

UW-RF Faculty/Academic Staff Handbook

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

(Adopted pursuant to the Wisconsin Administrative Code, Personnel Rules for Faculty, University of Wisconsin System)

Chapter Organization

Rules: Chapter 1-Personnel Definitions

Academic Unit

Augmented Departments for Personnel Decisions

Academic Unit Head

Faculty Appointment

Probationary Appointment

Tenure Appointment

Faculty

Academic Staff

Dean or Director

Procedures: Selection of Administrative Personnel

Chancellor

Vice Chancellors, Deans and Director

Middle Management

Department Chair

Procedures: Appointments

New Appointment

Academic Year Appointment

Annual Appointment

Summer Session Appointment

Rules: Chapter 2-Recruitment and Initial Appointment

Chancellor's Statement

Recruitment

Initial Recommendation by the Faculty

Procedures for Review of Initial Appointment

Administrative Review of Initial Appointment

Notification of Initial Appointment

Rules: Chapter 3-Renewal & Nonrenewal of Probationary Appointments

Recommendation from an Academic Unit

Criteria for Recommendation

Procedures for Recommendation

Disclosure of Recommendation to a Faculty Member

Administrative Review of the Recommendation

Implementation Dates

Table: Dates of Implementation

Rules: Chapter 4-Granting Tenure

General

Procedure

Review and Rectification of Denial of Tenure for Impermissible Factors

Procedures: Promotion Criteria

Appropriate Educational Preparation

Appropriate Experience

Contribution to the University

Procedures: Promotion Procedures

Department Procedures

College and School Promotions Committees

Action of the Dean or Director or Equivalent

Review by the Provost & Vice Chancellor

Final Action by the Chancellor

Appeal

Calendar

Rules: Chapter 5-Periodic Review

Post-tenure Review of Professional Activities of Faculty

Conducting the Review

Challenging the Review

Table: Post-tenure Review Timeline

Procedures: Professional Record

Procedures: Student Evaluation of Instruction

Introduction

Uses of the Uniform Survey Results

Uniform Survey Instrument

Recommendation for Further Evaluation

Rules: Chapter 6-Rules for Nonrenewal Appeals

Authority to Review

Request for Review

Burden of Proof

Scope of Review

Proceedings Before the Committee

Committee Report

Continued Jurisdiction

Final Decision

Rules: Chapter 7-Standing Committees for Dismissals, Layoffs, and Terminations

Termination Committee

Rules: Chapter 8-Faculty Consultative Committee & Rules on Seniority

Faculty Consultative Committee

Seniority

Rules: Chapter 9-Procedure for Handling Complaints

Committee Defined

Complaints Defined

Procedure

Rules: Chapter 10-Procedure for Handling Grievances

Other Grievances
Committee Defined
Procedure
The Chancellor's Responsibility
Access to the Board of Regents

UWS Guidelines for Reporting Outside Activities

Report Form Definitions

Reportable Activities

Rules: Chapter 11-Outside Activities

Outside Activities

University Responsibilities

Definitions

Reporting

Review and Action

Appeal

University Equipment and Services

Procedures: Faculty Sabbaticals

Purpose

Types

Eligibility

Requirements

Conditions

Selection of Sabbatical Leave Recipients

Personnel Definitions - Faculty Personnel Rules-Chapter 1

Academic Unit-RF 1.1

The academic unit may be the department in which a faculty member serves, a College or School or division within a College or School, or an administratively designated unit which does not have departmental status. The designation of the academic unit should be made at the time of an individual's appointment and should not be changed to handle particular cases pending.

Augmented Departments for Personnel Decisions

Any department with fewer than three tenured members shall be augmented with additional members who shall participate in personnel decisions.

Specific personnel actions covered by this rule include, but are not limited to, search and screen, appointment, and reviewing for retention, promotion, and tenure. The number of faculty needed to augment the department shall be determined on a case-by-case basis. Each case shall be reviewed by the Dean or Director and the department. Their

deliberations should include such factors as the number of tenure lines and other positions to be filled, department history, and any other relevant programmatic and personnel factors.

Faculty selected to augment the department shall be tenured faculty in other UW-RF departments. They shall be selected by the Dean or Director of the College or School in which the department is located. The criteria for selection shall be 1) preparation in a cognate field or interdisciplinary training in the discipline of the department; and/or 2) expertise in personnel processes. The department to be augmented shall nominate up to two candidates for each position to be filled. The Dean or Director shall consider these nominees in making the final decision but is not obligated to include departmental nominees among faculty selected to augment the department. The Dean or Director's recommendations shall be reviewed and approved by the Chancellor and Provost & Vice Chancellor.

Applicants who are interviewed for a position shall be notified that the department has been augmented for personnel purposes. They shall also be apprised of the qualifications of the members who are augmenting the department and of the rules by which the augmented department operates. Whenever possible, the augmented department shall function from the beginning of the personnel process for a given position until the faculty member it hires for that position is nonretained, resigns, or is tenured.

In other cases, departments may be augmented if, in the best judgment of the appropriate academic Dean or Director, it is in the best interests of the department and the University to do so. [FS 92/93 #32,33]

Academic Unit Head-RF 1.2

When an academic unit is identical to a department, College or School, or other existing administrative unit of the University, the academic unit head is the respective department chair, Dean or Director or other existing administrator. When an academic unit is specially created, the academic unit head is the person so designated by those responsible for designating the academic unit.

Faculty Appointment-RF 1.3

Faculty appointments are agreements between the individual faculty member and the University providing for the employment of the faculty member in either a probationary or tenured position. Faculty appointments carry the following titles: professor, associate professor, assistant professor, and instructor.

Probationary Appointment-RF 1.4

A probationary appointment is an appointment by the Board made upon the affirmative recommendation of the appropriate academic unit and the Chancellor of the University and held by a faculty member during the period which may precede a decision on a tenure appointment.

Tenure Appointment-RF 1.5 [FS 92/93#27]

A tenure appointment is an appointment for an unlimited period granted to a ranked faculty member by the Board. Ordinarily, such appointments are made upon the affirmative recommendation of the appropriate academic unit and the Chancellor of the University via the President of the System. If the academic unit denies tenure and a review reveals that the denial was based on impermissible factors, a tenure appointment may be made on the affirmative recommendations of a properly constituted tenure review committee and of the Chancellor.

Faculty -RF 1.6

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

Academic Staff-RF 1.7

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

Dean or Director -RF 1.8

In these rules, the term "Dean or Director" refers to a Dean or Director or his or her functional equivalent.

Selection of Administrative Personnel - Procedures**Chancellor**

The Board of Regents selects the Chancellor. The practice has been for the faculty to elect a committee to assist the Board. The committee has made recommendations on the basis of the candidates' papers, consulted with the Board, participated in interviews of applicants, and recommended the preferred candidates to the Board.

Vice Chancellors, Deans and Director

Vacancies at Vice Chancellor and Dean or Director levels requiring search and screen procedures will be reported to System Administration and Regents when they occur, thereby permitting Regents to identify those positions for which they want a Regent Committee to work with the Chancellor in reviewing the final list of candidates.

Tenuring of Administrators

Administrative candidates who may be offered tenure at the time of their hiring shall meet with the department in which they seek tenure during the campus interview process. In cases, where the candidate might be considered for tenure in more than one department, the Provost and/or Chancellor shall identify, in consultation with the candidate, which department shall first consider the candidate for tenure.

To implement this policy, the Chancellor informs the identified departments in writing that one, or more, of the candidates invited for campus interviews might potentially be tenured into their department. The Chancellor also provides the department(s) with the following written information: a) the curriculum vitae of the candidate(s), b) a copy of the Faculty/Staff Handbook criteria on awarding tenure, c) a copy of the criteria for considering tenure within the respective department, and d) information about the potential impact of this hire on existing and future tenure-track position in the department.

During the campus interview, the candidates meet with members of the identified department. Following that meeting, the tenured members of the department discuss the merits of the candidate relevant to the tenure criteria and forward a recommendation to the Chancellor.

Prior to the administrator returning to the department, the Chancellor and/or Provost shall meet with the Department Chair to consider the appropriate assignment of responsibilities. [FS 02-03 #15]

Middle Management

Written announcements of open positions in middle management (executive/administrative managerial positions titled Associate, Assistant, Assistant to, etc.) are to be made to the entire campus community with qualifications, duties, and salary range stated, and applications and nominations invited.

Applicants and nominees should have the opportunity to support their candidacies with a resumé, interview, and/or other materials. Administrators and search and screen committees should be alerted to and encouraged to consider non-traditional career patterns as potentially relevant for administrative positions.

The judgment of the final selecting (hiring) authority should be based on the broadest pool of talent (candidates) and the fullest information possible.

Department Chair

Term

The department chair shall be appointed for a period of three years, beginning July 1 of the year in which the appointment is made. The appointment is renewable.

Selection Process

The Dean or Director of the College or School concerned shall initiate the selection process for department chair. Recommendations for department chairs will be made to the Dean or Director by eligible members of the department by secret ballot through the campus mail. On request, individual faculty members may examine the total vote in consultation with the Dean or Director.

Timeline for Chair Selection

The Dean or Director of the College or School shall initiate the selection for department chair by notifying the appropriate departments by November 1. Departments must return their recommendation to the Dean or Director by December 15. New chairs must be notified of their appointment by February 1. [FS 97/98 #11]

Eligibility to Vote

All those full-time members of the department who are in at least their fourth semester of continuous service (not counting the summer session) and who have not received a letter of non-renewal are eligible to vote.

Nomination Procedure

In departments of ten or more members, nominees for the position of department chair shall consist of the top three candidates; In departments of five to ten members, the nominees shall consist of the two top candidates.

To be considered for the position, a nominee must have at least 30% (thirty percent) of the total votes cast. If no person receives 30% of the votes, the Dean or Director will report the results of the balloting to the department and instruct the members to cast another ballot. If the second ballot is inconclusive, the Dean or Director will select the department chair. If 30% of the department wishes the establishment of a search and screen committee, then such a vote is a recommendation to the Dean or Director and such a committee shall be established from the voting members of the department. In departments with fewer than five members, or in cases where elections are not feasible, the Dean or Director shall make recommendation in consultation with the members of the department, when possible.

Dean or Director's Recommendation

The Dean or Director makes recommendation to the Provost & Vice Chancellor who in turn makes recommendation to the Chancellor for final approval and appointment.

Acting Chair Appointments

When a department chair is not on summer session staff or is absent for one semester during the academic year, the Dean or Director, in consultation with the department chair and members of the department, will appoint an acting chair. When a department chair will be absent for more than one semester during the academic year, the Dean or Director may either appoint an acting chair in consultation with the department chair and members of the department or initiate procedures for the selection of a new chair as outlined above.

