation with individuals who have knowledge of the faculty member's work
3. The reviewers shall provide the faculty member with a written summary of the review. The faculty member shall have the right to prepare a written response to the summary within 30 days after receipt.
4. A copy of the summary and any written response to it shall be given to the department chair and shall be placed in the personnel file of the faculty member. A copy shall also be provided to the appropriate dean for sufficiency review. The department shall also preserve in the faculty member's personnel file all documents that played a substantive role in the review (other than documents such as publications that are readily accessible elsewhere), and a record of any action taken as a result of the review. The summary and outcome of the review shall remain confidential, that is, confined to the appropriate departmental, college, or university persons or bodies and the faculty member being evaluated, released otherwise only at the discretion, or with the explicit consent of, the faculty member, or as otherwise required by business necessity or law.
5. Every effort should be made to offer tangible recognition to those faculty identified as exceptionally good, including but not limited to, nomination for university, national, and international awards and relevant merit and other benefits.
6. Following the initial departmental review and faculty member's response, if any, the dean shall conduct a sufficiency review. In the event that the dean considers that the review was insufficient, he/she shall provide the reasons to the executive committee in writing why the review was insufficient within 14 days of receiving the departmental report. The executive committee may provide a response addressing the dean's concerns about the sufficiency of the review within 14 days. The dean will then make a recommendation to the provost on whether or not the faculty member "meets expectations."
  - a. If neither the departmental review nor the dean's review indicate substantial deficiencies, the post-tenure review process is concluded.
  - b. If both the departmental review and the dean's review indicate substantial deficiencies, the remediation process described in 7.b. shall commence immediately.
  - c. In the event the dean's review indicates substantial deficiencies not identified in the departmental review, the dean must provide written reasons within 14 days to the faculty member for the recommendation and the faculty member may provide a written response to the dean within 14 days. This statement can include new documentation on the faculty member's accomplishments. Within 5 days of the end of the faculty member's written response deadline, the dean will forward their review and the departmental review, along with any written response statements from the faculty member, to the provost.
  - d. In the event the departmental review indicates substantial deficiencies but the dean dissents, the dean will forward their recommendation, along with the departmental review and any written response statement from the faculty member, to the provost.
7. If the post-tenure review is not concluded at the dean's level per 6.a. or 6.b. above, upon receipt of the dean's recommendation, the provost will perform their own review, including consultation with the divisional committee review council (DCRC), which also will be provided with the executive committee recommendation, the dean's recommendation, and any faculty responses. The provost shall request advice from the DCRC within 5 days of receiving

the dean's recommendation and the council will provide their advice within 30 days of receiving the request from the provost.

- a. Review by the provost, or review by the dean which is not submitted for the provost's review, shall be the final review.
  - b. If after the reviews the substantial deficiencies are confirmed by the provost, support from institutional resources for professional development shall be proffered. The department chair and the faculty member shall develop a written plan for mentoring and professional development to address all issues identified in the review, in consultation, with the appropriate dean(s), who shall resolve any disagreements as to the creation of the remediation plan. This plan shall be the product of mutual negotiation and discussion between the faculty member and the chair and/or dean(s), shall respect academic freedom and professional self-direction, and shall be flexible enough to allow for subsequent alteration. Such a plan could include review and adjustment of the faculty member's responsibilities, development of a new research program or teaching strategy, referral to campus resources, assignment of a mentoring committee, institution of mandatory annual reviews for a specified period, written performance expectations, and/or other elements. The faculty member shall have the right to provide a written response regarding the manner in which any written development plan is formulated, the plan's content, and any resulting evaluation. This plan shall be completed no later than 30 days after the provost has informed the faculty member of the decision. The faculty member shall have three academic semesters to fully satisfy all of the elements of the remediation plan. If the remediation plan includes performance deficiencies in research, an extension of one academic semester may be granted by the chancellor.
8. The process for determination of the successful completion of the remediation is as follows.
- a. The faculty member will submit documentation of their activities that address issues identified in the remediation plan to the faculty member's executive committee. This documentation will include any information that the faculty member deems relevant and can be provided at any time during the remediation period, but must be provided no later than 4 weeks before the end of the remediation plan period.
  - b. Within 30 days of receipt, the executive committee will review the materials submitted, and will make a determination as to whether all the elements of the remediation plan have been satisfied. The executive committee will then submit the faculty member's documentation along with their determination to the dean.
  - c. The dean shall review the faculty member's performance and determine, in consultation with the faculty member, their department chair, and the chancellor, whether the remediation plan and criteria have been satisfied or whether further action to address the substantial deficiencies must be taken.
  - d. If the dean determines that the faculty member has not satisfied all the elements of the remediation plan, then within 14 days the decision and written reasons for this decision shall be provided to the faculty member and to the provost. Within 14 days of receiving the notification from the dean, the faculty member can submit to the provost an additional written statement addressing the decisions made by the executive committee and the dean.
  - e. Consistent with the provisions of RPD 20-9 sec. 12.c.ii., in the event that the review conducted per 9.c. reveals continuing and persistent problems with a faculty member's performance that do not lend themselves to improvement by the end of the remediation period, and that call into question the faculty member's ability to function in that position, then other possibilities, such as a mutually agreeable reassignment to other



duties or separation, should be explored. If these are not practicable, or no other solution acceptable to the parties can be found, then the University Committee must appoint an ad hoc committee of faculty to review proposed sanctions consistent with *FPP*.

9. The standard for discipline or dismissal remains that of just cause as outlined in *FPP* 9.02. and 9.03. The fact of successive negative reviews does not diminish the obligation of the institution to show such cause in a separate forum, following the procedures outlined in *FPP* 9. Records from post-tenure review may be relied upon and are admissible, but rebuttable as to accuracy. The administration bears the ultimate burden of proof on the issue of just cause for discipline and dismissal.
10. The faculty member retains all protections guaranteed in *FPP*, including, but not limited to, the rights to appeal and the right to appeal disciplinary action to the Committee on Faculty Rights and Responsibilities as described in *FPP* 9.07.

#### D. ACCOUNTABILITY

1. Copies of the departmental criteria and procedures for reviews of tenured faculty (including procedures to be used for individual tenured faculty with shared appointments in several departments) shall be filed with the appropriate chairs, deans, the provost, and the secretary of the faculty.
2. At the end of each academic year, the chair shall identify faculty to be reviewed by the end of the following academic year and the executive committee shall establish a calendar for reviews and provide notice to the identified faculty consistent with RPD 20-9 sec. 5. Department chairs shall coordinate with their deans to schedule all initial departmental reviews to be conducted during the fall semester, ensuring that all reviews and responses are completed and reported to the dean no later than March 1.
3. Departments shall maintain a record of reviews completed, including the names of all reviewers.
4. At the end of each academic year, department chairs shall send a report to the appropriate dean(s) listing the names of faculty members reviewed during that academic year and summarizing the outcomes of those reviews
5. If a department fails to conduct requisite reviews by the end of the academic year, the dean shall appoint reviewers to conduct reviews based on the department's specified criteria
6. The periodic review of each department, in which the department's mission, personnel, and development are now evaluated, shall include review of the process for review of tenured faculty in the department.
7. Pursuant to RPD 20-9 sec. 16, reviews and remediation plans are not subject to grievance processes. Faculty retain all protections and rights to grievances and appeals provided elsewhere in these chapters, including but not limited to *FPP* chapters 8 and 9, unrelated to post-tenure review.

**APPENDIX B**  
**Existing UW-Madison Post-Tenure Review Policy**

**UW-Madison Faculty Legislation II-106**  
**POLICY ON REVIEW OF TENURED FACULTY**

Each departmental executive committee shall establish written criteria and procedures governing the periodic review of each tenured faculty member.

**I. PURPOSE**

The purpose of the review of tenured faculty is to assess periodically each faculty member's activities and performance, in accordance with the mission of the department, college, and institution in such a way as to determine that the faculty member is meeting his or her obligations to the university and the State of Wisconsin. The review is to be appropriately linked to the merit process, and "should not involve the creation of unnecessary additional bureaucracy."

**II. CRITERIA**

- A. The criteria should reflect the overall mission of the department and should be sufficiently flexible to accommodate faculty with differing responsibilities. In developing such criteria, departments may draw on statements used in their current faculty review procedures, such as merit or promotion review.
- B. The executive committee of each department shall ensure that the criteria governing faculty review do not infringe on the accepted standards of academic freedom of faculty, including the freedom to pursue novel, unpopular, or unfashionable lines of inquiry. Nothing in the criteria or application of these policies shall allow the review to be prejudiced by factors proscribed by applicable state or federal law, such as race, religion, sex, sexual orientation, ethnicity, age, and handicap.

**III. PROCEDURES**

- A. Reviews shall occur at least once every five years unless delayed because the faculty member is on leave or because his or her promotion to full professor is anticipated for the following year. These reviews may be incorporated into the annual merit review process or combined with promotion or other reviews including but not limited to nominations for chaired professorships, major teaching awards, and national professional honors or awards. In the case of combined reviews, the department may require supplementary documentation from the faculty member, which meets the criteria of C.1. below, that would not otherwise be required for the other review.
- B. Each review, as determined by each department's executive committee, shall be carried out by one or more tenured faculty members. No individual shall serve as a reviewer if the faculty member under review formally objects to his or her service in that capacity. Such formal objections should be kept confidential. In the case of a faculty member with appointments in more than one department, the department chairs of the affected departments shall agree on procedures for the conduct of the review.
- C. Review procedures shall include
  - 1. A review of qualitative and quantitative evidence of the faculty member's performance over at least the previous five-year period. The evidence should include a current curriculum vitae, annual activity reports, teaching evaluations or summaries of evaluations, and other materials providing evidence of the faculty member's accomplishments and contributions that the department or the faculty member feel are relevant to the review. The faculty member should provide the reviewer(s) with a brief summary of career plans for the future. Letters from outside the university would not

ordinarily be a part of the review process. The faculty member under review, however, may submit appropriate letters if she or he so chooses. The reviewer(s) shall examine materials to the degree needed to accomplish the purposes of this review, which are to assess whether the faculty member is satisfactorily performing his or her duties to the university and the State of Wisconsin, and to encourage the improvement of faculty skills.

2. Discussion with the faculty member about his or her contributions to the profession, the department and the university if either the reviewers or the faculty member so desire.
  3. Appropriate consideration of a faculty member's contributions outside the department to interdisciplinary and other programs, governance, and administration.
  4. Other steps the reviewers consider useful in making a fair and informed judgment, including but not limited to consultation with individuals who have knowledge of the faculty member's work.
- D. The reviewer(s) shall provide the faculty member with a written summary of the review. The faculty member shall have the opportunity to prepare a written response to the summary. A copy of the summary and any written response to it shall be given to the department chair and shall be placed in the personnel file of the faculty member for uses deemed appropriate by the departmental executive committee. Any recommendations for action in response to the results of the review should be forwarded by the department chair to the appropriate individuals or bodies.
- E. The department shall also preserve in the faculty member's personnel file all documents that played a substantive role in the review (other than documents such as publications that are readily accessible elsewhere), and a record of any action taken as a result of the review.

#### IV. ACCOUNTABILITY

- A. Copies of the departmental criteria and procedures for reviews of tenured faculty shall be filed with the appropriate dean.
- B. Departments shall maintain a record of reviews completed, including the names of all reviewers.
- C. At the end of each academic year, the appropriate dean shall receive a report from the department chair listing the names of faculty members reviewed during that academic year and summarizing the outcomes of those reviews.
- D. Any exceptions to this review process must be approved by the appropriate dean.
- E. The periodic review of each department, in which the department's mission, personnel, and development are now evaluated, shall include review of the process for review of tenured faculty in the department.

#### V. IMPLEMENTATION

The executive committee of each department shall prepare a plan for scheduling reviews of tenured faculty. This plan shall provide for the first five year cycle of reviews to begin during the 1993-94 academic year.



March 27, 2017

TO: Ray Cross, President, UW System  
Regina Millner, President, UW Board of Regents

FROM: Rebecca Blank, Chancellor, UW-Madison *Rebecca Blank*

CC: Steven K. Smith, Secretary of the Faculty  
Amy Wendt, Chair, UW-Madison University Committee

Per the attached memo dated March 20, 2017, and consistent with UWS 2.02 and RPD 20-9, the University Committee has formally requested that I forward to you for consideration by the Board of the Regents the proposed new language for UW-Madison's Faculty Policies and Procedures (FPP) on post-tenure review of tenured faculty. It is our hope that the Education Committee will consider this language for approval at its April meeting, and send it to the full Board for approval at the same meeting.

As the memo from the University Committee notes, the UW-Madison Faculty Senate revisited the modified post-tenure review policies that it submitted to the Board of Regents in November 2016 after the Board of Regents modified RPD 20-9 at its meeting in December 2016. UW-Madison faculty reviewed and revised the modified campus policies to conform to the additional changes to the RPD. The enclosed policies were subsequently vetted with UW System Administration officials including UW System Vice President James Henderson and UW System Legal Counsel Tom Stafford, both of whom provided feedback indicating that the enclosed revisions were fully in keeping with the revised RPD. Subsequently, the updated campus policies were approved by the UW-Madison Faculty Senate on 6 March 2017, by a vote of 77-2, with 51 abstaining.

As requested by Vice President Henderson, an outline of the major changes and points discussed relating to the changes made since our November 2016 submission is enclosed herewith.

Accordingly, I endorse the revisions to the UW-Madison post-tenure review policies as submitted and respectfully request their approval by the Board of Regents at its April 2017 meeting.

Attachments

Chancellor Rebecca M. Blank  
Morgridge Friends Distinguished Chair of Leadership

Bascom Hall University of Wisconsin-Madison 500 Lincoln Drive Madison, Wisconsin 53706  
608-262-9946 Fax: 608-262-8333 TTY 608-263-2473



March 20, 2017

TO: Rebecca Blank, Chancellor

FROM: University Committee (Amy Wendt, chair; Tom Broman; Anja Wanner; Ruth Litovsky; Barbara Bowers; Richard Amasino)

CC: Sarah Mangelsdorf, Provost and Vice Chancellor for Academic Affairs  
Ray Taffora, Vice Chancellor for Legal Affairs  
Steven K. Smith, Secretary of the Faculty

Per UWS 2.02 (“Delegation”), all rules and procedures developed by the faculty of each institution related to faculty appointments are to be forwarded by the Chancellor of the institution to the President and by the President to the Board for its approval. The UW-Madison University Committee hereby submits for approval by the Board of Regents the proposed new language for UW-Madison’s Faculty Policies and Procedures (FPP) relating to faculty post-tenure review. These policies were approved by the UW-Madison Faculty Senate on 6 March 2017, by a vote of 77-2, with 51 abstaining. We hereby ask that you submit this to President Ray Cross per UWS 2.02 and RPD 20-9. We hope that the Board of Regents will approve this addition to FPP at its April 2017 meeting.

As you know, UW-Madison submitted an earlier version of this policy in November 2016 for consideration at the December 2016 Board meeting. While that version was, in our belief, fully compliant with the terms of RPD 20-9, at the December 2016 meeting, the Board of Regents revised the RPD such that additional revisions to the Madison policy were required. This current version was reviewed by UW System Vice President James Henderson and UW System Legal Counsel Tom Stafford, among others, and we have been told that it is fully in keeping with the revised RPD. Following the above-mentioned review, Vice President Henderson requested that we submit, along with this transmittal, an outline of the major changes and points discussed relating to the changes made since our November 2016 submission. We have included that information below.

Changes since November 2016 version of UW-Madison PTR policy

- “Outreach/extension” has been added to teaching, research, and service in the listing of faculty professional responsibilities (A.c and B.2).
- Wording has been modified in C.1 to more clearly reflect that the post-tenure review is distinct from annual merit and other reviews. (Requested by System)
- Removed: Statement granting automatic exemption from post tenure review for faculty with 100% administrative appointments. (Requested by System)

- A set of changes were made in the procedures for the steps following the completion of the peer review. (Requested by System)
  - The faculty member under review will have an opportunity to respond in writing to the review summary within 30 days of receipt (C.3).
  - The opportunity to request a second peer review with a new committee following a negative peer review has been deleted.
  - Subsequent to the peer review, the review summary and response (if provided) from the faculty member under review is forwarded to the dean for their review (C.4).
  - The description of the dean's review has been changed, and explicit procedures resulting from the four possible combinations of review committee and dean recommendations have been added (C.6).
  - For cases in which the dean's recommendation and that of the peer review committee do not concur, a Provost review has been added (procedures described in C.7). In these cases, after consultation with the Divisional Committee Review Council, the Provost makes the final decision.
- For cases that proceed to a remediation plan, the following changes have been made:
  - UW System review noted that the portion of section C relating to the development of a remediation plan did not provide for cases where the department chair and the faculty member disagreed. This has been addressed by indicating that the dean shall resolve any differences (C.7.b).
  - Procedures for review of progress and successful completion of the remediation period by the dean, in consultation with the department chair and chancellor have been added (C.8.a-d). (Requested by System)
- The determination of unsuccessful remediation will now be made "at the end of the remediation period," rather than "after several efforts" (C.8.e). (Requested by System)
- The annual timeline for post tenure reviews has been edited (D.2 and elsewhere) to ensure that reviews are completed within a single academic year. (Requested by System)
- In section B.5., the Madison PTR policy explains how the categories included in the RPD (exceeds expectations, meets expectations, does not meet expectations) relate to the categories used in the Madison policy (exceptionally good, substantial deficiencies, and other). The Madison categories are based on past practice and campus standards and are used for convenience, completely mapping onto the categories required under the RPD. (Clarification requested by System)
- "Significant life event" has been added to the list of reasons for which a review may be deferred with approval of the Provost (C.1). (Requested by Senate at "first reading.")
- Extension of research-related remediation periods by one semester must be approved by the Chancellor (C.7b; previous version had "Provost" here and was not in compliance with Board of Regents policy). (Identified by Madison staff.)

Post-Tenure Review Policy  
UW-Stevens Point

EDUCATION COMMITTEE

Resolution I.1.h:

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

## **UW-STEVENSON POINT POST-TENURE REVIEW POLICY**

### **EXECUTIVE SUMMARY**

#### **BACKGROUND**

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

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

A memo from Chancellor Patterson requesting approval of the UW-Stevens Point post-tenure review policy by the Board of Regents is attached to this document. The UW System Office of General Counsel and the Office of Academic and Student Affairs reviewed the proposed policy. The President recommends approval of the UW-Stevens Point post-tenure review policy.

#### **REQUESTED ACTION**

Adoption of Resolution I.1.h, approving the UW-Stevens Point Post-Tenure Review Policy.

#### **DISCUSSION**

On March 15, 2017, the UW-Stevens Point Faculty Senate approved the university’s new post-tenure review policy. Attached to this document is Appendix A, containing the new UW-Stevens Point post-tenure review policy as it would read if approved by the Board of Regents, followed by Appendix B containing the former post-tenure policy with changes marked and Appendix C containing the existing post-tenure review policy.

#### **RELATED REGENT POLICIES AND LAWS**

Section 36, Wis. Stats.  
Chapters UWS 3 and 5, Wis. Admin. Code  
Regent Policy Document 20-23



## **APPENDIX A**

### **New UW-Stevens Point Post-Tenure Review Policy**

#### **PROCEDURES FOR POST-TENURE REVIEW AND DEVELOPMENT.**

##### *Introduction*

Tenure is an essential part of the guarantee of academic freedom that is necessary for university-based intellectual life to flourish. The grant of indeterminate tenure to faculty members represents an enormous investment of university and societal resources, and those who receive this investment do so only after rigorous review which established that their scholarship, research, teaching, and service met the highest standards and are congruent with the needs of the university.

It is the policy of the Board of Regents that a periodic, post-tenure review of tenured faculty members is essential to promoting faculty development, including recognizing innovation and creativity; enhancing the educational environment for students; and identifying and redressing deficiencies in overall performance of duties through a supportive and developmental remediation process.

Nothing in this policy shall be interpreted to alter or to infringe upon existing tenure rights, as set forth in UW System Board of Regents or UW System policies, nor shall this policy diminish the important guarantees of academic freedom. Specifically, this policy does not supersede administrative rules providing for termination for cause set forth in Chapter UWS 4 of the Wisconsin Administrative Code.

##### *Purpose*

The purpose of post-tenure review is the periodic assessment of each tenured faculty member's academic activities and performance, in accordance with the mission of the department, college, and institution. (Please refer to the *UWSP Teaching, Scholarship and Service* document published by the Provost for more detail.) The review is to be appropriately linked to the promotion and/or merit processes (see "Promotion Review as Substitute" under "Evaluation Procedures," and "Use of Post-Tenure Review File for Merit" under "Departmental Procedures" below). Review of tenured faculty builds on and complements other aspects of the tenure process in order to develop faculty capacity and strengthen and promote the public benefits of tenure. Post-tenure review is not a reevaluation of tenure and is not undertaken for the purposes of discipline or dismissal.

Faculty shall be subject to dismissal only for just cause (see Handbook Chapter 4A, Section 2, "Procedures for Dismissal"). Departments, schools, and colleges shall not use post-tenure reviews as the basis for budgetary decisions or for program modification or redirection. Although this review is not subject to the grievance process set forth in Chapter UWS 6.02, faculty do retain rights regarding discipline under Chapter UWS 4.

##### *Definition*

In the following policy, "department chair" refers to any equivalent unit coordinator.

##### *Annual Merit Review*

Tenured and tenure-track faculty are evaluated annually in a separate process described in the Departmental Merit Procedures below (see Handbook Chapter 4B, Section 3, "Departmental Merit Procedures").

##### *Evaluation Procedures*

In addition to the annual merit review (see above), each tenured faculty member will be evaluated every 5 years for the purpose of general review, development, recognition and merit. This will include evaluating how past individual-based and department-based performance objectives have been met and will set such objectives for the next evaluation period.

##### *Notice to Faculty*

A written notice of post-tenure review must be given to the faculty member three months in advance of the review.

##### *Promotion Review as Substitute.*

A faculty member seeking promotion in rank may use review and evaluation for promotion in place of post-tenure review. The substitution is permissible only when promotion is sought in the same year as or

sooner than the faculty member's scheduled post-tenure review. If promotion is sought in the same year as the faculty member's scheduled post-tenure review and promotion is denied, the post-tenure review of the faculty member will continue under this policy. A promotion decision must be made early enough in the academic year to permit completion of the post-tenure review process during that academic year if promotion is denied. When review and evaluation for promotion is used in place of post-tenure review, the next post-tenure review will be scheduled five years after the promotion review.

#### *Evaluation Process*

The evaluation shall address each of the three criteria, Teaching Ability, Scholarship, and General Education Service, outlined in the UWSP Handbook, Chapter 4B, Section 3, "Performance Objectives (Criteria) for Evaluating Faculty." The evaluation shall include consideration of activities done in support of undergraduate education. If applicable to the individual, the evaluation shall also include consideration of activities done in support of graduate education.