Appointments - Procedures

New Appointment

The initiation of a new appointment is usually by the head of the department and/or members of that department. New appointments must be approved by the Dean or Director of the College or School or unit head, the Provost & Vice Chancellor, and the Chancellor. It is the policy of the University of Wisconsin-River Falls to provide equal

opportunity for all persons. Any special agreements between a faculty member and the University pertaining to the conditions of employment or performance expectations must be made in writing and be approved by the department or departmentally approved procedure, the Dean or Director of the College or School, the Provost & Vice Chancellor, and the Chancellor, or they will have no force in subsequent personnel decisions. [FS 90/91 #23]

Academic Year Appointment

An academic year appointment extends for the nine-month academic year specified in the calendar approved by the Board of Regents and should ordinarily begin no earlier than one week before the first day of scheduled campus registration for the fall term and should end no later than one week after the last day of scheduled classes. The institution may contract with the faculty member for distribution of the equivalent of an academic year of service over the twelve-month calendar year; but, in any event, the contractual academic year shall consist of not fewer than thirty-nine contiguous weeks.

Annual Appointment

An annual appointment extends for a period of twelve months and normally begins on July 1. Faculty members on annual appointment shall accrue vacation pay at the rate of 22 working days per year.

Summer Session Appointment

Summer session appointments are made each year at the time that the summer session program is determined. The Deans and Director of the Colleges and School recommend staff appointments to the Coordinator of the Summer Session, who, in turn, recommends them to the Chancellor. The size of the summer session staff is determined by budget, and appointments within the institution are based on needs as seen by course demands.

In order to achieve summer session revenue targets, the following policies and procedures should be followed [FS 97/98 #21]:

- (a) Summer Courses should be offered to meet the needs of students.
- (b) Classes with at least fifteen (15) undergraduate students or ten (10) graduate students will be offered. Faculty who teach classes meeting this criterion will be compensated at a proportional rate based on $\frac{2}{9}$ (.22222) of their 9-month salary for a full-time appointment (8 credits, graduate or undergraduate) or \$1,000/credit, whichever is higher. However, if the tuition generated by a class is less than the staff member's salary as computed above, then the salary will be negotiated with the Dean or Director at an amount equal to at least 95% of the tuition.
- (c) Compensation will be based on enrollment after the first week of class.
- (d) The Deans and Director will have responsibility for allocating summer session dollars to meet the summer session student contact hour/revenue targets by offering classes during the summer or the academic year. The Deans and Director will be responsible for covering expenditures beyond the amount allocated to the Colleges and School.

- (e) Extension courses will not be offered in competition with regular GPR classes.
- (f) If a 12-month faculty or staff is generating student contact hours in the summer, it is expected that the equivalent of \$1,000/credit be charged to the College or School summer session account.
- (g) The academic Deans and Director will be expected to meet the student contact hour/revenue targets specified above.
- (h) The summer session pay plan outlined above will remain in effect for three years (1998-2000).

In making appointments for summer session teaching, the following priorities will be used:

- (a) Those holding the doctorate or the terminal degree in their area.
- (b) Non-doctorates holding the rank of full professor.
- (c) Non-doctorates who have completed all the requirements for the degree except thesis and who are making progress in this area.
- (d) Persons in areas of a teacher shortage when those having the educational qualifications listed in the above categories are not available from within or without the institution. In such cases, appointments of personnel of lesser qualifications may be made. Since each faculty member who does not have a doctorate or terminal degree in his or her field is expected to use summers to make progress toward his or her degree and should be provided with the opportunity to do so, these appointments will be kept to a minimum.
- (e) Exceptions to the above may be made although additional academic work still is expected:
 - (1) In certain cases when an assignment is for special reasons or is considered desirable for a particular program.
 - (2) In the case of Library staff.
 - (3) In the event of federal or other grants from outside funds.

Recruitment and Initial Appointment - Faculty Personnel Rules-Chapter 2

Chancellor's Statement

The University of Wisconsin-River Falls stands committed to the principle of equality of opportunity in employment and in education. In its most elementary form, adherence to the concept of equality of opportunity requires that we strive toward a condition in which

considerations of age, race, creed, color, religion, disability, marital status, gender, national origin, ancestry, sexual orientation, political affiliation, veteran status, arrest or conviction record, or membership in the National Guard or any other reserve component of the military forces of the United States or this state are irrelevant as determinants of the access an individual has to the opportunities for education, for employment, for achievement, and for personal fulfillment. Rather, the controlling factors in all such matters must be individual ability, interest and merit.

Our present and future course, which goes beyond non-discrimination (i.e., the elimination of all policies and practices that work to the disadvantage of individuals on the basis of age, race, creed, color, religion, disability, marital status, gender, national origin, ancestry, sexual orientation, political affiliation, veteran status, arrest or conviction record, or membership in the National Guard or any other reserve component of the military forces of the United States or this state), is based on the concept of Affirmative Action. The principle of Affirmative Action requires the University to determine if it has met its responsibility to recruit, employ, promote, and reward these populations to a degree consistent with their availability and merit, and whether or not any failure to do so can be traced to specific discriminatory actions or policies. Where these classes are underrepresented, the University will recruit and employ them in accordance with their increasing availability. The premise of this commitment is that the corrosive effects of systematic exclusion, inattention, and overt discrimination cannot be remedied in appropriate ways and in a reasonable time by a posture of neutrality with respect to all individuals. Affirmative Action is necessary to avoid the perpetuation of the inequities that are our heritage from the past.

While the University is obliged to develop and sustain a program of Affirmative Action, our commitment to these matters transcends legal or contractual requirements. We undertake these actions and adopt these policies not because we are required to, but because it is right and proper to do so.

See UW-RF Hiring Handbook for further information and guidance.

Recruitment - RF 2.1

2.11-Once the decision has been made that a vacancy exists within an academic unit and clearance to fill the position has been received from University Administration, the head of the academic unit shall have the primary responsibility for recruitment for faculty appointments.

2.12-[FS 97/98 #17] - Prior to establishing a search and screen committee, the department shall meet and determine the structure of the committee and the voting procedures to be followed. The decision of the department should be recorded in the minutes of the meeting. The department may elect one of the following:

(a) act as a committee of the whole, delegating the search and screen process to a duly appointed subcommittee. The subcommittee conducts the search and screen consistent with all applicable sections of the Faculty/Academic Staff Handbook and makes a

recommendation to the voting members of the department, who then reconvene as a committee of the whole to recommend the candidate for the position, or

(b) act as a committee of the whole, without establishing a subcommittee, and conduct the search and screen consistent with all applicable sections of the Faculty/Academic Staff Handbook. The committee consists of all eligible voting members of the department and any additional committee members as required by the Faculty/Academic Staff Handbook, who vote to recommend the candidate for the position, or

(c) establish a search and screen committee that conducts the recruitment on behalf of the department. The process shall include significant consultation with department faculty. Only the members of the search and screen committee (excluding advisory student members) shall vote to recommend the candidate for the position.

All voting members have a level of accountability in which they are expected to engage in an equitable and nondiscriminatory selection process. Only voting members and the student advisory member shall have access to the candidates' files, which will be held in strictest confidence consistent with University policy.

The head of the academic unit shall appoint at least one student from among the junior and senior majors and minors in the academic unit to advise the search and screen committee in a non-voting capacity.

The following table lists who is eligible to serve on a Search and Screen Committee, depending upon the type of search, and the voting rights of each of those members. The actual composition of the committee is determined separately.

Personnel Classifications and Voting Rights, Search and Screen Committees,
Unclassified Staff

Employee Classification	Tenure Track Search	Instructional Academic Staff Search	Academic Staff Search
Tenured Faculty	Serves & Votes	Serves & Votes	Serves & Votes
Probationary Faculty ¹	Serves & Votes	Serves & Votes	Serves & Votes
Academic Staff, Full Time	Serves & Advises Only ²	Serves & Advises Only ²	Serves & Votes
Academic Staff, Part-Time	May not serve or vote	May not serve or vote	May not serve or vote
Instructional Academic Staff Full Time	May not serve or vote ²	May not serve or vote ²	Serves & Votes
Instructional Academic Staff	May not serve or vote	May not serve or vote	May not serve or vote

Part Time			
Student	Serves & Advises Only	Serves & Advises Only ³	Serves & Advises Only ⁴
Community Member	Serves & Advises Only ³	May not serve or vote	Serves & Advises Only ³
Classified Staff	May not serve or vote	May not serve or vote	May not serve or vote

¹ Every faculty member, including the department chair, with two consecutive semesters of service in that academic unit shall be eligible to serve on the search and screen committee, with the exception of emeriti, persons who have officially announced their intention to retire, and the individual being replaced.

² Academic Staff may serve and vote on search committees hiring Full Time Faculty positions with coaching assignments, and Full Time Coaching-related Instructional Academic Staff positions, and Academic Staff Support positions.

³ Students and community members may serve in an advisory, non-voting capacity at the discretion of the unit.

⁴ Student representation on the search and screen committee is highly recommended for units with significant student involvement. [FS 00/01 #14]

2.13- The search and screen committee will first prepare a policy statement to be used for recruiting candidates. The statement requires the approval of the Dean or Director, the Provost & Vice Chancellor, and the Chancellor. The statement must include, but shall not be limited to, the following:

(a) Job description

(b) Rank and salary range to be offered for the position

(c) Criteria to be used for reviewing the applications, which shall include (where applicable):

(1) Professional preparation and experience

(2) Recommendations

(3) Effectiveness in teaching or potential as a teacher

(4) Professional distinction in research, writing, or artistic production or performance

(5) Ability and willingness to maintain working relations with colleagues as are essential to effective accomplishment of the mission of the academic unit concerned

(6) Other criteria considered necessary for the effective accomplishment of the goals of the unit

(d) Interview procedures providing for participation by students, faculty and administration

(e) Equal opportunity statement or full statement (see Chancellor's Statement, Rules, Chapter 2 above)

(f) Closing date for receiving applications.

The search and screen committee should make every effort to ensure that the vacancy listings reach as many eligible candidates as possible by:

- (a) Advertising in a national professional magazine or journal
- (b) Participating in an employment clearing house at a national conference
- (c) Mailing the vacancy listings to as many institutions and industries as possible
- (d) Sending all position announcements along with a statement of procedures used to advertise the position to the Assistant to the Chancellor for Equity and Compliance prior to the interviewing of the candidates.

2.14- The academic unit concerned shall maintain files of the candidates' applications and supporting materials. These records shall be open to voting members of the academic unit throughout the screening process. After the position is filled, these materials shall be filed with the office of the Dean or Director.

2.15- The search and screen committee shall screen applications and make recommendations to the head as to which applicants are best qualified for the position.

2.16- The Chancellor shall provide guidelines for reimbursement of travel expenses incurred by candidates who have been identified by the procedures in RF 2.15.

2.17- The Chancellor can approve alternate procedures if those contained herein cannot be followed because of factors such as faculty members being unavailable for participation.

Initial Recommendation by the Faculty-RF 2.2

2.21- The decision to offer an appointment to a candidate shall be made by the Chancellor, only upon the affirmative recommendation of the appropriate academic unit.

2.22- The academic unit to make the initial recommendation will be determined by the Chancellor.

2.23- Those who have received non-renewal notices or resigned for reasons other than retirement shall not vote on initial appointment questions. Otherwise, every faculty member, including the head, with two consecutive semesters of service in that academic unit shall be eligible to vote on the initial recommendation regarding an initial appointment.

4.4.4 Procedures for Recommendation-RF 2.3

2.31- The head of the academic unit, in consultation with the Dean or Director and Provost & Vice Chancellor, shall establish interview dates.