This evaluation shall be conducted by a Review Committee of at least three tenured members of a faculty member's department (or outside the department if needed). See departmental procedures or bylaws.

The evaluation shall include:

- current curriculum vitae; and
- analysis of student evaluations; and
- peer observations and evaluations of instruction; and
- review of professional accomplishments; and
- analysis of other material presented by the faculty member, such as a cover letter, course syllabi, letters of support, etc.

The review of evidence, discussion with the department chair, decision whether the faculty member meets the expectations for each of the three above-referenced criteria, and the writing of the required reports shall be completed within 60 days of the established review date.

The Review Committee shall make a recommendation regarding the faculty member's performance and write a summary report, which shall be provided to the faculty member. See the Departmental Policies section below. The faculty member may provide the dean with a written response to the report within 10 days of receipt of the report.

#### *Sufficiency Review*

The materials for each Post Tenure Review shall be forwarded to the appropriate dean. The dean shall conduct a sufficiency review to ensure that the Review Committee's work was conducted according to the criteria and procedures established by the department and that the results of the review are within reasonable expectations for a faculty member. In the event that the dean considers that the review was insufficient, the dean shall provide the reasons to the Review Committee in writing why the review was insufficient within five working days of receiving the report. The Review Committee may provide a response addressing the dean's concerns about the sufficiency of the review within 10 working days. The dean may conduct an independent review of the submitted materials. As part of the independent review, the dean shall request advice from the appropriate department or unit chair. The dean shall request advice from the department or unit chair within 5 days of receiving the report, and the department or unit chair will provide their advice within 14 days of receiving the request from the dean. The dean will then make a recommendation to the chancellor (or designee) on whether or not the faculty member "meets expectations" or "does not meet expectations". The faculty member may provide the chancellor with a written response to the dean's recommendation within 10 days of receipt of the recommendation. The chancellor (or designee) shall review the post-tenure review materials and determine that the faculty member either "meets expectations" or that a remediation plan must be developed. A faculty member may provide a written response within 10 days of receipt of the decision.

### *Result of Evaluation*

The review will identify which of the following applies to the faculty member:

**Meets expectations** This category applies to those tenured faculty members whose performance reflects the expected level of accomplishment.

**Does not meet expectations** This category applies to those tenured faculty members whose performance reflects a level of accomplishment below the expected level. All reviews resulting in “does not meet expectations,” unless overturned upon further review, will result in a remediation plan.

### *Actions Stemming from Results*

A faculty member who has received a review in the category of “meets expectations,” shall receive a base salary increase of 2.0%.

If the faculty member receives a review in the category of “does not meet expectations,” and where deficiencies are indicated, a remediation plan for responding to those deficiencies shall be established as follows:

- a. Areas of deficiency must be described in writing and provided to the faculty member.
- b. The remediation plan, developed by the faculty member in consultation with the department chair and dean, shall address any deficiencies identified in the review and will provide opportunity for professional growth and include appropriate support from the department or dean as applicable.
  - i. The remediation plan must establish how and when the faculty member will have satisfied the expectations of the plan within a reasonable time period, not to exceed three academic semesters (not including the summer sessions). In those few remediation plans related to a performance shortfall in scholarship where more than three academic semesters may be necessary to correct identified deficiencies, an extension of one academic semester shall be permitted only with the approval of the chancellor.
  - ii. The remediation plan must list the actions to be taken when the faculty member fails to meet the expectations set forth in the plan, including reference to existing faculty complaint processes, and which permit the imposition of discipline, as appropriate, up to and including dismissal for cause under Chapter UWS 4.
  - iii. If the faculty member's performance does not show satisfactory improvement within the time frame specified in the remediation plan, the departmental committee that conducted the review will notify the department chair and dean of the remaining areas in need of improvement. The dean, in consultation with the chancellor and faculty member, makes the final determination whether the faculty member has satisfied the remediation plan.

### *Offer of Support*

Regardless of the results of the faculty member's post-tenure review, assistance shall be made available to all faculty members to support their professional development at any time in their careers.

### *Departmental Policies*

The department shall develop procedures for conducting post-tenure reviews and for actions to be taken as a result of the reviews.

#### Relative Importance of Criteria.

Department procedures shall indicate the emphasis to be given to activities done in support of undergraduate education in the context of the mission of the department, college, and university.

#### Accountability.

The department procedures shall clearly indicate the method by which strengths, as well as suggestions for improvement, will be brought to the attention of the faculty member being reviewed. Subsequent performance objectives shall be based on the post-tenure review.

#### Written Report

For record keeping, the department chair shall send a brief written summary of the post-tenure review, a list of any recommendations, the faculty member's written responses to the various reviews if there are any (including any remediation plan), and a statement of completion of the review to the appropriate dean with a copy to the faculty member.

#### Use of Post-Tenure Review

The outcome of the post-tenure review may be used as one basis for determining institutional support from the department, college, and division for professional development proposals submitted by individual faculty. The support may be used to correct deficiencies or advance goals.

#### *Use of Post-Tenure Review File for Merit*

Following the completion of the review, the review file may, at the discretion of the reviewed faculty member, serve as the merit file for that faculty member for that year only. The faculty member may elect to add additional information to the file for merit purposes.

#### *Records*

The department may release review materials only as required for faculty-initiated personnel actions or as specified above under "Written Report" or as required by business necessity or law. The full written record of the review shall be kept in the department personnel file, and a summary of the results of the review shall be forwarded to the dean. A faculty member's individual performance objectives for the next review period shall become a part of the faculty member's yearly merit file.

#### *Record Keeping*

The Provost shall be informed by the deans of all completed post-tenure reviews and shall ensure implementation of the review process by maintaining completion records and informing deans when individual faculty members have not been reviewed within the required time period.

## APPENDIX B

### UW-Stevens Point Post-Tenure Review Policy with Tracked Changes

#### PROCEDURES FOR POST-TENURE REVIEW AND DEVELOPMENT.

##### Introduction

Tenure is an essential part of the guarantee of academic freedom that is necessary for university-based intellectual life to flourish. The grant of indeterminate tenure to faculty members represents an enormous investment of university and societal resources, and those who receive this investment do so only after rigorous review which established that their scholarship, research, teaching, and service met the highest standards and are congruent with the needs of the university.

It is the policy of the Board of Regents that a periodic, post-tenure review of tenured faculty members is essential to promoting faculty development, including recognizing innovation and creativity; enhancing the educational environment for students; and identifying and redressing deficiencies in overall performance of duties through a supportive and developmental remediation process.

Nothing in this policy shall be interpreted to alter or to infringe upon existing tenure rights, as set forth in UW System Board of Regents or UW System policies, nor shall this policy diminish the important guarantees of academic freedom. Specifically, this policy does not supersede administrative rules providing for termination for cause set forth in Chapter UWS 4 of the Wisconsin Administrative Code.

##### Purpose

The purpose of post-tenure review is the periodic assessment of each tenured faculty member's academic activities and performance, in accordance with the mission of the department, college, and institution. (Please refer to the *UWSP Teaching, Scholarship and Service* document published by the Provost for more detail.) The review is to be appropriately linked to the promotion and/or merit processes (see "Promotion Review as Substitute" under "Evaluation Procedures," and "Use of Post-Tenure Review File for Merit" under "Departmental Procedures" below). Review of tenured faculty builds on and complements other aspects of the tenure process in order to develop faculty capacity and strengthen and promote the public benefits of tenure. Post-tenure review is not a reevaluation of tenure and is not undertaken for the purposes of discipline or dismissal.

Faculty shall be subject to dismissal only for just cause (see Handbook Chapter 4A, Section 2, "Procedures for Dismissal"). Departments, schools, and colleges shall not use post-tenure reviews as the basis for budgetary decisions or for program modification or redirection. Although this review is not subject to the grievance process set forth in Chapter UWS 6.02, faculty do retain rights regarding discipline under Chapter UWS 4.

##### Definition

In the following policy, "department chair" refers to any equivalent unit coordinator.

##### Annual Merit Review

Tenured and tenure-track faculty are evaluated annually in a separate process described in the Departmental Merit Procedures below (see Handbook Chapter 4B, Section 3, "Departmental Merit Procedures").

##### Evaluation Procedures

In addition to the annual merit review (see above), *Frequency and Purpose of Evaluation:*

Each tenured faculty member will be evaluated ~~at least once~~ every 5 years for the purpose of general review, development, recognition and merit. This will include evaluating how past individual-based and department-based performance objectives have been met and will set such objectives for the next evaluation period.

##### Notice to Faculty

A written notice of post-tenure review must be given to the faculty member three months in advance of the review.

#### Interim Meeting:

~~At least one interim meeting will be held with the faculty member, the department chairperson, and appropriate member(s) of the departmental committee to discuss progress and revise objectives if necessary.~~

#### Promotion Review as Substitute.

A faculty member seeking promotion in rank may use review and evaluation for promotion in place of post-tenure review. The substitution is permissible only when promotion is sought in the same year as or sooner than the faculty member's scheduled post-tenure review. If promotion is sought in the same year as the faculty member's scheduled post-tenure review and promotion is denied, the post-tenure review of the faculty member will continue under this policy. A promotion decision must be made early enough in the academic year to permit completion of the post-tenure review process during that academic year if promotion is denied. When review and evaluation for promotion is used in place of post-tenure review, the next post-tenure review will be scheduled five years after the promotion review.

#### Criteria for Evaluation Process:

The evaluation shall address each of the three criteria, Teaching Ability, Scholarship, and General Education Service, outlined in the UWSP Handbook, Chapter 4B, Section 3,~~section titled~~ "Performance Objectives (Criteria) for Evaluating Faculty \_,"~~and any individually-based objectives~~. The evaluation shall include consideration of activities done in support of undergraduate education. If applicable to the individual, the evaluation shall also include consideration of activities done in support of graduate education.

#### Evaluators:

This evaluation shall be conducted by a Review Committee~~significant number of~~ at least three~~the faculty member's~~ tenured members of a faculty member's department (or outside the department if needed). See departmental procedures or bylaws.

The evaluation~~colleagues and~~ shall include:

- current curriculum vitae; and
  - analysis of student evaluations; and
  - ~~analysis of material presented by the faculty member;~~
  - peer observations~~observation~~ and evaluations~~evaluation~~ of instruction; and
  - review of professional accomplishments; and-
- analysis of other material presented by the faculty member, such as a cover letter, course syllabi, letters of support, etc.

The review of evidence, discussion with the department chair, decision whether the faculty member meets the expectations for each of the three above-referenced criteria, and the writing of the required reports shall be completed within 60 days of the established review date.

The Review Committee shall make a recommendation regarding the faculty member's performance and write a summary report, which shall be provided to the faculty member. See the Departmental Policies section below. The faculty member may provide the dean with a written response to the report within 10 days of receipt of the report.

#### Sufficiency Review

The materials for each Post Tenure Review shall be forwarded to the appropriate dean. The dean shall conduct a sufficiency review to ensure that the Review Committee's work was conducted according to the criteria and procedures established by the department and that the results of the review are within reasonable expectations for a faculty member. In the event that the dean considers that the review was insufficient, the dean shall provide the reasons to the Review Committee in writing why the review was insufficient within five working days of receiving the report. The Review Committee may provide a response addressing the dean's concerns about the sufficiency of the review within 10 working days. The dean may conduct an independent review of the submitted materials. As part of the independent review, the dean shall request advice from the appropriate department or unit chair. The dean shall request advice from the department or unit chair within 5 days of receiving the report, and the department or unit chair will provide their advice within 14 days of receiving the request from the dean. The dean will then make a recommendation to the chancellor (or designee) on whether or not the faculty member "meets expectations" or "does not meet expectations". The faculty member may provide the chancellor with a written response to the dean's recommendation within 10 days of receipt of the recommendation. The chancellor (or designee) shall review the post-tenure review materials and determine that the faculty member either "meets expectations" or that a remediation plan must be developed. A faculty member may provide a written response within 10 days of receipt of the decision.

#### Result Use of Evaluation:

The review will identify which of the following applies to the faculty member:

**Meets expectations** This category applies to those tenured faculty members whose performance reflects the expected level of accomplishment.

**Does not meet expectations** This category applies to those tenured faculty members whose performance reflects a level of accomplishment below the expected level. All reviews resulting in "does not meet expectations," unless overturned upon further review, will result in a remediation plan .

#### Actions Stemming from Results

A faculty member who has received a review in the category of "meets expectations," shall receive a base salary increase of 2.0%.

If the faculty member receives a review in the category of "does not meet expectations," and where deficiencies are indicated, a remediation plan for responding to those deficiencies shall be established as follows:

a. Areas of deficiency must be described in writing and provided to the faculty member.

b. The remediation plan, developed by the faculty member in consultation with the department chair and dean, shall address any deficiencies identified in the review and will provide opportunity for professional growth and include appropriate support from the department or dean as applicable.

i. The remediation plan must establish how and when the faculty member will have satisfied the expectations of the plan within a reasonable time period, not to exceed three academic semesters (not including the summer sessions). In those few remediation plans related to

a performance shortfall in scholarship where more than three academic semesters may be necessary to correct identified deficiencies, an extension of one academic semester shall be permitted only with the approval of the chancellor.

ii. The remediation plan must list the actions to be taken when the faculty member fails to meet the expectations set forth in the plan, including reference to existing faculty complaint processes, and which permit the imposition of discipline, as appropriate, up to and including dismissal for cause under Chapter UWS 4.

iii. If the faculty member's performance does not show satisfactory improvement within the time frame specified in the remediation plan, the departmental committee that conducted the review will notify the department chair and dean of the remaining areas in need of improvement. The dean, in consultation with the chancellor and faculty member, makes the final determination whether the faculty member has satisfied the remediation plan.

#### Offer of Support

Regardless of the results of the faculty member's post-tenure review, assistance shall be made available to all faculty members to support their professional development at any time in their careers.

#### Departmental Policies

The department shall develop procedures for conducting post-tenure reviews and for actions to be taken as a result of the reviews.

#### Relative Importance of Criteria.

Department procedures shall indicate the emphasis to be given to activities done in support of undergraduate education in the context of the mission of the department, college, and university.

#### Accountability.

The department procedures shall clearly indicate the method by which strengths, as well as suggestions for improvement, will be brought to the attention of the faculty member being reviewed. Subsequent performance objectives shall be based on the post-tenure review.

#### Written Report

For record keeping, the department chair shall send a brief written summary of the post-tenure review, a list of any recommendations, the faculty member's written responses to the various reviews if there are any (including any remediation plan), and a statement of completion of the review to the appropriate dean with a copy to the faculty member.

#### Use of Post-Tenure Review

The outcome of the ~~post-tenure review~~**evaluation** may be used as one basis for determining institutional support from the department, college, and division for professional development proposals submitted by individual faculty. The support may be used to correct deficiencies or advance goals.

#### Use of ~~Post-Tenure~~ Review File for Merit.

Following the completion of the review, the review file may, at the discretion of the reviewed faculty member, serve as the merit file for that faculty member for that year only. The faculty member may elect to add additional information to the file for merit purposes.

#### ~~Departmental Procedures.~~

~~The department shall develop procedures for conducting evaluations and for actions to be taken as a result of the evaluations.~~



#### Relative Importance of Criteria:

~~Department procedures shall indicate the emphasis to be given to activities done in support of undergraduate education in the context of the mission of the department, college, and university.~~

#### Accountability:

~~The department procedures shall clearly indicate the method by which strengths, as well as suggestions for improvement, will be brought to the attention of the faculty member being reviewed. Subsequent performance objectives shall be based on the evaluation.~~

#### Plan of Action:

~~Where suggestions for improvement are indicated, the departmental reviewing body, in conjunction with the faculty member, shall establish a plan of action for responding to those suggestions.~~

#### Summary:

~~The department procedures shall provide for sending a brief summary of the review, a list of any recommendations, and a statement of completion of the review to the appropriate dean with a copy to the faculty member.~~

#### Lack of Improvement:

~~The department procedures shall indicate that if the faculty member's performance does not show satisfactory improvement within the time frame specified in the plan of action, the departmental reviewing body will notify the chairperson and dean of the remaining areas in need of improvement.~~

~~Thereafter, the chairperson and dean will develop a plan for improving these remaining areas. If the faculty member's performance does not improve according to the specifications of this plan, appropriate action will be taken.~~

#### Records:

The department may release review materials only as required for faculty-initiated personnel actions or as specified above under "Written Report" or as required by business necessity or law. The full~~Summary.~~ The written record of the review shall be kept in the department personnel file, and a summary of the results of the review shall be forwarded to the dean. ~~– A faculty member's individual performance objectives for the next review period shall become a part of the faculty member's yearly merit file.~~

~~performance objectives for the next evaluation period shall become a part of the faculty member's yearly merit file.~~

#### Record Keeping:

The Provost~~vice chancellor~~ shall be informed by the deans of all completed post-tenure reviews and shall ensure implementation of the review process by maintaining completion records and informing deans when individual faculty members have not been reviewed within the required time period.

**APPENDIX C**  
**Existing UW-Stevens Point Post-Tenure Review Policy**

**PROCEDURES FOR POST-TENURE REVIEW AND DEVELOPMENT.**

**Frequency and Purpose of Evaluation.**

Each tenured faculty member will be evaluated at least once every 5 years for the purpose of general review, development, recognition and merit. This will include evaluating how past individual-based and department-based performance objectives have been met and will set such objectives for the next evaluation period.

**Interim Meeting.**

At least one interim meeting will be held with the faculty member, the department chairperson, and appropriate member(s) of the departmental committee to discuss progress and revise objectives if necessary.

**Promotion Review as Substitute.**

A faculty member seeking promotion in rank may use review and evaluation for promotion in place of post-tenure review. The substitution is permissible only when promotion is sought in the same year as or sooner than the faculty member's scheduled post-tenure review. When review and evaluation for promotion is used in place of post-tenure review, the next post-tenure review will be scheduled five years after the promotion review.

**Criteria for Evaluation.**

The evaluation shall address each of the three criteria outlined in the section titled "Performance Objectives (Criteria) for Evaluating Faculty," and any individually-based objectives. The evaluation shall include consideration of activities done in support of undergraduate education. If applicable to the individual, the evaluation shall also include consideration of activities done in support of graduate education.

**Evaluators.**

This evaluation shall be conducted by a significant number of the faculty member's tenured colleagues and shall include

- analysis of student evaluations;
- analysis of material presented by the faculty member;
- peer observation and evaluation of instruction; and
- review of professional accomplishments.

**Use of Evaluation.**

The outcome of the evaluation may be used as one basis for determining institutional support from the department, college, and division for professional development proposals submitted by individual faculty. The support may be used to correct deficiencies or advance goals.

**Use of Review File for Merit.**

Following the completion of the review, the review file may, at the discretion of the reviewed faculty member, serve as the merit file for that faculty member for that year only. The faculty member may elect to add additional information to the file for merit purposes.

#### Departmental Procedures.

The department shall develop procedures for conducting evaluations and for actions to be taken as a result of the evaluations.

#### Relative Importance of Criteria.

Department procedures shall indicate the emphasis to be given to activities done in support of undergraduate education in the context of the mission of the department, college, and university.

#### Accountability.

The department procedures shall clearly indicate the method by which strengths, as well as suggestions for improvement, will be brought to the attention of the faculty member being reviewed. Subsequent performance objectives shall be based on the evaluation.

#### Plan of Action.

Where suggestions for improvement are indicated, the departmental reviewing body, in conjunction with the faculty member, shall establish a plan of action for responding to those suggestions.

#### Summary.

The department procedures shall provide for sending a brief summary of the review, a list of any recommendations, and a statement of completion of the review to the appropriate dean with a copy to the faculty member.

#### Lack of Improvement.

The department procedures shall indicate that if the faculty member's performance does not show satisfactory improvement within the time frame specified in the plan of action, the departmental reviewing body will notify the chairperson and dean of the remaining areas in need of improvement.

Thereafter, the chairperson and dean will develop a plan for improving these remaining areas. If the faculty member's performance does not improve according to the specifications of this plan, appropriate action will be taken.

#### Records.

The department may release review materials only as required for faculty-initiated personnel actions or as specified above under "Summary." The written record of the review shall be kept in the department personnel file. A faculty member's individual

performance objectives for the next evaluation period shall become a part of the faculty member's yearly merit file.

#### Record Keeping.

The vice chancellor shall be informed by the deans of all completed reviews and shall ensure implementation of the review process by maintaining completion records and informing deans when individual faculty members have not been reviewed within the required time period.



March 24, 2017

Dear Regent Regina Millner and President Ray Cross,

On March 15, 2017, the Common Council of UW-Stevens Point voted to forward a revised UW-Stevens Point Post Tenure Review Policy to UW System. The new policy was developed by an ad-hoc faculty committee over the past year, and then vetted broadly on campus and in shared governance. We were aided in this process by reviews and feedback from Tom Stafford, Anne Bilder, and Jim Henderson at UW System.

Our former Post-Tenure Review policy at UW-Stevens Point had many aspects already in accordance with Regent Policy Document 20-9 (formerly Regent Policy Document 92-5). These include definitions of key terms, a five-year required cycle of reviews following the awarding of tenure, criteria for evaluation, and other procedures that required only minor modification.

However, we also made significant additions to existing policy. These include:

- A statement addressing the purpose of post-tenure review as it relates to improving the professional development process and the protection of academic freedom for faculty.
- A clearer description and cross-reference to the existing annual merit review process for all faculty.
- Additional language providing at least a three-month notice before review is conducted.
- Language clarifying the timeline for submitting post-tenure review reports after the review date.
- The specification of categories for the results of the review including “Meets expectations” and “Does not meet expectations” and their definitions, as well as the inclusion of an administrative review of department recommendations.
- A statement recommending a salary increase for a faculty member meeting expectations.
- A revised section that addresses lack of improvement in the performance of a faculty member which complies with all requirements in Regent Policy Document 20-9 Section 12 including the creation of a remediation plan, a provision for determining how and when the faculty member has satisfied expectations, clear timelines for remediation as well as a reconsideration process when the faculty member believes the review committee has not properly assessed their performance. This process is not subject to the grievance process set forth in UWS 6.02, Wisc. Admin. Code. It also includes a provision

for actions to take when the faculty member fails to meet expectations, including the imposition of discipline.

- The addition of a requirement that professional development be offered to all faculty undergoing post-tenure review regardless of the results of that review.

I commend my colleagues on their inclusive and efficient work and endorse the policy as written.

Sincerely,

A handwritten signature in black ink, appearing to read "Bernie L. Patterson", with a stylized, flowing script.

Bernie L. Patterson  
Chancellor

EDUCATION COMMITTEE

Resolution I.1.i:

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

## **UW-WHITewater POST-TENURE REVIEW POLICY**

### **EXECUTIVE SUMMARY**

#### **BACKGROUND**

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

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

A memo from Chancellor Kopper requesting approval of the UW-Whitewater post-tenure review policy by the Board of Regents is attached to this document. The UW System Office of General Counsel and the Office of Academic and Student Affairs reviewed the proposed policy. The President recommends approval of the UW-Whitewater post-tenure review policy.