2.32- Before a vote is taken, the recommendation for initial appointment shall be discussed at a meeting of: (a) the faculty members eligible to vote thereon or (b) a

departmental committee assigned authority to do so by faculty members eligible to vote thereon. In compliance with the open meeting law, written notice of the meeting shall be given well in advance of the meeting, together with a statement of the agenda. The meeting shall be conducted so as to afford reasonable opportunities to ask questions, offer additional information, and discuss the recommendation in question.

2.33- A motion to recommend a probationary appointment shall pass if a majority of those voting concur.

2.34- The head of the academic unit concerned shall submit the unit's initial recommendation, along with supporting materials, for administrative review. The recommendation shall be accompanied by:

(a) a statement of the number of faculty members who favored and the number of faculty members who opposed the recommendation and a statement regarding whether or not the head agrees with the recommendation,

(b) a compliance report, and

(c) other information required by the Chancellor.

Administrative Review of Initial Recommendation-RF 2.4

2.41 The initial recommendation of the academic unit shall be submitted for administrative review in accordance with this section:

(a) The head of the academic unit shall submit the recommendation outlined in RF 2.34 to the Dean or Director. The Dean or Director shall make a decision, appending any comments, and forward the recommendation to the Provost & Vice Chancellor.

(b) The Provost & Vice Chancellor shall make a decision, appending any comments, and forward the recommendation to the Chancellor.

(c) The Chancellor has the responsibility and authority to make the final decision and shall inform the Provost & Vice Chancellor, Dean or Director, and head of the academic unit of the decision.

(d) In those cases where tenure is a consideration in the initial appointment, the Chancellor will recommend to the Board of Regents, through the President of the System, that tenure be granted as part of the initial appointment.

Notification of Initial Appointment-RF 2.5

2.51 Each person to whom an appointment is offered must receive an appointment letter in which the Chancellor or other authorized official of the University of Wisconsin-River Falls details the terms and conditions of the appointment, including but not limited to:

duration of the appointment, salary, starting date, ending date, general position responsibilities, probation, tenure status, and crediting for prior service. Accompanying this letter shall be an attachment detailing the University and System rules and procedures relating to faculty appointments. If the appointment is subject to the advance approval of the Board of Regents, a statement to this effect must be included in the letter.

The following guidelines will be considered in the assignment of number of years of experience:

a) teaching experience at the university level in an institution equivalent to this University will be honored on a 1 - 1 basis (one year equals one year).

b) teaching experience at the elementary or secondary level will be honored on a 2 - 1 basis, however a maximum of five years will be granted.

c) industrial, governmental, business, or pre-professional experience directly related to the University teaching assignment will be honored on a 2 -1 basis with a maximum of five years granted. [FS95-95]

d. appropriate experience will be considered on an individual basis. The burden of proof is on the faculty member to show he cause and for the department chair to present evidence. The experience shall not exceed the 3 -1 ratio, with a maximum of five years granted.

e. graduate assistantships may be considered in (d) of the above formula.

2.52 Applicants who are not offered the appointment shall be notified by the head of the academic unit that their applications will receive no further consideration.

Renewal and Nonrenewal of Probationary Appointments Faculty Personnel Rules-Chapter 3

The provisions of this chapter, except as they are modified by the provisions of Chapter 4, shall not apply to the appointment of a faculty member to an eighth year of service to this institution.

Recommendation from an Academic Unit-RF 3.1

3.11- Renewal of appointments may be granted only upon affirmative recommendation of the appropriate academic unit. The proportion of time provided for the appointment may

not be diminished or increased without the mutual consent of the faculty member and the institution, unless the faculty member is dismissed for just cause, pursuant to 36.13 (5), Wisconsin Statutes, or is terminated or laid off pursuant to 36.21, Wisconsin Statutes.

3.12-[FS 92/93 #14] -Only tenured faculty members in the academic unit or its functional equivalent shall be eligible to vote on renewal and nonrenewal of probationary appointments except for those who have resigned for reasons other than retirement and those excluded by other UWS regulations, e.g., s. UWS 8.03 (3), the rule governing nepotism.

Criteria for Recommendation-RF 3.2 [FS 92/93 #10]

3.21-The recommendation shall be based on the following factors:

(a) The personnel needs as determined by the specific mission and programs of the academic unit within the overall mission and programs as defined and set forth for the respective College or School and University of Wisconsin-River Falls.

(b) Professional preparation and experience

(c) Performance criteria.

(c1) Effectiveness in teaching. This section is to apply to any academic unit (department) faculty member whose appointment normally involves a teaching component. Each academic unit (department) will draw up in writing a set of Teaching Expectations to be used as a guideline for all of its teaching staff in carrying out their teaching duties. Teaching expectations shall include, but not be limited to, classroom teaching and its ancillary activities such as advising, testing, professional consultations with students on class progress and with colleagues on curriculum revision and development, class preparation, and syllabus writing, and maintaining familiarity with technology [FS 99/00 #32]. These activities and their relative importance are to be clearly defined in departmental guidelines. The teaching effectiveness criteria for faculty also shall be used to evaluate academic staff with teaching appointments.

The most important performance criterion will be effectiveness in teaching. Effectiveness in teaching will be assessed through peer evaluations, student evaluations, the faculty member's teaching portfolio, and any other appropriate means of evaluation as approved by a majority of the academic unit's (department's) teaching staff.

(c2) Professional involvement and accomplishments. Professional Involvement and accomplishments in research/scholarly/creative activity may include, but is not limited to, student-faculty or faculty research/scholarly/creative activity involving traditional discipline-related activity or the scholarship of teaching and learning, publications, presentations to professional organizations, grants applied for, grants received, exhibitions of works of art, performances, video productions, software production, participation in scholarly/scientific meetings and related activities. [FS 02/03 #11]

(c3) Contributions. Significant contributions at the departmental, College or School, University, community, state, national, or international level in categories other than those identified above. Such activities include, but are not limited to, advising campus organizations; participating in faculty governance; sharing professional expertise with government, business or private non-profit entities; participation in non-academic local, regional, national, and international organizations whose aims parallel the professional interests of the faculty.

3.22-A supportable, severe deficiency in any or all of the above criteria, (c1)-(c3), is a reasonable cause for non-renewal.

3.23-Each academic unit (department) will develop a written set of criteria and will determine the relative importance of these criteria for determining renewal using the basic core of the above criteria including the integration of technology in RF 3.21 as a model and have it approved by the respective College Dean, the Provost & Vice Chancellor, and the Chancellor. These criteria are to be provided in writing to and discussed with new faculty members by each academic unit chair.

The department may adjust its criteria, within the boundaries of core criteria C1-3 above; the respective College Dean, the Provost & Vice Chancellor, and the Chancellor must approve those changes. Departments and administrators must follow a principle of fairness in applying changed criteria to decisions involving faculty who have been working under the conditions of the prior criteria. Faculty within three years of the department's decision for tenure, promotion, or post-tenure review decisions will be given the option to have the criteria operative prior to the change used in these decisions. Other faculty subject to a retention, promotion or post-tenure review decision when criteria have changed since time of hire, last promotion or post-tenure review should confer with the department and department chair to negotiate and clarify the criteria to be used. Consideration must be given to length of service under the prior criteria, the terms and expectations under which the initial hire was made, the decision process used to change the criteria, and the extent of prior consultation with the faculty member with respect to the changed criteria. These clarifications will be summarized in writing, approved by the respective College Dean, the Provost & Vice Chancellor, and the Chancellor, and entered into the faculty member's professional record. These clarifications will also be mentioned in the Chair's recommendation and the individual's Reflective Statement in the decision file. Decision makers will use these clarified criteria in making their recommendations. [FS 03-04 #7]

3.24-The head of the academic unit concerned shall maintain the professional record indicating the performance of each probationary faculty member with respect to the criteria set forth in Section 3.21. Such records shall be limited to official University documents relevant to reaching an evaluation.

3.25-As part of the official record, faculty members under review shall prepare two to three page statements reflecting on their progress in meeting the department's

performance criteria noted in 3.21c. This statement should summarize the candidates' portfolios and elaborate on activities such as their teaching, collaborations with students and colleagues, accomplishments in research/scholarly/creative activity, and service to the campus and larger community. This statement shall be prepared and updated for the professional record as appropriate for decisions involving retention, tenure, promotion, and post-tenure review. [FS 02-03 #48]

Procedures for Recommendation-RF 3.3 [FS 87/88 #75]

3.31- The names of the probationary faculty members to be evaluated shall be forwarded to the heads of the appropriate academic units by the Dean in accordance with the schedules set forth in Section 3.61.

Probationary faculty hired at mid year will be evaluated (first review) with first year probationary faculty hired in the next academic year. [2001-02#21]

3.32-At least 30 calendar days prior to the vote on the question of renewal of a probationary appointment, the head of the academic unit shall notify, in writing, the faculty member in question and all faculty members eligible to vote thereon. These individuals shall be allowed access to the professional record and given the opportunity to update that record as identified in RF 3.24. This material must be placed in the record within 20 days after the notification. For at least a five-day period before the vote is taken, the faculty member in question and every faculty member eligible to vote shall be allowed access to the professional record for review purposes only. (See time schedule in RF 3.61)

3.33-[FS 92/93 #15] -Before a vote is taken, the recommendation in question shall be discussed at a meeting of the faculty members eligible to vote thereon. The meeting shall be called under the provisions of s. 19.85, Wisconsin Statutes, the Open Meeting Law, and RF 3.12. The meeting shall be called and conducted by the chair so as to afford reasonable opportunities to ask questions, to offer additional information, and to discuss the recommendation in question. This discussion shall be based on documents in the probationary faculty member's personnel file. This file should contain and the chair shall introduce for discussion: official recommendations from departmental personnel committee where such exist; and non-binding advisory reports from other sources who are engaged in a working relationship with the faculty under review.

3.34-The vote shall be taken at the meeting by signed ballots. Members unavoidably absent from the meeting because of illness, professional commitment, or emergency may vote by absentee ballot submitted to the head prior to the meeting. There shall be no voting by proxy.

3.35-[FS 90/91 #20] -The recommendation to renew a probationary appointment shall pass if a majority of those voting concur. If the votes are equally divided, the recommendation shall be against reappointment. Abstention votes of any form should be counted as no vote cast. They should not be considered in any personnel decision.

3.36- The head of the academic unit shall prepare and submit the unit's recommendation for the administrative review provided in RF 3.5. The recommendation shall be accompanied by a copy of the record which was presented to the faculty, a statement of the number of faculty members who favored and the number who opposed the recommendation, any minority view which has substantial support, and whether the head of the academic unit concerned agrees with the recommendation.

3.37-The recommendation, including all documents referred to in RF 3.36, shall be available in the chair's office for inspection and comment by the voting members for a period of not less than three weekdays prior to the date set forth in RF 3.6 for its submission for administrative review. During those days, voting members may add their separate concurring or dissenting statements to the material forwarded.

3.38-Copies of the academic unit's recommendation, including all documents referred to in RF 3.36 and RF 3.37 and the individual signed ballots, shall be retained by the Dean or Director.

Disclosure of Recommendation to a Faculty Member-RF 3.4

3.41- At the same time that the recommendation is submitted for administrative review, the head of the academic unit shall give written notice to the faculty member of the recommendation adopted by the unit.

3.42-The probationary faculty member shall be notified in writing within 20 days after each decision at each reviewing level as outlined under "Dates of Implementation" (FS 3.6).

Administrative Review of the Recommendation-RF 3.5

3.51- The recommendation of the academic unit shall be submitted to and reviewed by the administration in accordance with this section.

(a) The head of the academic unit shall submit the recommendation outlined in RF 3.36 and RF 3.37 to the Dean or Director. The Dean or Director shall make a decision, appending any comments, and forward the recommendation to the Provost & Vice Chancellor.

(b) The Provost & Vice Chancellor shall make a decision, appending any comments, and forward the recommendation to the Chancellor.

(c) The Chancellor has the responsibility and authority to make the decision for renewal and nonrenewal based on the criteria listed in 3.21 and shall inform the head of the academic unit of the decision.

(d) If the Chancellor disagrees with the recommendation of the academic unit and requests that the unit reconsider the matter, he or she must submit a statement of reasons for disagreement to the unit.

(e) The head shall call a meeting of those members of the academic unit who are eligible to vote on the question. After discussion of the reasons given by the Chancellor, a vote shall be taken to determine what the reconsidered recommendation shall be. Voting shall follow procedures given in RF 3.34 and RF 3.35.

(f) The head of the academic unit shall submit the unit's reconsidered recommendation to the Chancellor not less than three weekdays prior to the notification dates for reappointment. (RF 3.6)

(g) The decision of the Chancellor on the reconsidered recommendation shall be final.

3.52-The Chancellor shall inform the faculty member of his or her decision for the renewal or nonrenewal of the probationary appointment. The faculty member may, within 30 days of a nonrenewal notice, submit a written request to the Chancellor for reasons of nonrenewal. The Chancellor shall, within 10 days, give him or her written reasons for nonrenewal. Such reasons shall become a part of the professional record of the individual.

3.53- Within 20 days after receiving written reasons from the Chancellor, the faculty member may submit to him or her a written request for a reconsideration of the nonrenewal decision. The purpose of reconsideration of a nonrenewal decision shall be to provide an opportunity for a fair and full reconsideration of the nonrenewal decision and to ensure that all relevant material is considered.

(a) Such reconsideration shall be undertaken by the Chancellor and shall include, but not be limited to, notice at least five days in advance of the time of reconsideration of the decision, an opportunity to respond to the written reasons and to present any written or oral evidence or arguments relevant to the decision, and written notification of the decision resulting from the reconsideration.

(b) Reconsideration is not a hearing or an appeal, and shall be non-adversarial in nature.

(c) In the event that a reconsideration affirms the nonrenewal decision, the procedure outlined for appeal may be followed. (See Chapter 6)

Implementation Dates-RF 3.6

3.61-Since the promotion to associate professor is coupled to the granting of tenure, the dates of implementation to IV-19 shall apply to both.

3.62- The dates used in the implementation of the procedures of RF 3.3 are based upon the notice periods provided by UWS 3.09, Wisconsin Administrative Code, and are listed in the table below.

3.63- In case of an appointment terminating in the middle of an academic year, the time associated with the implementation dates shall be apportioned accordingly and precede the notification dates as given in UWS 3.09 of the Wisconsin Administrative Code.

See chart on the following page.

3.6 Dates of Implementation

Years of Employment

Action	First Year *** <small>(for second year appointment)</small>	Second year** <small>(for third and fourth year app)</small>	After two or More years
A. Names of probationary faculty members forwarded to heads of academic units no later than (RF 3.31)	December 5	September 15	November 25
B. Head of academic unit notifies probationary faculty members and all eligible voters no later than (RF 3.32)	December 10	September 20	December 5
C. Professional file is made available to candidate and faculty members eligible to vote, for their consideration and additions (RF 3.32)	December 11- January 20	September 21- October 20	December 6 - January 5
D. Amended file available for review only (RF 3.32)	Jan 21-26	October 21-31	January 6-31
E. Vote no later than (RF 3.32-3.35)	Feb 2	November 10	February 6
F. Departmental recommendations and all supporting documents (as outlined in RF 3.36) shall be opened to inspection and comments for three weekdays prior to their submission to the Dean or Director but no later than (RF 3.37)	Feb 7 *	November 15*	February 13*
G. Departmental recommendations with all supporting documents (as outlined in 3.36 and 3.37) forwarded to the Dean or Director no later than (RF 3.51)	February 10	November 16	February 14
H. Dean or Director forwards recommendations to Provost & Vice Chancellor no later than (RF 3.51)	February 15	November 23	February 21
I. Provost & Vice Chancellor forwards recommendation to Chancellor no later than (RF 3.51)	February 20	November 30	February 28
J. Chancellor informs head of academic unit of decision no later than (RF 3.51)	February 25	December 8	March 7
K. Chancellor notifies faculty member of decision no later than (RF 3.51)	March 1	December 15	March 14

* 5 days allocated to allow for week-ends during some terms

** [FS 96/07#23]

*** [2001-2002 # 23]

Granting Tenure - Faculty Personnel Rules-Chapter 4

General- RF 4.1

The usual probationary period shall be seven years in a full-time or at least half-time position. Provisions shall be made at the time of hire for the appropriate counting of prior service at other institutions and at the institution. Tenure is not acquired solely because of years of service.

4.11- A tenure recommendation shall ordinarily be made during a probationary faculty member's sixth year of full-time or at least half-time employment. The notice of employment for the eighth year shall be given during the sixth year in accordance with the schedule set forth in RF 3.61. Except as provided in UWS 3.10 and UWRF 4.15, notice of appointment for the eighth year shall constitute the granting of tenure to the probationary faculty member.

4.12- A faculty member may be considered for tenure prior to the completion of the usual probationary period provided that at least one of the following criteria is met:

(a) For extraordinary reasons, the faculty member has taught seven years at this institution without receiving tenure.

(b) The faculty member possesses teaching, administrative, and/or research expertise that makes possible an extraordinary contribution to the fulfillment of the goals of the institution.

4.13- A faculty member may be considered for tenure with a longer maximum probationary period (greater than 7 years as defined in 4.1) in a full-time or part-time position of at least half-time (see UWRF 4.14 and 4.15).

4.14- A leave of absence, sabbatical or a teacher improvement assignment does not constitute a break in continuous service and shall not be included in the 7-year period under sub (4.1)

4.15- Circumstances in addition to those identified under sub. (4.14) that do not constitute a break in continuous service and that shall not be included in the 7-year period include responsibilities with respect to childbirth and adoption, significant responsibilities with respect to elder or dependent care obligations, disability or chronic illness, or circumstances beyond the control of the faculty member, when those circumstances significantly impede the faculty member's progress toward achieving tenure. The request shall be made in writing. It shall be presumed that a request made under this section because of responsibilities with respect to childbirth or adoption shall be approved. A request for additional time should be made prior to the beginning of the sixth year.

(a) A request for additional time because of responsibilities with respect to childbirth or adoption shall be initiated in writing by the probationary faculty member concerned and shall be submitted to the chair or academic unit head who will forward it with a recommendation to the Dean or Director who will forward it with a recommendation to the Provost & Vice Chancellor for approval. The Provost & Vice Chancellor shall specify the length of time for which the request is granted. The request should state the reason for the exception, and state the beginning date and the ending date of the leave. Final approval and notification shall be made by the Chancellor.

(b) Except for a request because of responsibilities with respect to childbirth or adoption, a written request made because of other circumstances under this section shall be submitted to the chair or academic unit head, who will forward it with a recommendation to the Dean or Director, who shall forward it with a recommendation to the Provost & Vice Chancellor for approval. The Provost & Vice Chancellor shall specify the length of time for which the request is granted. The request should state the reason for the exception and state the beginning date and the ending date of the leave. Final approval and notification shall be made by the Chancellor. A denial of a request shall be in writing by the Chancellor and shall be based on clear and convincing reasons.

(c) More than one request may be granted because of responsibilities with respect to childbirth or adoption. More than one request may be granted to a probationary faculty member but the total, aggregated length of time of all requests, except for a request because of responsibilities with respect to childbirth or adoption, granted to one probationary faculty member ordinarily shall be no more than one year.

(d) If additional time is needed, the approval process must be reinstated.

(e) The department chair shall notify the tenured faculty members that the leave has been approved and does not constitute a break in service. The chair does not need to notify the tenured faculty members as to the reason for the request.

(f) If any faculty member has been in probationary status for more than 7 years because of one or more of the reasons set forth in 4.14 or 4.15, the faculty member shall be evaluated as if he or she had been on probationary status for 7 years. [FS 94/95 #28]

Procedure - RF 4.2

The procedure for granting tenure shall be the same as the procedure for the renewal or nonrenewal of a probationary appointment in RF 3.1 through RF 3.6, except for the following:

(a) Voting members of the academic unit shall consist of all tenured faculty members of the unit.

(b) A motion to grant tenure shall carry only if favored by at least two-thirds of those voting. Abstention votes of any form should be counted as no vote cast. They should not be considered in any personnel decision. [FS 90/91 #20]

(c) When tenure is to be granted to a faculty member prior to the expiration of the normal probationary period, the decision may be made independently of the calendar dates in RF 3.51 (f) and RF 3.6. Nevertheless, the time periods and sequences associated with giving notice, scheduling meetings, and providing information shall be honored. When the Dean or Director forwards his or her recommendation to the Provost & Vice Chancellor, he or she shall, at the same time, inform all academic unit heads and each other Dean and Director about the recommendation. The purpose of providing this information is to give the various parts of the University an opportunity to express to the Provost & Vice Chancellor and/or Chancellor any concerns they have regarding the proposed action prior to a decision.

(d) When tenure is to be granted simultaneously with initial appointment, the tenured faculty of the academic unit, upon two-thirds majority vote, shall initiate the recommendation for granting tenure. This recommendation shall accompany the recommendation for initial appointment in the process of administrative review provided in RF 2.4. When the Dean or Director forwards his or her recommendation to the Provost & Vice Chancellor, he or she shall, at the same time, inform all academic unit heads and each other Dean and Director about the recommendation. The purpose of providing this information is to give the various parts of the University an opportunity to express to the Provost & Vice Chancellor and/or Chancellor any concerns they have regarding the proposed action prior to a decision. A denial of tenure under these circumstances does not require written reasons, a reconsideration, nor opportunity for an appeal under UWS 3.07 and UWS 3.08.

(e) As noted in RF 1.5, a tenure appointment is granted by the Board upon the affirmative recommendation of the appropriate academic unit and the Chancellor or the University via the President of the System, unless a denial of tenure is found to be based on impermissible factors, in which case the provisions of RF 4.3 will apply. [FS 92/93 #27]

Review and Rectification of Denial of Tenure For Impermissible Factors -RF 4.3 [FS 92/93#27]

Procedures for the Review and Rectification of Denial of Tenure on Basis of Impermissible Factors

Recommendations for tenure shall be based on the criteria established in RF 3.21 and on such extension of those criteria as are enacted by each academic unit and filed with the Provost & Vice Chancellor. Tenure shall not be denied on the basis of impermissible factors as defined in RF 6.4 of the Faculty/Academic Staff Handbook (Seventeenth Edition). Faculty who appeal their denial of tenure on the basis of impermissible factors may follow the process and procedure of the appeal process described below. No member of the academic unit in which the appeal originated shall serve on any body involved in the appeal.