#### **REQUESTED ACTION**

Adoption of Resolution I.1.i, approving the UW-Whitewater Post-Tenure Review Policy.

#### **DISCUSSION**

On March 28, 2017, the UW-Whitewater Faculty Senate approved the university’s new post-tenure review policy. Attached to this document is Appendix A, containing the new UW-Whitewater post-tenure review policy as it would read if approved by the Board of Regents, followed by Appendix B containing the former post-tenure policy with changes marked and Appendix C containing the existing post-tenure review policy.

#### **RELATED REGENT POLICIES AND LAWS**

Section 36, Wis. Stats.  
Chapters UWS 3 and 5, Wis. Admin. Code  
Regent Policy Document 20-23

## **APPENDIX A**

### **New UW-Whitewater Post-Tenure Review Policy**

**FSEC 1617-06**

**Approved by the Faculty Senate Executive Committee, March 28, 2017**

#### **UW-Whitewater Post-Tenure Review Policy**

**I. Purpose:** The primary purpose of the periodic, Post-Tenure Review of tenured faculty is to support tenured faculty development and to assure that the talents of each faculty member are being utilized in ways that best serve the interests of the students, the institution, the academic discipline, and the faculty member. Nothing in the criteria or application of these policies shall violate a faculty member's rights and protections under applicable non-discrimination state or federal laws, including harassment or retaliation. Moreover, it is recognized that the interests and expertise of the individual faculty member may change during the course of a career; therefore, the tenured faculty member, with administrative approval, may be permitted in consultation and agreement with the administration to adjust the mix and balance of commitments among the performance categories of teaching, scholarship, research and creative activity, and service. This policy is implemented in accordance with Regent Policy Document 20-9, as amended.

**II. General Principles:** The following general principles shall be applicable to the Post-Tenure Review ("PTR") under this policy:

- A. Neither this policy nor the criteria used for a PTR shall infringe on the accepted standards of academic freedom of faculty, including the freedom to pursue novel, unpopular, or unfashionable lines of inquiry or innovative methods of teaching.
- B. This policy is not intended to serve as a substitute for annual or other evaluations of tenured faculty performance, nor is it intended as a re-evaluation of tenure.
- C. The PTR process, founded on peer-review principles, shall involve a fair and holistic evaluation of performance, shall include criteria that will evaluate the faculty member's performance effectively and shall be sufficiently flexible to permit shifts in professional emphasis.
- D. A faculty member under review shall receive official delivery of any documentation under each step in the process through official university email account.
- E. Any remediation plan should, whenever reasonably possible, be a product of mutual negotiation between the dean and the faculty member under review.
- F. The Chancellor (or designee) is responsible for ensuring that the reviews are completed on schedule. All timeframes provided under this policy shall be met unless extenuating circumstances require additional time and such extension will not unduly delay the review process. Any reference to days shall be defined as business days.
- G. The faculty member must be afforded the full procedural safeguards set forth in UW-Whitewater Faculty Personnel Rules and UWS Wis. Admin. Code. Dismissal for just cause remains the standard for termination.
- H. The reviews conducted and remediation plans developed in accordance with this policy are not subject to the grievance process set forth in Chapter UWS 6.02, Wis. Admin. Code.
- I. The meetings conducted under this policy shall be subject to the Wisconsin Open Meetings Law.



### **III. Definitions:**

- A. Academic Semester – A fall or spring semester in a traditional academic year.
- B. Performance Category – The classifications required by the Board of Regents to establish the criteria for PTR which shall include, at minimum, Teaching, Scholarship/Research/Creative Activity, and Service.
- C. Performance Subcategories – The skills, competencies, and performances that serve to demonstrate the various conceptual dimensions of the performance category.
- D. Performance Indicators – The variety of ways that the performance subcategories may be demonstrated.
- E. Rating Categories – The two evaluation classifications that reflect the overall result of the review:
  - 1. *Meets expectations.* This category is awarded to those tenured faculty members whose performance reflects the expected level of accomplishment.
  - 2. *Does not meet expectations.* This category is awarded to those tenured faculty members whose performance reflects a level of accomplishment below the expected level and which requires remediation.

**IV. Review Criteria:** The following criteria listed in the Performance Categories, set forth below, shall be used to conduct the PTR and determine whether a faculty member under review has conscientiously and with professional competence discharged the duties appropriately associated with the faculty member's position. The Performance Indicators will be developed through faculty governance procedures, subject to the approval of the Faculty Senate and the Chancellor. The criteria herein shall be used to determine whether a faculty member under review should receive a rating of either "meets expectations" or "does not meet expectations."

- A. Performance Category: Teaching
  - 1. Responds effectively and appropriately to classroom needs and modifies courses accordingly.
  - 2. Demonstrates positive student outcomes and/or learning experiences.
  - 3. Engages in activities that enhance content knowledge, pedagogical knowledge, and/or pedagogical content knowledge.
  - 4. Uses appropriate teaching/administrative methodologies.
- B. Performance Category: Scholarship/Research/Creative Activity
  - 1. Maintains disciplinary knowledge.
  - 2. Participates in the broader scholarly and/or creative community: contributes to academic, professional, and/or public venues; and/or draws on professional expertise to work with practitioners in the field.
- C. Performance Category: Service
  - 1. Participates satisfactorily in departmental functions, activities, and meetings.
  - 2. Participates in committees and/or equivalent service at the college, university, and/or UW-System levels.

3. Participates in professional, public, and/or community service related to one's area of expertise.

**V. Post-Tenure Review Procedures:** Each tenured faculty member shall receive a post-tenure review at least once every five years, starting in the fall semester of the fifth academic year after being awarded tenure. The review shall consist of a qualitative and quantitative assessment of the faculty member's performance over the review period. All reviews shall be completed within one academic year. The review shall apply to all tenured faculty members, including faculty who serve in administrative appointments, such as department chairs, associate deans, or other administrative appointments if the faculty member performed faculty responsibilities for Teaching, Scholarship/Research/ Creative Activity, and Service within the review period and the review is not deferred by the Provost.

**A. Initiating the Review:**

1. The department chair shall prepare and submit a written Notice of Intent to conduct a PTR to the faculty member under review no later than April 1 preceding the academic semester in which the PTR shall occur, and in no event less than ninety calendar days prior to the date the review shall begin. The Notice of Intent shall state the time frames under which each phase of the process will be completed. Failure to provide said notice shall not affect the overall completion of the review process, as required by this policy.
2. Upon approval from the Provost, a review may be postponed due to, but not limited to, the review coinciding with approved leave, other appointments, a promotion review, or a pending and officially announced retirement. If deferral is granted, the Provost will schedule another review, with a new, corresponding review cycle for the faculty member.
3. The periodic, post-tenure review may substitute for an annual review in the year a faculty member is scheduled for such review. A faculty member seeking promotion to associate or full professor may use the promotion process to meet the requirements for post-tenure review under this policy only if promotion is sought in the same year as, or sooner than the scheduled post-tenure review. A faculty member who receives a positive recommendation for promotion will be awarded a "meets expectations" determination for post-tenure review and will not be required to undergo another post-tenure review for five years. If a negative recommendation for promotion is received, the faculty member shall be required to undergo the post-tenure review as defined by this policy. A negative promotion recommendation shall not be construed as a determination that the faculty member "does not meet expectations." A promotion decision must be made early enough in the academic year to permit completion of the post-tenure review process during that academic year if promotion is denied.

**B. Composition of Committees:**

1. Primary Peer Review Committee (PPRC): By the second Friday in May of the academic year preceding the review and in no event less than ninety calendar days prior to the date the review shall begin, the PPRC committee shall be formed. The PPRC shall be comprised of three tenured faculty members who shall be selected by a majority of the tenured faculty members within the department (the faculty member under review shall not participate in selecting members to his or her PPRC). A majority of the tenured faculty members may select one or more tenured faculty members from another department within the

college to complete the PPRC committee, in consultation with the dean. Once the three tenured faculty members have been selected, the department chair will notify those faculty members of their appointment to the PPRC and provide the list of PPRC members to the faculty member under review. Within three business days from receipt of the names of those who have been selected for the PPRC, the faculty member under review may request that a member be removed due to a conflict of interest. In such cases, if the department chair concurs that a conflict of interest exists, the department chair will select a replacement from any remaining tenured faculty members within the department or from another department within the college as noted above.

2. Department Review Committee (DRC): This committee shall be comprised of three tenured faculty members in the department, or more than one-half the tenured faculty members in the department who remain eligible to serve on the DRC (excluding the faculty member under review), whichever is greater. A faculty member who served on the PPRC shall not serve on the DRC committee during the same review process. If there is an insufficient number of tenured faculty members to form a committee, the dean shall appoint tenured faculty of related disciplines from other departments to serve on the department committee. Such appointed members shall participate only in the review(s) to which they are appointed.
3. Multiple Departments: In the case of a faculty member with appointments in more than one department, the departments, in consultation with dean(s), and Provost, shall determine the procedures (in accordance with UWW Chap. III, B, 8, (c) to be used in order to ensure that the review is consistent with the procedures used for faculty who are only in one department.

C. Information Considered During Review:

1. The PTR process shall include the review of qualitative and quantitative information of the faculty member's performance over at least the previous five-year review period.
2. The faculty member shall submit the following information within the timelines set forth below: a summary statement, current curriculum vitae, student teaching evaluations or summaries of evaluations, and other materials as determined by the faculty member that support the faculty member's accomplishments and contributions to the department or that are relevant to the review criteria.
3. All written materials submitted and/or used to conduct each level of review shall be added to the official PTR record at the conclusion of each level of review.
4. Each review committee and administrator(s) shall review the materials to the degree necessary to accomplish the review.

- D. Submission of Materials: By three business days prior to the first Friday in September, the faculty member under review shall submit, at a minimum, a copy of all materials listed in Section V(C)(2) above to the department chair. Within five business days from the date of receipt of the materials, the department chair shall create an official PTR record in the name of the faculty member under review, add said materials to the PTR record and forward copies of the submitted materials to the PPRC.

- E. Primary Peer Review: On or before the fourth Friday in September, the PPRC shall meet to conduct its review. The department chair shall schedule the meeting on behalf of the

PPRC and provide the faculty member under review with a minimum of ten business days' notice prior to the meeting. The PPRC members shall designate a PPRC member to serve as the chairperson of the PPRC. The faculty member may attend the meeting, but shall not be required to do so. If the faculty member attends the review meeting, the faculty member may issue a brief verbal statement and/or discuss any relevant materials. The PPRC may also ask the faculty member questions. At the conclusion of its review, the PPRC committee will deliberate in closed session and determine, by a simple majority vote, whether to recommend the faculty member for a rating of "meets expectations" or "does not meet expectations." Prior to the first day in October, the PPRC will submit its recommendation in writing, along with an explanation for its determination, to the DRC through the department chair who will also forward the PPRC's recommendation to the faculty member. The faculty member may submit to the department chair a written response to the PPRC's recommendation within five business days from receipt of the PPRC's recommendation. The PPRC recommendation, along with any written response received by the faculty member shall be added to the PTR record and it will then be forwarded to the Department Review Committee for its review under Section V(F) below.