(a) The faculty member denied tenure may appeal to the Faculty Hearing, Grievance and Appeals Committee to determine if impermissible factors were used in denying tenure.

This committee will review the tenure documents and supporting materials and hold interviews and hearings as needed to establish the basis on which the decision was made. Academic staff members of the Hearing, Grievance and Appeals Committee shall not participate in appeals of denial of tenure for impermissible factors.

(b) Should the Hearing, Grievance and Appeals Committee find that the decision was not based on impermissible factors, the denial shall stand. [FS 97/98 #10]

(c) Should the Hearing, Grievance and Appeals Committee find that the decision was based on impermissible factors, an Ad Hoc Committee shall be established to conduct an independent review of the grievant's credentials in relation to established criteria (RF 3.21).

(d) The Faculty Senate shall be responsible for establishing the Ad Hoc Committee.

(1) The Chair of the Faculty Senate in consultation with the tenured members of the Executive Committee shall draft a list of potential Ad Hoc Committee members to be approved by the entire Faculty Senate. The Faculty Senate Chair shall be responsible for contacting nominees to the Ad Hoc Committee and obtaining their consent to serve.

(2) This Ad Hoc Committee shall be composed of five members who teach in the same academic field as the individual under review or in a substantially similar academic field, and a non-voting chair selected by the tenured members of the Executive Committee of the UW-RF Faculty Senate.

(3) Members of the Ad Hoc Committee may be UW-RF faculty or faculty from other campuses, but they must be tenured at an accredited four-year institution of higher learning. In selecting off-campus members of the Ad Hoc Committee, the Faculty Senate shall try to choose faculty from institutions whose philosophy and mission are similar to those on this campus. Members of this Ad Hoc Committee are expected to give a fair and impartial review and to be free of conflicts of interest which might bias them in favor of one of the parties to the appeal.

(e) The Ad Hoc Committee shall function as follows:

(1) The administration shall provide a recording secretary who, in the event of an open meeting, will prepare a verbatim report.

(2) The Ad Hoc Committee shall review documents on which the decision was based including, but not limited to, the grievant's personnel file, minutes of meetings at which the grievant's tenure was discussed, the chair's recommendation regarding tenure, and other supporting documents;

(3) hold a meeting to conduct an independent review of the grievant's credentials in relation to established criteria (RF 3.21). In accordance with s. 19.85(1)(b) Wisconsin Statutes and other statutory provisions, appropriate notice shall be given of this meeting and the grievant shall have the option to request that it be open;

(4) after due discussion and deliberation, vote by signed ballot to recommend granting or denying tenure; and

(5) convey to the Chancellor their conclusions, providing a report stating the rationale for

their decision and indicating any substantive minority views which may have been expressed.

(f) The Chancellor shall review the recommendation of the Ad Hoc Committee and make a recommendation following the criteria in RF 3.21 and any such extension of those criteria established by the academic unit and filed with the Provost & Vice Chancellor.

(g) The following time limits shall govern this procedure:

(1) Within 15 days after being notified in writing of the departmental vote denying tenure, the faculty member must forward an appeal to the Hearing, Grievance and Appeals Committee.

(2) The Hearing, Grievance and Appeals Committee shall operate under the provisions of RF 10 except that in the event impermissible factors are found to operate, the Hearing, Grievance and Appeals Committee chair shall immediately notify the faculty member and the Chair of the Faculty Senate.

(3) Faculty Senate action on establishing the Ad Hoc Committee shall proceed in a timely fashion, but no more than one month shall elapse between notification and the approval of the Ad Hoc Committee.

(4) The Ad Hoc Committee shall have one month in which to conduct its review and to notify the Chancellor of its decision.

(5) The Chancellor will act on the report within two weeks after its receipt and will immediately give written notice of the final decision to all parties involved.

General Criteria for Promotion:

Reflecting the spirit and intent of Chapter 3 of the UWS Administrative Code "renewal of appointment and granting of tenure," this handbook includes the general criteria for promotion.

Specific Criteria for Promotion to Associate Professor:

Each department or functional equivalent develops specific criteria for retention and promotion including technology integration in accordance with RF 3.21c and determines the relative importance of these criteria. The appropriate Dean, the Provost and the Chancellor review and approve the criteria. The Department Chair shall present these department criteria to faculty members and shall discuss with them the ways in which the criteria can be fulfilled so that such faculty can successfully attain tenure and the automatic promotion to Associate Professor it carries. Copies of the criteria will be on file in the offices of the Dean, the Provost and the Chancellor.

Procedure for Promotion to Associate Professor:

Faculty appointed at the Assistant Professor level are promoted to Associate Professor simultaneously with the granting of tenure. For additional information on promotion to associate Professor see RF 4 on Granting Tenure.

Specific Criteria for Promotion for Promotion to Professor:

Performance expectations for promotion to Professor will be beyond those expectations for promotion to Associate Professor. Similar to promotion to Associate Professor, each department or functional equivalent develops the specific criteria, including technology integration, and determines the relative importance of these criteria. The appropriate Dean, the Provost and the Chancellor review and approve the criteria. The Department Chair shall present these department criteria to faculty members and shall discuss with them the ways in which the criteria can be fulfilled. Copies of the criteria will be on file in the offices of the Dean, the Provost and the Chancellor. A supportable, severe deficiency in any or all of the criteria is reasonable cause for denial of promotion.

Procedures for Promotion to Professor:

Promotion to Professor involves review and recommendations at the department, college/unit, University and UW Regents levels as described later in this section. A positive recommendation for promotion at a lower level does not guarantee a positive recommendation at a subsequent higher level.

Qualifications for Promotion

Appropriate Educational Preparation

In promotion of faculty members, the following criteria will be considered: appropriate educational preparation, appropriate experience, and contributions to the University.

The educational preparation code assignment shall be based on the following minimal academic experience pertinent to the teaching assignment:

Code 1. Any of the following categories qualify for this rating:

- Ph.D.
- Ed.D.
- Earned doctor's degree equivalent to the Ph.D. and Ed.D. requiring the minimum equivalent of three full years of graduate study beyond the baccalaureate
- M.F.A. in performing arts (dance and theatre) or in studio arts
- M.S.W./M.S.S.W. with ACSW eligibility (limited to promotions to Associate Professor only)

M.A./M.S. in Journalism and minimum three years relevant professional experience (limited to promotions to Associate Professor only) (FS 03-04 #6]

Code 2.

- Earned degrees requiring a minimum of three years of work beyond the baccalaureate degree
- All requirements met for the doctorate except for the completion of the dissertation

Code 3.

- Master's degree plus one full year of graduate study as measured by the institution where graduate work is applicable in a degree program
- A specialist degree or its equivalent
- Two-year master's degree

Code 4. Master's degree

Code 5. Bachelor's degree

Code 6. No bachelor's degree

NOTE: In those academic areas where the terminal degree traditionally accepted in the discipline is other than code 1 or code 2 or in fields where faculty members with code 1 or code 2 credentials are not available, the faculty member may receive consideration for promotion upon recommendation of the academic department. Less than full-time faculty may be considered for promotion in rank when their actual teaching experience adds up to the number of years required for promotion to the rank in question. The Chancellor may waive the criteria and must provide the justification for the waiver. [FS 90/91 #23]

Appropriate Experience

Having met the standard for minimal academic preparation as outlined in assignment of code, the faculty member who seeks advancement in rank must meet the following criteria:

- Associate Professor: To be eligible for consideration for promotion to the rank of Associate Professor, the faculty member must meet minimal educational preparation code 1. A minimum of six years of teaching or equivalency with a minimum of three academic years as an Assistant Professor at this University will be required.* An Assistant Professor who is granted tenure shall automatically be promoted to Associate Professor if minimal educational preparation code 1 is met and the rank of Assistant Professor has been held for at least three years. There shall be no promotion to Associate Professor prior to the granting of tenure. [FS 96/97 #4]**

*Neither the current year nor summer sessions will be considered in meeting this requirement

**Applies to tenure-track faculty hired after October 9, 1996 [FS 96/97 #5]

· Professor: There shall be no promotion to Professor prior to the granting of tenure.** [FS 96/97 #4] To be eligible for promotion to the rank of Professor, the faculty member must meet minimal educational preparation code 1. Ten years of full-time college/university teaching or equivalency is required.* A minimum of three of those years must be at the rank of Associate Professor at this University.

*Neither the current year nor summer sessions will be considered in meeting this requirement

**Applies to tenure-track faculty hired after October 9, 1996 [FS 96/97 #5]

Contribution to the University

The faculty member who has met criteria Appropriate Educational Preparation and Appropriate Experience (above) may be considered for promotion using the criteria found under RF 3.21 c. 1, 2, and 3.

[FS 93/94 #9]

Evaluation of the criteria in RF 3.21 c shall be based on the faculty member's professional record. Faculty members (tenured and tenure track) are expected to develop and maintain a faculty record for use in merit, retention, tenure, promotion, and post-tenure decisions. A copy of the record should be kept by both the faculty member and his or her department chair and updated annually. This professional record should include a Vita, a self-reflective statement [FS 02-03 #48], and the following position information: Letters of appointment, position announcement, University rank and years of service. The record shall document the faculty member's activities in four categories 1) teaching, 2) research/scholarly activity/creative activity, 3) university service and outreach, and 4) other professional contributions, and may include the following documentation and activities:

A. Teaching: must include student, peer, and department evaluations, and may include a list of courses taught, enrollment, student advising, reassigned/release time, curriculum revision/innovation, renewal and retraining, and other professional teaching development.

B. Research/Scholarly/Creative Activity: may include student-faculty or faculty research/scholarly/creative activity, publications, presentations to professional organizations, grants applied for, exhibitions of works of art, performances, participation in scholarly/scientific meetings, and related activities.

C. University Service and Outreach: may include committee participation and leadership (department, college, University), student club advising, and extension and outreach responsibilities.

D. Other Professional Contributions: may include active involvement in professional organizations, professional consulting, professional service to community organizations, and similar activities.

The items within the categories above are suggestions of appropriate activities to document in the record and may not include every appropriate activity. Specific performance expectations for promotion are established by the department and kept on file with the Dean of the College, the Provost and Vice Chancellor, and the Chancellor.

Promotion Procedures

Department Procedures

Recommendations for promotions shall be initiated during Fall semester at the departmental level. The departmental procedures shall provide a review of a promotion professional record containing such information and summary of data as described above. At the departmental level, the professional records of those candidates recommended by the department shall be forwarded to the College Promotions Committee for review and action. Every faculty member who meets the minimum requirements for promotion but is not recommended for promotion by the department can request that his or her professional record be forwarded to the Dean of the College. [FS 90/91 #23]

A meeting will be conducted by the department chair, except in instances where the chair does not hold a rank equivalent to that being decided on in which case the Dean will designate a committee chair from the department members eligible to vote.

The vote will be taken at the meeting by signed ballots of those department members who hold the same or higher rank for which the candidate is being considered. Members unavoidably absent from the meeting because of illness, professional commitment, or emergency may vote by absentee ballot submitted to the committee chair prior to the meeting. There shall be no voting by proxy.