- F. Department Review: On or before the second Friday in October, the department chair shall convene the DRC to conduct the PTR. The faculty member may waive this level of review by notifying the department chair no more than five business days after the PPRC has completed its review under Section V(E). The department chair shall provide the DRC and the faculty member under review with a copy of the PTR record. The department chair or designee shall serve as the chair of the DRC committee and be a voting member. The DRC shall meet to conduct its review no later than the second Friday in November. The department chair shall provide the faculty member with a minimum of five business days' notice prior to the DRC meeting. The faculty member may attend the DRC meeting, but shall not be required to do so. If the faculty member attends the review meeting, the faculty member may submit a brief verbal statement and/or discuss any relevant materials. The DRC may also ask the faculty member questions. As a part of its review, the DRC shall consider the PTR record, the recommendation of the PPRC, any statements provided by the faculty member and any other information described in Section V(C) above. At the conclusion of the review meeting, the DRC shall deliberate in closed session and determine, by a simple majority vote, whether the faculty member's performance either "meets expectations" or "does not meet expectations." By the second Friday in December, the DRC shall prepare a written report that summarizes its findings and that references criteria considered under each Performance Category which supports its determination. Upon receipt, the dean shall provide a copy of the DRC's written report to the faculty member who may provide a written response to the DRC's written report within ten business days from receipt. Any written response must be submitted to the dean, who will add a copy of the DRC's written report and the faculty member's response to the PTR record.<sup>1</sup>
- G. Administrative Review: On or before the first Friday in February, the dean shall conduct an independent sufficiency review of the PTR record. At the conclusion of the review, the dean shall determine one of the following:
1. If the DRC's rating is "meets expectations" and the dean's concurs with this rating, the review process will be concluded. If the DRC's rating is "does not meet expectations," and the dean concurs with this rating, then the dean shall

---

<sup>1</sup> If the DRC review has been waived, then all further references to DRC shall be substituted as PPRC.

initiate the remediation process under Section VI below.

2. If the dean's review results in a determination that is different than the DRC's rating, then by the fourth Friday in February, the dean shall consult with the Constituency Standards Committee (CSC) to seek its advice on whether the dean's determination is consistent with the PTR record. The dean shall provide the CSC with a copy of the PTR record for its review. No later than the first Friday in April, the CSC will prepare a letter to the dean indicating whether the information in the PTR record supports the dean's determination. Within ten business days from receipt of the CSC's advice, the dean shall issue a written statement of the dean's final determination and recommendation of either "meets expectations" or "does not meet expectations" and forward to the Provost for final review, with a copy to the faculty member who may provide a written response to the written statement within five business days from receipt. The dean's written statement, CSC letter and faculty member's response, if any, will be included in the PTR record.
3. If Section G(2) occurs, then upon receipt of the PTR record, the Provost shall consider all information contained in the PTR record and issue a final rating of either "meets expectations" or "does not meet expectations" no later than the final day of the spring term.
  - a. If the Provost's final rating is "meets expectations," the Provost shall write a letter which states the final rating and that the PTR process is now complete. A copy of the Provost's letter shall be provided to the faculty member, the dean and included in the PTR record.
  - b. If the Provost's final rating is "does not meet expectations," the Provost shall prepare a letter that indicates the final rating along with a criteria-based explanation of the reasons that one or more Performance Categories were found to be unsatisfactory. A copy of the Provost's letter shall be provided to the faculty member, the dean and included in the PTR record. Upon receipt of the Provost's letter, the dean will initiate the remediation process (Section VI).
4. A faculty member who receives a final rating of "meets expectations" shall be considered for professional development opportunities or additional compensation, subject to available resources.

**VI. The Remediation Process:** This process shall only be initiated if a rating of "does not meet expectations" occurs under either Section V(G)(1) or (3)(b) above. The overall goal of the remediation plan shall be to provide a faculty member with appropriate direction and sufficient time to make necessary improvements for the faculty member's overall success. This plan shall be the product of mutual negotiation and discussion between the faculty member, the chair, and the dean, shall respect academic freedom and professional self-direction, and shall be flexible enough to allow for subsequent alteration.

**A. Implementation the Remediation Plan:**

1. The dean and faculty member, in consultation with the Provost, shall develop a written remediation plan that will include specific actions that the faculty member will take to satisfactorily resolve all specified deficiencies within a specific time frame. If the faculty member fails or refuses to assist in the development of the remediation plan, the dean shall develop the plan in consultation with the department chair and Provost.

2. The plan will include a mandatory timeline for completion, and remediation options, that may include, but are not limited to, review and adjustment of the faculty member's responsibilities, development of a new research program or teaching strategy, referral to campus resources, assignment of a mentoring committee, annual reviews for a specified period of time, written performance expectations, and/or other elements. The plan should also include available institutional support, mentoring and/or professional development for the faculty member during the remediation process.
  3. During the development of the plan, the faculty member may seek the assistance of a university mentor(s) for support and guidance. A mentor(s) may also be used by the faculty member throughout the remediation process through its completion.
  4. A copy shall be provided to the faculty member, the department chair, dean and the Provost and added to the PTR record which shall be maintained in the dean's office for the duration of the remediation process. The faculty member may review the file upon request.
  5. The remediation plan shall go into effect at the start of the following academic semester, unless otherwise agreed upon by the faculty member and the dean. Only academic semesters will count toward the three-semester timeframe permitted for completion. The remediation plan shall be completed within a reasonable period of time, not to exceed three academic semesters, unless the substantial deficiency is related specifically to Scholarship/Research/ Creative Activity, where more than three academic semesters may be necessary to correct identified deficiencies. The Chancellor must approve any extension, for up to, but no more than, an additional semester, and notify the UW System Administration Vice President for Academic and Student Affairs if such extension is granted.
- B. Evaluation of the Remediation Plan: No less than ten business days before the expiration of the remediation period, the faculty member will submit to the dean relevant and available documentation regarding specific actions that the faculty member took to satisfactorily resolve all specified deficiencies within the specified time frame. Upon receipt of this information, the dean will forward the documentation to the CSC, along with a copy of the remediation plan and PTR record, and direct the CSC to conduct a review of the information to determine whether all of the conditions of the remediation plan have been satisfactorily completed. Within twenty business days, the CSC will review the materials and information and make a determination as to whether the remediation plan has been satisfactorily completed. The CSC will issue its findings in a letter, along with an explanation of its determination, to the dean of the college. Within ten business days from receipt of the CSC's letter and determination, the dean will review all materials submitted, the CSC's determination, and any other relevant information, and make a determination, in consultation with the faculty member and the Chancellor, whether the faculty member has satisfactorily completed all requirements of the plan within the required timeframes.
1. If the dean determines that the faculty member has satisfactorily completed all requirements of the remediation plan, the dean shall issue a written Remediation Decision Letter that states that the remediation plan is satisfied. A copy of the Remediation Decision Letter shall be provided to the faculty member, the department chair, and the Provost. A copy of the letter will also be added to the PTR record. The faculty member shall be provided opportunities consistent with

other faculty who have been rated as “meets expectations” on during their PTR for the year in which the faculty member under review’s plan was satisfactorily completed.

2. If the dean determines that the faculty member has failed to satisfactorily complete the remediation plan, no more than ten business days thereafter, the dean shall issue a Remediation Decision Letter that the remediation plan has not been satisfactorily completed along with an explanation of what part(s) of the plan were not satisfactorily completed. A copy of the letter shall be sent to the faculty member, department chair and Provost. A copy of the letter will also be added to the PTR record. The faculty member may submit a written response to the dean’s letter within ten business days from receipt of the letter which shall be added to the PTR record.

The faculty member may make one request during the remediation process for an early determination to be made by the dean as to whether the faculty member has satisfactorily completed all of the conditions of the remediation plan prior to the mandatory deadline. Upon such a request, the dean will conduct an early determination whether the remediation plan has been satisfactorily completed. If the dean concludes that the remediation plan has not been completely satisfied, then the original timeframe for completion shall remain in effect. If the dean concludes that it has been satisfied, then the actions in Section VI(B)(1) above will be followed.

- C. Unsatisfactory Completion of Remediation Plan. If the dean’s determination in Section VI(B) above is that the faculty member has not satisfactorily completed the remediation plan, and upon consideration of the faculty member’s written response, if submitted, the dean will consult with the department chair, Provost and Chancellor to determine what action should be taken to properly address the unmet requirements of the Remediation Plan. The dean or Provost shall offer to meet in person with the faculty member to discuss potential action(s) prior to any final decision being made. The dean’s final decision in regard to what action to take shall be approved by the Provost. In the event that the review reveals continuing and persistent problems with a faculty member’s performance that do not lend themselves to improvement by the end of the remediation period, and that call into question the faculty member’s ability to function in that position, then other possibilities, such as a mutually agreeable reassignment to other duties or separation, should be explored. If disciplinary action is warranted, the dean, or designee, may file a complaint against the faculty member pursuant to UW-Whitewater Faculty Personnel Rules Chapter VI or UWS 4. If dismissal is sought, the institution shall initiate such action in accordance with UW-Whitewater Faculty Personnel Rules Chapter VI or UWS 4. During any disciplinary action seeking dismissal, just cause shall be the standard of proof and PTR records shall be admissible and rebuttable.

## **VII. Records, and Oversight:**

- A. List of Reviews and Outcomes: At the end of each academic year, the department chair shall prepare and submit a list to the appropriate dean, Provost, and Chancellor that contains the names of all faculty members who have been reviewed during that academic year and the outcome of the reviews.
- B. Permanent Records: Upon completion of the PTR process and/or remediation plan, if applicable, all records submitted or considered during the review process and/or remediation process shall be included in the official PTR record. The PTR record shall be

maintained by the appropriate department, college or office as an official personnel file. The PTR record shall be released or disclosed only at the discretion, or with the explicit consent, of the faculty member, unless required by law or business necessity.

- C. Faculty Senate Review: The Faculty Senate Executive Committee (FSEC) shall work with the Faculty Senate, colleges and departments to develop performance indicators that will be used to conduct PTR reviews in accordance with this policy. The FSEC will periodically review the PTR process, performance indicators, and institutional support, resources and professional development that are provided during or after a PTR. Any changes recommended by the FSEC shall follow established governance procedures for faculty personnel matters and be submitted to the Chancellor for review and approval.



## APPENDIX B

### Existing UW-Whitewater Post-Tenure Review Policy with Tracked Changes

#### UW-Whitewater Post-Tenure Review Policy

The purpose of Post Tenure Review (Tenured Faculty Review and Development) is to assure that the talents of each faculty member are being utilized in ways that best serve the interests of the students, the institution, the academic discipline and the individual. It is recognized that the interest and expertise of the individual faculty member may change during the course of a career, so tenured faculty could, when appropriate, encourage and assist faculty to adjust the mix and balance of commitments among the evaluation categories of teaching, research and other scholarly activities, and service.

Post Tenure Review will occur every four years and will be scheduled to coincide with the end of the merit period.

1. Units will provide an assessment of the faculty member's professional development proposal and accomplishments. If specific needs for improvement are identified, a plan for this purpose will be developed jointly by the faculty member and the unit. A standard university report form will be used.
2. Data gathered for use in merit reviews will also be used in the Post Tenure Review process. Additional data may be submitted for the tenured faculty review.
3. Tenured faculty reviews are the responsibility of the tenured faculty of each unit.
4. Tenured faculty review reports shall be forwarded first to the dean for review and then to the provost for review. The original review report and all subsequent responses shall be included in the faculty member's personnel file.
5. Decisions that result from a tenured faculty review may be appealed by the faculty member to the Faculty Appeals Committee.

[As Approved by Faculty Senate December 13, 1994 & Reviewed January 2015]

**I. Purpose:** The primary purpose of the periodic, Post-Tenure Review of tenured faculty is to support tenured faculty development and to assure that the talents of each faculty member are being utilized in ways that best serve the interests of the students, the institution, the academic discipline, and the faculty member. Nothing in the criteria or application of these policies shall violate a faculty member's rights and protections under applicable non-discrimination state or federal laws, including harassment or retaliation. Moreover, it is recognized that the interests and expertise of the individual faculty member may change during the course of a career; therefore, the tenured faculty member, with administrative approval, may be permitted in consultation and agreement with the administration to adjust the mix and balance of commitments among the performance categories of teaching, scholarship, research and creative activity, and service. This policy is implemented in accordance with Regent Policy Document 20-9, as amended.

**II. General Principles:** The following general principles shall be applicable to the Post-Tenure Review ("PTR") under this policy:

- A. Neither this policy nor the criteria used for a PTR shall infringe on the accepted standards of academic freedom of faculty, including the freedom to pursue novel, unpopular, or unfashionable lines of inquiry or innovative methods of teaching.
- B. This policy is not intended to serve as a substitute for annual or other evaluations of tenured faculty performance, nor is it intended as a re-evaluation of tenure.

- C. The PTR process, founded on peer-review principles, shall involve a fair and holistic evaluation of performance, shall include criteria that will evaluate the faculty member's performance effectively and shall be sufficiently flexible to permit shifts in professional emphasis.
- D. A faculty member under review shall receive official delivery of any documentation under each step in the process through official university email account.
- E. Any remediation plan should, whenever reasonably possible, be a product of mutual negotiation between the dean and the faculty member under review.
- F. The Chancellor (or designee) is responsible for ensuring that the reviews are completed on schedule. All timeframes provided under this policy shall be met unless extenuating circumstances require additional time and such extension will not unduly delay the review process. Any reference to days shall be defined as business days.
- G. The faculty member must be afforded the full procedural safeguards set forth in UW-Whitewater Faculty Personnel Rules and UWS Wis. Admin. Code. Dismissal for just cause remains the standard for termination.
- H. The reviews conducted and remediation plans developed in accordance with this policy are not subject to the grievance process set forth in Chapter UWS 6.02, Wis. Admin. Code.
- I. The meetings conducted under this policy shall be subject to the Wisconsin Open Meetings Law.

### **III. Definitions:**

- A. Academic Semester – A fall or spring semester in a traditional academic year.
- B. Performance Category – The classifications required by the Board of Regents to establish the criteria for PTR which shall include, at minimum, Teaching, Scholarship/Research/Creative Activity, and Service.
- C. Performance Subcategories – The skills, competencies, and performances that serve to demonstrate the various conceptual dimensions of the performance category.
- D. Performance Indicators – The variety of ways that the performance subcategories may be demonstrated.
- E. Rating Categories – The two evaluation classifications that reflect the overall result of the review:
  - 1. *Meets expectations.* This category is awarded to those tenured faculty members whose performance reflects the expected level of accomplishment.
  - 2. *Does not meet expectations.* This category is awarded to those tenured faculty members whose performance reflects a level of accomplishment below the expected level and which requires remediation.

**IV. Review Criteria:** The following criteria listed in the Performance Categories, set forth below, shall be used to conduct the PTR and determine whether a faculty member under review has conscientiously and with professional competence discharged the duties appropriately associated with the faculty member's position. The Performance Indicators will be developed through faculty governance procedures, subject to the approval of the Faculty Senate and the Chancellor. The criteria herein shall be used to determine whether a faculty member under review should receive a rating of either "meets expectations" or "does not meet expectations."

A. Performance Category: Teaching

1. Responds effectively and appropriately to classroom needs and modifies courses accordingly.
2. Demonstrates positive student outcomes and/or learning experiences.
3. Engages in activities that enhance content knowledge, pedagogical knowledge, and/or pedagogical content knowledge.
4. Uses appropriate teaching/administrative methodologies.

B. Performance Category: Scholarship/Research/Creative Activity

1. Maintains disciplinary knowledge.
2. Participates in the broader scholarly and/or creative community: contributes to academic, professional, and/or public venues; and/or draws on professional expertise to work with practitioners in the field.

C. Performance Category: Service

1. Participates satisfactorily in departmental functions, activities and meetings.
2. Participates in committees and/or equivalent service at the college, university, and/or UW-System levels.
3. Participates in professional, public, and/or community service related to one's area of expertise.

**V. Post-Tenure Review Procedures:** Each tenured faculty member shall receive a post-tenure review at least once every five years, starting in the fall semester of the fifth academic year after being awarded tenure. The review shall consist of a qualitative and quantitative assessment of the faculty member's performance over the review period. All reviews shall be completed within one academic year. The review shall apply to all tenured faculty members, including faculty who serve in administrative appointments, such as department chairs, associate deans, or other administrative appointments if the faculty member performed faculty responsibilities for Teaching, Scholarship/Research/Creative Activity, and Service within the review period and the review is not deferred by the Provost.

A. Initiating the Review:

1. The department chair shall prepare and submit a written Notice of Intent to conduct a PTR to the faculty member under review no later than April 1 preceding the academic semester in which the PTR shall occur, and in no event less than ninety calendar days prior to the date the review shall begin. The Notice of Intent shall state the time frames under which each phase of the process will be completed. Failure to provide said notice shall not affect the overall completion of the review process, as required by this policy.
2. Upon approval from the Provost, a review may be postponed due to, but not limited to, the review coinciding with approved leave, other appointments, a promotion review, or a pending and officially announced retirement. If deferral is granted, the Provost will schedule another review, with a new, corresponding review cycle for the faculty member.
3. The periodic, post-tenure review may substitute for an annual review in the year a faculty member is scheduled for such review. A faculty member seeking

promotion to associate or full professor may use the promotion process to meet the requirements for post-tenure review under this policy only if promotion is sought in the same year as, or sooner than the scheduled post-tenure review. A faculty member who receives a positive recommendation for promotion will be awarded a "meets expectations" determination for post-tenure review and will not be required to undergo another post-tenure review for five years. If a negative recommendation for promotion is received, the faculty member shall be required to undergo the post-tenure review as defined by this policy. A negative promotion recommendation shall not be construed as a determination that the faculty member "does not meet expectations." A promotion decision must be made early enough in the academic year to permit completion of the post-tenure review process during that academic year if promotion is denied.

B. Composition of Committees:

1. Primary Peer Review Committee (PPRC): By the second Friday in May of the academic year preceding the review and in no event less than ninety calendar days prior to the date the review shall begin, the PPRC committee shall be formed. The PPRC shall be comprised of three (3) tenured faculty members who shall be selected by a majority of the tenured faculty members within the department (the faculty member under review shall not participate in selecting members to his or her PPRC). A majority of the tenured faculty members may select one or more tenured faculty members from another department within the college to complete the PPRC committee, in consultation with the dean. Once the three (3) tenured faculty members have been selected, the department chair will notify those faculty members of their appointment to the PPRC and provide the list of PPRC members to the faculty member under review. Within three business days from receipt of the names of those who have been selected for the PPRC, the faculty member under review may request that a member be removed due to a conflict of interest. In such cases, if the department chair concurs that a conflict of interest exists, the department chair will select a replacement from any remaining tenured faculty members within the department or from another department within the college as noted above.
2. Department Review Committee (DRC): This committee shall be comprised of three (3) tenured faculty members in the department, or more than one-half the tenured faculty members in the department who remain eligible to serve on the DRC (excluding the faculty member under review), whichever is greater. A faculty member who served on the PPRC shall not serve on the DRC committee during the same review process. If there is an insufficient number of tenured faculty members to form a committee, the dean shall appoint tenured faculty of related disciplines from other departments to serve on the department committee. Such appointed members shall participate only in the review(s) to which they are appointed.
3. Multiple Departments: In the case of a faculty member with appointments in more than one department, the departments, in consultation with dean(s), and Provost, shall determine the procedures (in accordance with UWW Chap. III, B, 8, c) to be used in order to ensure that the review is consistent with the procedures used for faculty who are only in one department.

C. Information Considered During Review:

1. The PTR process shall include the review of qualitative and quantitative

information of the faculty member's performance over at least the previous five-year review period.

2. The faculty member shall submit the following information within the timelines set forth below: a summary statement, current curriculum vitae, student teaching evaluations or summaries of evaluations, and other materials as determined by the faculty member that support the faculty member's accomplishments and contributions to the department or that are relevant to the review criteria.
3. All written materials submitted and/or used to conduct each level of review shall be added to the official PTR record at the conclusion of each level of review.
4. Each review committee and administrator(s) shall review the materials to the degree necessary to accomplish the review.

D. Submission of Materials: By three (3) business days prior to the first Friday in September, the faculty member under review shall submit, at a minimum, a copy of all materials listed in Section V(C)(2) above to the department chair. Within five business days from the date of receipt of the materials, the department chair shall create an official PTR record in the name of the faculty member under review, add said materials to the PTR record and forward copies of the submitted materials to the PPRC.

E. Primary Peer Review: On or before the fourth Friday in September, the PPRC shall meet to conduct its review. The department chair shall schedule the meeting on behalf of the PPRC and provide the faculty member under review with a minimum of ten business days' notice prior to the meeting. The PPRC members shall designate a PPRC member to serve as the chairperson of the PPRC. The faculty member may attend the meeting, but shall not be required to do so. If the faculty member attends the review meeting, the faculty member may issue a brief verbal statement and/or discuss any relevant materials. The PPRC may also ask the faculty member questions. At the conclusion of its review, the PPRC committee will deliberate in closed session and determine, by a simple majority vote, whether to recommend the faculty member for a rating of "meets expectations" or "does not meet expectations." Prior to the first day in October, the PPRC will submit its recommendation in writing, along with an explanation for its determination, to the DRC through the department chair who will also forward the PPRC's recommendation to the faculty member. The faculty member may submit to the department chair a written response to the PPRC's recommendation within five business days from receipt of the PPRC's recommendation. The PPRC recommendation, along with any written response received by the faculty member shall be added to the PTR record and it will then be forwarded to the Department Review Committee for its review under Section V(F) below.

F. Department Review: On or before the second Friday in October, the department chair shall convene the DRC to conduct the PTR. The faculty member may waive this level of review by notifying the department chair no more than five business days after the PPRC has completed its review under Section V(E). The department chair shall provide the DRC and the faculty member under review with a copy of the PTR record. The department chair or designee shall serve as the chair of the DRC committee and be a voting member. The DRC shall meet to conduct its review no later than the second Friday in November. The department chair shall provide the faculty member with a minimum of five business days' notice prior to the DRC meeting. The faculty member may attend the DRC meeting, but shall not be required to do so. If the faculty member attends the review meeting, the faculty member may submit a brief verbal statement and/or discuss any relevant materials. The DRC may also ask the faculty member questions. As a part of its

review, the DRC shall consider the PTR record, the recommendation of the PPRC, any statements provided by the faculty member and any other information described in Section V(C) above. At the conclusion of the review meeting, the DRC shall deliberate in closed session and determine, by a simple majority vote, whether the faculty member's performance either "meets expectations" or "does not meet expectations." By the second Friday in December, the DRC shall prepare a written report that summarizes its findings and that references criteria considered under each Performance Category which supports its determination. Upon receipt, the dean shall provide a copy of the DRC's written report to the faculty member who may provide a written response to the DRC's written report within ten business days from receipt. Any written response must be submitted to the dean, who will add a copy of the DRC's written report and the faculty member's response to the PTR record.<sup>1</sup>

G. Administrative Review: On or before the first Friday in February, the dean shall conduct an independent sufficiency review of the PTR record. At the conclusion of the review, the dean shall determine one of the following:

1. If the DRC's rating is "meets expectations" and the dean's concurs with this rating, the review process will be concluded. If the DRC's rating is "does not meet expectations," and the dean concurs with this rating, then the dean shall initiate the remediation process under Section VI below.
2. If the dean's review results in a determination that is different than the DRC's rating, then by the fourth Friday in February, the dean shall consult with the Constituency Standards Committee (CSC) to seek its advice on whether the dean's determination is consistent with the PTR record. The dean shall provide the CSC with a copy of the PTR record for its review. No later than the first Friday in April, the CSC will prepare a letter to the dean indicating whether the information in the PTR record supports the dean's determination. Within ten business days from receipt of the CSC's advice, the dean shall issue a written statement of the dean's final determination and recommendation of either "meets expectations" or "does not meet expectations" and forward to the Provost for final review, with a copy to the faculty member who may provide a written response to the written statement within five business days from receipt. The dean's written statement, CSC letter and faculty member's response, if any, will be included in the PTR record.
3. If Section G(2) occurs, then upon receipt of the PTR record, the Provost shall consider all information contained in the PTR record and issue a final rating of either "meets expectations" or "does not meet expectations" no later than the final day of the spring term.
  - a. If the Provost's final rating is "meets expectations," the Provost shall write a letter which states the final rating and that the PTR process is now complete. A copy of the Provost's letter shall be provided to the faculty member, the dean and included in the PTR record.
  - b. If the Provost's final rating is "does not meet expectations," the Provost shall prepare a letter that indicates the final rating along with a criteria-based explanation of the reasons that one or more Performance Categories were found to be unsatisfactory. A copy of the Provost's letter shall be provided to the faculty member, the dean and included in the

---

<sup>1</sup> If the DRC review has been waived, then all further references to DRC shall be substituted as PPRC.