The recommendation for promotion shall pass if a majority of those voting concur. If the votes are equally divided, no department recommendation will be forwarded to the College Promotions Committee. Abstention votes of any form should be counted as no vote cast. They should not be considered in any personnel decision.

The Department committee chair shall prepare and submit the unit's recommendation for administrative review. The recommendation shall be accompanied by a copy of the record which was presented to the faculty, and a statement of the number of faculty members who favored and the number who opposed the recommendation.

Copies of the academic unit's recommendation, including all documents referred to above, and a copy of the department's promotion criteria shall be reviewed by the College Promotion Committee. That material and the individual signed ballots shall be retained by the Dean.

At the same time that the recommendation is forwarded for review to the College Promotions Committee, the department committee chair shall give written notice to the faculty member of the recommendation adopted by the unit.

NOTES:

The Dean shall augment any department with less than three eligible voting members with additional members who shall participate in the promotion decisions. See RF 1.1 and the chart of members eligible to vote on personnel decisions for information on how the augmented committee shall be formed and who shall serve on it.

Recommendations for promotion of department chairs may be made by the Dean in consultation with the tenured members of the department.

Colleges and School Promotions Committees

The Dean of each College shall establish a College Promotions Committee to evaluate the professional record of each candidate. This committee shall consist of at least seven members. Voting in the College Promotions Committee shall be governed by the principle that nominations to a given rank shall be voted only by members of the committee who hold rank equivalent to or higher than that under consideration. A member's service on this committee shall be limited to three consecutive years and no more than two members of the same department shall serve on the committee at the same time. The College Promotions Committee shall consider the professional records of the following groups: (a) candidates recommended by the department, (b) persons who request consideration by appeal to the Dean of the College, and (c) any others whom the committee believes deserve consideration because of special circumstances.

A written report on the deliberations of the College Promotions Committee shall be forwarded to the Dean. This report shall explain briefly the strengths and weaknesses of each nominee and in cases in which the committee chooses not to recommend a candidate for promotion, the report shall give reasons for this action. Wherever feasible, this report shall include any information which may be of service to the faculty member who is not granted promotion and who wishes to improve his or her performance.

Action of the Dean

The Dean shall review the recommendations of the College Promotions Committee, shall provide additional information where it is appropriate and shall then forward the list of candidates for promotion to the Provost and Vice Chancellor. Upon timely request from an unsuccessful candidate, the Dean shall meet with the candidate to review the professional promotion record and to advise the candidate of any actions that may be taken to strengthen his or her qualifications for promotion.

Review by the Provost & Vice Chancellor

The Provost and Vice Chancellor shall review the recommendations of the Deans and shall send his or her recommendation concerning promotions to the Chancellor.

Final Action by the Chancellor

The Chancellor shall make his or her final decision regarding recommendations for promotion, shall forward this decision to the Board of Regents, and shall notify all candidates of the status of their nomination. Upon written request from an unsuccessful

candidate, the Chancellor shall review the candidate's professional record, including recommendations of the various promotions committees, of the Dean, and of the Provost & Vice Chancellor, and shall discuss with the candidate the rationale for the action on his or her recommendation. The Chancellor may refer the candidate to the Provost & Vice Chancellor or to the appropriate Dean or the department chair for a review of the candidate's file and the actions thereon.

Appeal

A faculty member who is not recommended for promotion has the right to appeal that decision to the Faculty Hearing, Grievance, and Appeals Committee in accordance with the procedures of Chapter IV of this Handbook: Procedure for Handling Grievances: Faculty Personnel Rules-Chapter 10.

Calendar

The Dean or Director of the College or School notifies the department chair of all faculty eligible for promotion consideration by September 15.

The chair notifies individual faculty members within five working days following September 15 of the faculty members' eligibility for promotion to full professor and their requirement to submit their professional record, as specified in Chapter 4 of the Faculty Handbook – Procedure for Promotion to Professor. The completed record will be submitted to Department Chair for departmental review by October 15. [FS 03/04 #13]

The departmental decision is made by November 1.

The departments send promotion recommendations to College and School Promotion Committees by November 15.

The College Promotion Committees send recommendations to their respective Deans by February 1.

The College Deans send recommendations to the Provost & Vice Chancellor by February 15.

The Chancellor and Provost and Vice Chancellor inform the Deans and the individual faculty of their recommendations by March 1 and send recommendations to the Board of Regents according to System guidelines. [FS 00/01 #9]

Upon receipt of the final decision from the Board of Regents, the Chancellor shall inform the faculty members of their status.

[FS 94/95 #7]

Periodic Review-Faculty Personnel

Rules-Chapter 5

Post-tenure Review of Professional Activities of Faculty-RF 5.1

At least once every five years the professional activities of tenured faculty will be reviewed to inform each faculty member of his or her performance. The review may be conducted simultaneously with merit review or with promotion review.

For the purpose of this review the criteria used are those found in the Faculty/Academic Staff Handbook under RF 3.21c and the appropriate department's statement applying these criteria to the department mission, such statement to be on file in the Provost & Vice Chancellor's office.

Conducting the Review-RF 5.2

The academic unit will determine whether a committee of its tenured faculty or the chair will conduct the review. The reviewer(s) shall:

(a) Review the teaching portfolio Review, the teaching portfolio, the personal reflective statement (see 3.24 above) and other pertinent data [FS 02-03 #48] submitted by the faculty member. The faculty member has primary responsibility for assembling the data for review. The faculty member will include an inventory of the data submitted, and the chair will verify the inventory contents. The faculty member is responsible for promptly submitting the information for his or her review. The reviewer(s) will prepare a summary of their findings.

(b) Discuss with the faculty member his or her performance in continuing to meet the criteria under RF 3.21c Following this discussion the reviewer(s) will prepare a final summary of findings and recommendations which will be signed by the chair and any other reviewers, and by the faculty member reviewed to acknowledge that the review was completed.

(c) Enter into the faculty member's departmental professional file the inventory, the final summary report, and any other pertinent information used in the review. The faculty member reviewed will be given a copy of the final summary report.

If the faculty member's performance is deemed outstanding, a copy of the report shall be entered into the peer merit file as evidence to support a high merit ranking, and the chair shall consider the faculty member in the recommendations to the Dean or Director for special merit awards.

If the faculty member's review reveals a need for significant improvement in performance, the chair will report such to the academic Dean or Director. The Dean or Director and the chair in consultation with the faculty member will recommend a retraining or redevelopment program to the Provost & Vice Chancellor, who shall assist

the Dean or Director to find resources to fund such a program. This program may include, but is not limited to, additional coursework, referral to the Employee Assistance Program, participation in professional meetings in the discipline, and/or appointment of a peer mentor.

Challenging the Review-RF 5.3

The faculty member may challenge the summary report before the reviewer(s) and/or before the tenured faculty of his or her department. Subsequently, the faculty member may take the matter to the University Faculty Hearing, Grievance, and Appeals Committee. [FS 92/93 #18]

Procedures: Post-tenure Review Timeline

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

If significant improvement in performance is needed, the faculty member, the chair, the Dean or Director and the Provost & Vice Chancellor confer to draft an appropriate retraining or development program. Resources should not be removed from existing faculty development programs for programs to remedy deficiencies. [FS 93/94 #17]

Professional Record Procedures

A folder containing the personal resumé of each staff member with certified transcripts, academic record, experience, and professional accomplishments is kept in the office of the Chancellor. It is the responsibility of all faculty members to see that the record is kept up to date. See the section on Promotion Criteria earlier in this chapter for a listing of items which should be in the professional record. This record is confidential and will be released only as deemed appropriate under state and federal statutes.

Student Evaluation of Instruction

Introduction

In general, student evaluation of classroom teaching produces two types of information. One type of information can be used to help the instructor identify the effectiveness of specific instructional practices and can also identify areas for improvement or development. The second type of information gained from uniform student evaluations is used to arrive at broad comparisons of instructors and can be used for personnel decisions.

The student survey of classroom teaching effectiveness conducted at UW-RF is of the second type only. According to an interpretation by the Wisconsin Attorney General, the results of uniform student evaluations conducted by the University, College, School, or unit on a required basis are PUBLIC information.

Student evaluations are but one means of assessing classroom teaching effectiveness. A thorough review of teaching effectiveness includes classroom observations by peers; a review of syllabi, tests, texts, and required readings; a review of other teaching tools such as computer simulations and videos; videos of a class period; self-evaluation including statements of teaching goals, and the methods the teacher uses to accomplish these goals; examples of the products of one's teaching such as essays, papers, art and performances; examination of grading patterns and how grades are determined in a department; and the results of uniform student evaluations. The information used in assessing teaching effectiveness for personnel decisions should augment the information required in UW-RF 3.21 c.1 and 3.23.

In brief, uniform student evaluations should be used as supporting evidence of classroom teaching effectiveness and not as the primary evidence of it.

Uses of the Uniform Survey Results

(a) The results of uniform evaluations of classroom teaching effectiveness can be used in personnel decisions. Personnel decisions are made in departments/units, by the Deans and Director, by the Provost & Vice Chancellor, by the Chancellor, by College and School

promotion committees, and by those involved in grievance proceedings. Normally the personnel decisions made are for retention, promotion, tenure, and merit pay.

(b) Every academic and administrative unit making personnel decisions must state in writing the relative importance of student evaluations in comparison to other means of evaluating teaching such as those discussed above. The statements must be approved by the appropriate Dean or Director, the Provost & Vice Chancellor and by the Chancellor.

Uniform Survey Instrument

(a) The survey instrument will include only questions approved by the Faculty Senate, and will be administered by the Provost & Vice Chancellor.

(b) Any statistical measures will be applied to the results of one question only, not to any combination of all the questions. Statistical measures applied to a question must be limited to the responses to that question in one class section only. There must not be any "composite" number derived from the results of the questions.

(c) The frequency, standard deviation, mean or average of the results of each question must not be used explicitly to compute any department, College or School, or University-wide salary change including raises, merit pay or pay reductions.

(d) The results of uniform student evaluations will be sent to the individual faculty member surveyed, to the department chair, to the Dean or Director, to the Provost & Vice Chancellor, and will be available in the Library.

(e) Uniform student evaluations will be conducted within the last three weeks of the semester. Fall semester evaluation(s) shall be conducted in a timely manner so that results for probationary faculty will be available by January 10th [2001-02#22]. The results of the survey will not be available until after the final grade rosters are submitted to the Registrar. The Provost & Vice Chancellor will ensure that all grade rosters have been submitted.

(f) Uniform student evaluations will be administered in all classes each semester for probationary faculty and instructional academic staff only, and evaluations will be administered each semester for one-third of tenured faculty. Tenured faculty to be evaluated will be selected alphabetically every third evaluation period. Faculty have the option to have evaluations done more frequently.

Recommendation for Further Evaluation

Individual faculty members may on their own volition conduct additional student surveys to help identify the effectiveness of specific instructional practices and areas for improvement or development. Individual students may decide whether to complete these surveys or not. The results of the surveys are confidential and are the property of the individual faculty member. At the discretion of the faculty member, a copy of the survey instrument, and any results obtained from them, may be included in the personnel file as a part of the teaching portfolio. [FS 94/95 #23]

Rules for Nonrenewal Appeals - Faculty Personnel Rules-Chapter 6

These rules are established to implement and augment the requirements of UWS 3.08.

Authority to Review -RF 6.1

The authority to review nonrenewal decisions concerning faculty members shall be vested in the Faculty Hearing, Grievance and Appeals Committee of the University of Wisconsin-River Falls (hereinafter, Committee). No person participating in the original decision to nonrenew a faculty member shall participate with the Committee in reviewing that decision.

Request for Review -RF 6.2

The Committee shall review a nonrenewal decision in accordance with the following procedure:

- (a) If the faculty member wishes to appeal his or her nonrenewal decision, he or she shall make a written appeal to the Committee within 20 days of official notice that the reconsideration has affirmed the nonrenewal decision (25 days if notice is by first class mail and publication).
- (b) The Committee shall conduct a review of the nonrenewal decision not later than 20 days after receipt of the request from the faculty member concerned, except that this time limit may be extended by mutual consent of the parties or by order of the Committee.
- (c) The faculty member concerned shall be given at least 10 days notice of such review.

Burden of Proof-RF 6.3

The burden of proof before the Committee shall be on the faculty member concerned. This burden shall be satisfied upon a showing that the decision to nonrenew was based in any significant degree upon one or more of the factors set forth in RF 6.4 herein, with material prejudice to the individual [See UWS 3.08 (1)].

Scope of Review -RF 6.4

The Committee shall ascertain whether the decision was based in any significant degree upon one or more of the following factors, with material prejudice to the faculty member concerned:

- (a) conduct, expressions or beliefs which are constitutionally protected or protected by the principles of academic freedom, or
- (b) factors proscribed by applicable state or federal laws regarding fair employment practices, or
- (c) improper consideration of qualifications for reappointment or renewal:

- (1) the procedures required by rules of the faculty or board related to renewal or nonrenewal of probationary appointments were not followed, or
- (2) available data bearing materially on the quality of performance were not considered, or
- (3) unfounded, arbitrary or irrelevant assumptions of fact were made about work or conduct.

Proceedings Before the Committee-RF 6.5

The review of a nonrenewal decision shall be conducted by the Committee at a meeting held specifically for that purpose. Such meeting shall be closed unless the faculty member concerned requests an open meeting. The faculty member concerned and representatives of those making the nonrenewal decision shall be present at the review.

Committee Report-RF 6.6

The Committee shall report on the validity of the appeal to the body or official making the nonrenewal decision and to the appropriate Dean or Director and the Chancellor. The report may include remedies which may, without limitation because of enumeration, take the form of:

- (a) a reconsideration by the decision maker, or
- (b) a reconsideration by the decision maker under instructions from the Committee, or
- (c) recommendations to the next higher appointing level.

Cases shall be remanded for reconsideration by the decision maker in all instances unless the Committee specifically finds that such a remand would serve no useful purpose.

Continued Jurisdiction -RF 6.7

The Committee shall retain jurisdiction during the pendency of any reconsideration.

Final Decision-RF 6.8

The decision of the Chancellor will be final and shall be supported by the reasons for accepting or denying the recommendations of the Committee.

Standing Committee For Dismissals, Layoffs, and Terminations-Faculty Personnel Rules-Chapter 7

Termination Committee-RF 7.1

The Termination Committee is designated as the standing faculty committee responsible for the duties assigned in UWS 4.03 and UWS 5.11. Organization and procedures of the Termination Committee are set forth in the Faculty By-laws.

Faculty Consultative Committee and Rules on Seniority -Faculty Personnel Rules-Chapter 8

Faculty Consultative Committee-RF 8.1

The Faculty Senate shall serve as the Faculty Consultative Committee required by UWS 5.04.

Seniority- RF 8.2

Seniority is defined in response to the requirements of UWS 5.08. It shall be determined by total years of service to the institution, without regard to rank.

Procedure For Handling Complaints -Faculty Personnel Rules-Chapter 9

Chapter 9

Committee Defined -RF 9.1

In the following, the term "Committee" refers to the Faculty Hearing, Grievance, and Appeals Committee.

Complaints Defined-RF 9.2

Complaints are allegations by the administration, students, academic staff members, other faculty members, classified staff members, or members of the public charging conduct by a faculty member that is not serious enough to warrant dismissal proceedings under UWS 4, but which does (a) violate University rules or policies or (b) adversely affect the faculty member's performance of his or her obligation to the University.

Procedure- RF 9.3

9.31 All complaints to receive formal attention under the provisions of this chapter shall be written, signed, and submitted to the Chancellor of the University within a reasonable time after the alleged misconduct.

9.32 The Chancellor shall first notify the faculty member concerned, in writing, regarding the nature of the complaint and give him or her an opportunity to explain his or her conduct. The Chancellor may make further investigation of the allegations and shall then:

- (a) dismiss the complaint, or
- (b) invoke the appropriate disciplinary action, or
- (c) refer the complaint to the Committee.

The Chancellor shall notify the faculty member, in writing, of his or her decision and/or action.

9.33 If the Chancellor takes disciplinary action, the affected faculty member may request a hearing before the Committee. The request shall be made within 20 days after notice of the Chancellor's disciplinary action.

9.34 The Committee shall hold a hearing not more than 30 days after receiving a request from the faculty member or after having a complaint referred to it by the Chancellor, except that this time limit may be lengthened by mutual consent of the parties. The affected faculty member shall be given at least 10 days notice of the hearing.

9.35 The hearing shall be closed unless the faculty member concerned requests an open meeting in which case it shall be open (see Chapter 19, Subchapter IV, Wis. Statutes, Open Meeting Law).

9.36 The Committee shall consider all available information relevant to the complaint. Such information may be sought from students and members of the public. The Committee shall have the right to obtain information relevant to the complaint from University personnel.

9.37 The concerned faculty member may be present at those times when information is being presented to the Committee.

9.38 The faculty member charged shall be presumed innocent by the Committee until proven otherwise.

9.39 The findings and recommendation of the Committee shall be reported in writing to the Chancellor and to the faculty member concerned. The recommendation may be for:

- (a) dismissal of the complaint, or
- (b) appropriate disciplinary action, or
- (c) referral of the complaint to the appropriate department or administrative officer.

RF 9.4 The decision of the Chancellor on the recommendation of the Committee, or on the complaint in the absence of a Committee recommendation, shall be final except that the Board of Regents at its option may grant a review on the record. The final decision of the Chancellor shall be supported by written reasons.

RF 9.5 After the hearing and recommendation of the Committee and the final decision of the Chancellor, the faculty member shall not again be called to account for the same alleged misconduct that was the subject of the complaint.

Procedure For Handling Grievances (UWS 6.02)-Faculty Personnel Rules-Chapter 10

Other Grievances-RF 10.1

This procedure is set up to deal with faculty grievances not specifically provided for in UWS 3, 4, 5, and 6.01.

Committee Defined-RF 10.2

In the following, the term "Committee" refers to the Faculty Hearing, Grievance, and Appeals Committee.

Procedure- RF 10.3

10.31- A faculty member who feels that he or she has a just cause for a professional grievance shall notify the chair of the Committee in writing, stating the nature of the grievance. A grievance may be withdrawn at any time upon the written request of the faculty member and no report will be made.

10.32 Within 20 days after receiving notice of the grievance, the Committee shall meet for the purpose of hearing the faculty member. The faculty member shall be given written notice of this meeting at least three days in advance. The purpose of the hearing shall be to consider whether the grievance should be dismissed or investigated further. The decision shall be communicated to the faculty member concerned.

10.33 If the Committee decides to dismiss the grievance, the faculty member concerned shall be so informed and no other report will be made.

10.34 If the Committee decides to investigate the grievance, it shall proceed with reasonable speed. In the investigation, the Committee shall have the right to obtain information relevant to the grievance from University personnel.

10.35 The Committee shall prepare a written report of its conclusions and recommendations which shall be submitted to the faculty member and the Chancellor. The report shall contain recommendations for either:

- (a) dismissal of the grievance, or
- (b) proposed solutions to the grievance.

The Chancellor's Responsibility-RF 10.4

Within 30 days of having received the Committee's recommendation, the Chancellor shall report his or her response and intended action to the Committee.

Access to the Board of Regents-RF 10.5

The Regents have the option to consider a faculty grievance on the record upon petition of a faculty grievant as well as upon the receipt of recommendations from Faculty Hearing, Grievance and Appeals Committee which has already considered the matter at the institutional level. [FS 89/90 #23]

UWS Guidelines for Reporting Outside Activities under UWS 8.025

It is the policy of the University of Wisconsin System to require a report from all faculty and academic staff who engage in remunerative outside activities in their field of

professional interest and whose appointments are half time or more for the period under contract to the UW System. If an employee has a joint appointment, he or she must file a report for each department/unit. This report covers activities that occur during the full year, even if the employee was not under contract to the University for part of that time. The employee should discuss with his or her Dean or Director any activities that may present carryover questions of conflict with the employee's responsibilities during his or her contract period.

Report Form Definitions

For purposes of the reporting form:

Remunerative Relationship: A remunerative relationship is any relationship that results in payments, transfer of goods, or provisions of services to the reporting staff member.

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

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

Professionally Related Activities: Professionally related activities are activities related to the staff member's field of academic interest or specialization.

Ordinary Professional Activities: Ordinary professional activities are those activities which extend a faculty or staff member's normal institutional responsibilities of teaching, research and service to serving other public institutions, organizations, and professional societies. Examples of such ordinary professional activities would be:

(a) occasional lectures, colloquia, seminars, etc., given at colleges and universities and at meetings of professional societies;

(b) preparation of monographs, chapters, and editorial services for nonprofit educational organizations;

(c) service on advisory committees and evaluation panels for government funding agencies, non-profit foundations and educational organizations;

(d) leadership positions in professional societies.

Reportable Activities

Those items which are reportable under UWS 8.025 include:

(a) Professional related outside activities occurring while one is under contract to the University for which net remuneration is received, not including ordinary professional activities.

(b) The names of organizations or businesses for which net remunerative outside activities were performed, the type of activity (consulting, teaching, research, writing, etc.) and the aggregate time spent (days) in that activity.

(c) Royalties from writing and patents need be reported only in the year that they first appear.

(d) The organization or source must be named and the aggregate amount of time in days spent in outside activities with that organization must be indicated. If \$5,000.00 or more compensation per year from a single source is received, the last column of section A should be checked.

If the name of the organization should not be publicly identified, Dean or Director's approval to withhold the name must be received (e.g., if revealing the name would be damaging to the organization's legitimate competitive interests.)

(e) Any remunerative relationships with organizations which sponsor university research, teaching or training. If these relationships exist, the name of the organization must be reported.

(f) Officerships, directorships, or trusteeships held by faculty or members of immediate family in businesses or commercial organizations related to professional fields.

(g) Ownership interests in organizations related to an academic area of specialization, provided that immediate family collectively owns more than 10% of the equity.

Those activities which need not be reported include:

(a) Activities for which remuneration comes from University administered funds (e.g., teaching and innovation awards, etc.).

(b) Remunerative ordinary professional activities (see definitions above).