PTR record. Upon receipt of the Provost's letter, the dean will initiate the remediation process (Section VI).

4. A faculty member who receives a final rating of "meets expectations" shall be considered for professional development opportunities or additional compensation, subject to available resources.

**VI. The Remediation Process:** This process shall only be initiated if a rating of "does not meet expectations" occurs under either Section V(G)(1) or (3)(b) above. The overall goal of the remediation plan shall be to provide a faculty member with appropriate direction and sufficient time to make necessary improvements for the faculty member's overall success. This plan shall be the product of mutual negotiation and discussion between the faculty member, the chair, and the dean, shall respect academic freedom and professional self-direction, and shall be flexible enough to allow for subsequent alteration.

A. Implementation the Remediation Plan:

1. The dean and faculty member, in consultation with the Provost, shall develop a written remediation plan that will include specific actions that the faculty member will take to satisfactorily resolve all specified deficiencies within a specific time frame. If the faculty member fails or refuses to assist in the development of the remediation plan, the dean shall develop the plan in consultation with the department chair and Provost.
2. The plan will include a mandatory timeline for completion, and remediation options, that may include, but are not limited to, review and adjustment of the faculty member's responsibilities, development of a new research program or teaching strategy, referral to campus resources, assignment of a mentoring committee, annual reviews for a specified period of time, written performance expectations, and/or other elements. The plan should also include available institutional support, mentoring and/or professional development for the faculty member during the remediation process.
3. During the development of the plan, the faculty member may seek the assistance of a university mentor(s) for support and guidance. A mentor(s) may also be used by the faculty member throughout the remediation process through its completion.
4. A copy shall be provided to the faculty member, the department chair, dean and the Provost and added to the PTR record which shall be maintained in the dean's office for the duration of the remediation process. The faculty member may review the file upon request.
5. The remediation plan shall go into effect at the start of the following academic semester, unless otherwise agreed upon by the faculty member and the dean. Only academic semesters will count toward the three-semester timeframe permitted for completion. The remediation plan shall be completed within a reasonable period of time, and shall not exceed three academic semesters, unless the substantial deficiency is related specifically to Scholarship/Research/Creative Activity, where more than three academic semesters may be necessary to correct identified deficiencies. The Chancellor must approve any extension, for up to, but no more than an additional semester, and notify the UW System Administration Vice President for Academic and Student Affairs if such extension is granted.

B. Evaluation of the Remediation Plan: No less than ten business days before the expiration of the remediation period, the faculty member will submit to the dean relevant and available documentation regarding specific actions that the faculty member took to satisfactorily resolve all specified deficiencies within the specified time frame. Upon receipt of this information, the dean will forward the documentation to the CSC, along with a copy of the remediation plan and PTR record, and direct the CSC to conduct a review of the information to determine whether all of the conditions of the remediation plan have been satisfactorily completed. Within twenty business days, the CSC will review the materials and information and make a determination as to whether the remediation plan has been satisfactorily completed. The CSC will issue its findings in a letter, along with an explanation of its determination, to the dean of the college. Within ten business days from receipt of the CSC's letter and determination, the dean will review all materials submitted, the CSC's determination, and any other relevant information, and make a determination, in consultation with the faculty member and the Chancellor, whether the faculty member has satisfactorily completed all requirements of the plan within the required timeframes.

1. If the dean determines that the faculty member has satisfactorily completed all requirements of the remediation plan, the dean shall issue a written Remediation Decision Letter that states that the remediation plan is satisfied. A copy of the Remediation Decision Letter shall be provided to the faculty member, the department chair, and the Provost. A copy of the letter will also be added to the PTR record. The faculty member shall be provided opportunities consistent with other faculty who have been rated as "meets expectations" during their PTR for the year in which the faculty member under review's plan was satisfactorily completed.
2. If the dean determines that the faculty member has failed to satisfactorily complete the remediation plan, no more than ten business days thereafter, the dean shall issue a Remediation Decision Letter that the remediation plan has not been satisfactorily completed along with an explanation of what part(s) of the plan were not satisfactorily completed. A copy of the letter shall be sent to the faculty member, department chair and Provost. A copy of the letter will also be added to the PTR record. The faculty member may submit a written response to the dean's letter within ten business days from receipt of the letter which shall be added to the PTR record.

The faculty member may make one request during the remediation process for an early determination to be made by the dean as to whether the faculty member has satisfactorily completed all of the conditions of the remediation plan prior to the mandatory deadline. Upon such a request, the dean will conduct an early determination whether the remediation plan has been satisfactorily completed. If the dean concludes that the remediation plan has not been completely satisfied, then the original timeframe for completion shall remain in effect. If the dean concludes that it has been satisfied, then the actions in Section VI(B)(1) above will be followed.

C. Unsatisfactory Completion of Remediation Plan. If the dean's determination in Section VI(B) above is that the faculty member has not satisfactorily completed the remediation plan, and upon consideration of the faculty member's written response, if submitted, the dean will consult with the department chair, Provost and Chancellor to determine what action should be taken to properly address the unmet requirements of the Remediation Plan. The dean or Provost shall offer to meet in person with the faculty member to discuss potential action(s) prior to any final decision being made. The dean's final



decision in regard to what action to take shall be approved by the Provost. In the event that the review reveals continuing and persistent problems with a faculty member's performance that do not lend themselves to improvement by the end of the remediation period, and that call into question the faculty member's ability to function in that position, then other possibilities, such as a mutually agreeable reassignment to other duties or separation, should be explored. If disciplinary action is warranted, the dean, or designee, may file a complaint against the faculty member pursuant to UW-Whitewater Faculty Personnel Rules Chapter VI or UWS 4. If dismissal is sought, the institution shall initiate such action in accordance with UW-Whitewater Faculty Personnel Rules Chapter VI or UWS 4. During any disciplinary action seeking dismissal, just cause shall be the standard of proof and PTR records shall be admissible and rebuttable.

## **VII. Records, and Oversight:**

- A. List of Reviews and Outcomes: At the end of each academic year, the department chair shall prepare and submit a list to the appropriate dean, Provost, and Chancellor that contains the names of all faculty members who have been reviewed during that academic year and the outcome of the reviews.
- B. Permanent Records: Upon completion of the PTR process and/or remediation plan, if applicable, all records submitted or considered during the review process and/or remediation process shall be included in the official PTR record. The PTR record shall be maintained by the appropriate department, college or office as an official personnel file. The PTR record shall be released or disclosed only at the discretion, or with the explicit consent, of the faculty member, unless required by law or business necessity.
- C. Faculty Senate Review: The Faculty Senate Executive Committee (FSEC) shall work with the Faculty Senate, colleges and departments to develop performance indicators that will be used to conduct PTR reviews in accordance with this policy. The FSEC will periodically review the PTR process, performance indicators, institutional support, resources, and professional development that are provided during or after a PTR. Any changes recommended by the FSEC shall follow established governance procedures for faculty personnel matters and be submitted to the Chancellor for review and approval.

**APPENDIX C**  
**Existing UW-Whitewater Post-Tenure Review Policy**

**UW-Whitewater**  
**Post-Tenure Review Policy**

The purpose of Post-Tenure Review (Tenured Faculty Review and Development) is to assure that the talents of each faculty member are being utilized in ways that best serve the interests of the students, the institution, the academic discipline and the individual. It is recognized that the interest and expertise of the individual faculty member may change during the course of a career, so tenured faculty could, when appropriate, encourage and assist faculty to adjust the mix and balance of commitments among the evaluation categories of teaching, research and other scholarly activities, and service.

Post-Tenure Review will occur every four years and will be scheduled to coincide with the end of the merit period.

1. Units will provide an assessment of the faculty member's professional development proposal and accomplishments. If specific needs for improvement are identified, a plan for this purpose will be developed jointly by the faculty member and the unit. A standard university report form will be used.
2. Data gathered for use in merit reviews will also be used in the Post-Tenure Review process. Additional data may be submitted for the tenured faculty review.
3. Tenured faculty reviews are the responsibility of the tenured faculty of each unit.
4. Tenured faculty review reports shall be forwarded first to the dean for review and then to the provost for review. The original review report and all subsequent responses shall be included in the faculty member's personnel file.
5. Decisions that result from a tenured faculty review may be appealed by the faculty member to the Faculty Appeals Committee.

[As Approved by Faculty Senate December 13, 1994 & Reviewed January 2015]

## MEMORANDUM

**TO:** Ray Cross  
President, University of Wisconsin System

**FROM:** Beverly Kopper *BK*  
Chancellor, University of Wisconsin-Whitewater

**RE:** Post-Tenure Review Policy

**DATE:** March 29, 2017

Please find the attached documents that include the current and proposed version of the UW-Whitewater Post-Tenure Review Policy. The proposed version was approved by UW-Whitewater's Faculty Senate Executive Committee on March 28, 2017. I am seeking the Board of Regents approval of the proposed version.

The proposed version is based on the Board of Regent's Policy, RPD 20-9 and has been reviewed by Tom Stafford, General Counsel for UW System Legal and Jim Henderson, Vice President for Academic and Student Affairs.

I greatly appreciate the time and effort that was put into developing this policy by the Faculty Senate, Paige Reed, Chief of Institutional Policy and Compliance and Susan Elrod, Provost and Executive Vice Chancellor for Academic Affairs.

If you have any questions, please do not hesitate to contact me. Thank you for your consideration and assistance in this matter.

cc: James Henderson, Vice President for Academic and Student Affairs  
Laura Dunek, Special Assistant to the Vice President  
Tom Stafford, General Counsel, UW System  
Susan Elrod, Provost and Executive Vice Chancellor for Academic Affairs  
Paige Reed, Chief of Institutional Policy & Compliance, UW-Whitewater  
James Hartwick, Chair, UW-Whitewater Faculty Senate

Attachments: UW-Whitewater Post-Tenure Review Policy (*proposed policy, Appendix A*)  
UW-Whitewater Post-Tenure Review Policy (*tracked changes, Appendix B*)  
UW-Whitewater Post-Tenure Review Policy (*current policy, Appendix C*)