(c) Instruction at another nonprofit educational institution or research supported by a government agency if the instruction or research is performed during periods when the staff member is not in the University payroll, or in the case of part-time appointment, if the work is performed during time not contracted to the University.

Outside Activities-Faculty Personnel Rules-Chapter 11

Outside Activities- RF 11.1

Rules and procedures governing outside activities are intended to ensure devotion to teaching, research activities and all normal University responsibilities on the part of members of the faculty, while permitting their broad participation in public service or endeavors related to their fields of interest. (In addition to the provisions of this chapter, see Chapter UWS 8, Section 11.36 Wisconsin Statutes.)

University Responsibilities-RF 11.2

Full-time appointment to the faculty of the University implies that the University has first claim to the individual's professional services. The faculty member's professional duties include such activities as teaching, research, committee assignments, and making his or her services available to students and to the University as a whole. Absences from regular duties are justified when occasioned by (1) the requirements of University-assigned responsibilities, (2) efforts and activities that make specific, identifiable (as opposed to general) contributions to the individual's ability to fulfill the responsibilities of his or her position, and (3) the taking of time that is partially compensatory for unusually long hours devoted in service to the University. This compensatory time shall not entail absences from classes. Faculty members employed on a fractional time basis have similar responsibilities, but they shall be proportionate to the fractional time appointment.

Definitions- RF 11.3

11.31 In addition to the outside activities specified in Section 11.2, outside activities are those activities of a member of the faculty which are of an extensive, recurring, or continuing nature outside of his or her institutional responsibilities during any period of employment by UW-River Falls.

11.32 Substantial outside activities are any outside activities that do reduce or threaten to reduce the faculty member's effectiveness in the performance of teaching, research activities, and all normal University duties. All instances of the following activities are specifically recognized as substantial outside activities:

- (a) teaching for remuneration;
- (b) service as an expert witness in legal proceedings; and
- (c) service as staff, advisor, or consultant to granting agencies.

Reporting -RF 11.4

It is the responsibility of each faculty member to submit a written report of all his or her substantial outside activities to the head of his or her academic unit. This shall be done before an activity is undertaken. If there is doubt as to whether or not the outside activity is "substantial," it is the responsibility of the faculty member to consult the academic unit head regarding the matter. Failure to report substantial outside activities may subject the faculty member to disciplinary action under either Chapter 9 (Complaints) of these rules or Chapter UWS 4 (Dismissal).

Review and Action-RF 11.5

11.51 Copies of reports of substantial outside activities shall be forwarded through normal administrative channels to the Dean or Director, Provost & Vice Chancellor, and Chancellor for the purpose of permitting reviews of the reports.

11.52 If it is determined, at any administrative level, that outside activities are excessive or otherwise improper, oral communication with the faculty member concerned may be used as a means of correcting the situation. However, (a) at the discretion of the administrative officer, (b) upon the request of the faculty member, or (c) if the improper activity persists after oral communication of disapproval and suggested corrections, the faculty member shall be notified of the impropriety in writing. The notice shall include reasons for judging the outside activity improper and recommendations for adjustments in those activities. If the notice does not originate with the head of the academic unit, it shall be transmitted by him or her to the faculty member concerned.

Appeal- RF 11.6

The faculty member may appeal a decision regarding the impropriety of his or her outside activities. The appeal shall be submitted to the Faculty Hearing, Grievance, and Appeals Committee in accordance with the procedures of Chapter 10 (Grievances).

University Equipment and Services-RF 11.7

No faculty member shall use University facilities, equipment, or services for purposes of private practice without first obtaining written approval from the department chair, Dean or Director, and the Vice Chancellor for Administration and Finance, and the payment of a reasonable fee for the privilege enjoyed.

Faculty Sabbaticals Procedures

[FS 92/93 #21] [FS 90/91 #25] [FS 95/96 #18]

Purpose

The purpose of the faculty sabbatical program is to enable recipients to be engaged in intensive study in order to become more effective teachers and scholars and to enhance their services to the University. The sabbatical program should also be understood as recognition of past and continuing academic contributions of the recipients in keeping with the Select Mission of UW-River Falls.

Types

Two types of sabbatical leaves are available to faculty members.

(1) A faculty member may take a sabbatical leave for an academic year and receive from the institution financial support at any level up to 65% of his or her full compensation for that period.

(2) A faculty member may take a sabbatical leave for one semester of the academic year and receive from the institution financial support at any level up to a maximum of his or her full compensation for that period.

Eligibility

(1) At the time the sabbatical proposal is submitted, the faculty member must have met

the following criteria:

- (a) The faculty member is tenured at the time of application.
- (b) The faculty member has completed at least five years since the conclusion of his or her last sabbatical leave
[FS 99/00 #23].
- (c) The faculty member has completed at least six full years of employment at UW-RF as a probationary/tenured faculty member.
- (d) If the faculty member has taken a leave of absence, for whatever reason, the leave period shall be excluded in determining the faculty member's years of full-time service.

(2) A sabbatical will not be awarded to a faculty member who does not plan to return to UW-RF for at least one academic year of service after the termination of the sabbatical.

Requirements

Each applicant shall prepare a proposal describing the sabbatical program in complete, clear, and specific terms, including each of the following items:

- (1) A cover sheet signed by the department chair and the Dean or Director of the applicant's College or School acknowledging their familiarity with the faculty member's intent in seeking a sabbatical leave. The signatures do not signify support either for or against the proposal in terms of its merits, departmental personnel considerations or financial obligations.
- (2) An abstract of fifty words or less summarizing the objectives of the proposal.
- (3) The nature and objectives of the proposed sabbatical program, including a detailed account of proposed sabbatical activities. If the proposal involves interaction with other than a traditional institution, documentation should be provided establishing the credibility of that institution as a proper setting for a sabbatical.
- (4) Demonstration of the relationship of the proposed sabbatical program to the faculty applicant's field of expertise, supported, as appropriate, by references to the vita and other documentation.
- (5) The anticipated contribution of the proposed sabbatical program to the enhancement of teaching and/or course and curriculum development at UW-River Falls, which may or may not include the relationship of the sabbatical program to the research interests of the applicant.
- (6) The proposed period and/or schedule of sabbatical study including a time line which shows when the work will be done.
- (7) A copy of the personal vita which must include evidence of excellence in teaching and of the academic contributions made by the individual.
- (8) Letters of support from colleagues, department chairs, Deans, Directors or others are not to be included in the proposal and will not be considered by the committee in its evaluations. Only letters which confirm the existence of a proposed relationship, travel/residence, or outside institutional commitment germane to the sabbatical proposal, if any, should be included.

Conditions

The following conditions govern the faculty sabbatical program:

(1) In the administration of faculty sabbaticals, creditable service for retirement purposes will vary, depending on the length of the sabbatical and level of compensation. A faculty member considering a sabbatical leave request should consult with the institutional fringe benefit coordinator prior to submitting a formal request.

(2) A faculty member may receive supplementary grants or other awards while on sabbatical leave, but such compensation, when combined with the amount of institutional compensation, shall not exceed the full compensation normally received from the UW System for that period.

(3) Such additional grants or awards may be received by a faculty member only if the conditions for accepting the additional resources do not interfere with the stated purpose of a faculty member's sabbatical program.

(4) A faculty member may seek additional grants specifically for travel or unusual living expenses incident to the sabbatical program without restriction by the full-compensation maximum (see condition 2).

(5) A faculty member may not use the sabbatical period to accept other paid employment during the period of the leave, unless stipulated as a condition of the leave. If so stipulated, condition (2) is operative.

(6) A faculty member must specify all grants or other awards applied for or to be received during the leave in his or her application for the sabbatical program.

(7) A faculty member must agree to return to UW-RF for at least one academic year of service after the termination of the sabbatical or repay any compensation (salary plus the University's share of fringe benefits) received from the UW System during the sabbatical.

(8) A faculty member must submit to the Provost & Vice Chancellor a written report outlining his or her accomplishments during the leave. This report should be submitted within three months after the faculty member's return to full-time employment.

Selection of Sabbatical Leave Recipients

(1) Call: The Provost & Vice Chancellor shall notify the faculty of the availability of sabbatical leave each March and shall call for applications for the leave period beginning 18 months hence. The Provost & Vice Chancellor shall make explicit in the call that funds for sabbaticals are limited. In addition, any financial exigencies which might indicate preference for year-long as opposed to semester-long sabbaticals must be announced with the call. If no such exigencies are announced then all proposals must be evaluated, and sabbaticals awarded, without preference to one period over another.

(2) Following this notification, applicants should submit application in accordance with the requirements set forth above. Proposals are due no later than October 1 of the year preceding the proposed sabbatical period. One copy of the proposal and supporting documents should be submitted to the applicant's department chair, one copy to the applicant's academic Dean or Director, and eight copies to the Provost & Vice Chancellor's Office. A transmittal form must be signed by the appropriate department chair and Dean or Director and be submitted with the copies sent to the Provost & Vice Chancellor's office. Transmittal forms are available from the Provost & Vice Chancellor's

office. The Provost & Vice Chancellor's Office shall conduct the initial screening for eligibility defined under Eligibility: (1) (a)-(d).

(3) The Faculty Professional Development Committee of the Faculty/Academic Staff Development Board serves as the review board for sabbatical proposals. [FS 95/96 #30]

(4) The committee shall be convened by the Assistant to the Provost & Vice Chancellor, who will review with the committee the purpose of the sabbatical program and the evaluation/selection process to be followed.

(5) At its final meeting, the committee shall discuss the proposals and then rank them on a written ballot. The committee shall communicate their rankings of the proposals to the Provost & Vice Chancellor or representative. Included in his or her report shall be such information as the committee determines may be helpful to unsuccessful applicants who may wish to apply at a later time.

(6) During the first two weeks of November, the Provost & Vice Chancellor, in consultation with the Deans and Director, and the Chancellor shall review the recommendations of the Faculty Professional Development Committee, shall make the final selection, and shall notify the applicants of the status of their applications. The Provost & Vice Chancellor will implement the granting of awards based on the committee's recommendations and within budget limitations. The rationale for any changes from the Faculty Professional Development Committee would be sent to the chair of the committee by the Provost & Vice Chancellor.

(7) The Chancellor shall communicate his or her selections, in writing, to System Administration by November 15th for formal announcement at the December meeting of the Board of Regents.

(8) Evaluation: The criteria to be applied by the committee are as follows:

(a) The candidate must meet the minimum eligibility requirements.

(b) All forms of sabbatical activity are valid. That is, preference may not be given to one particular form of activity (research, publication) over another (travel, creative, course development). Proposals are to be evaluated on their merits.

(c) Preference shall be given to those candidates who have made significant academic contributions to the University. Academic contributions include those activities normally recognized in decisions of promotion and tenure: quality of teaching, scholarly activity and service to the University and the wider community. The committee shall refer to the vita for evidence of academic contributions. The time period for purposes of evaluation shall be the length of time since the applicant's last sabbatical. Priority will be given to those applicants who have not received a sabbatical in the previous ten years. [FS 00/01 #21]

(d) After candidates have been evaluated on the basis of their academic contributions the committee shall evaluate the merits of the specific sabbatical proposals. This evaluation shall judge the extent to which the proposal clearly follows the guidelines for proposals as specified under Proposal Requirements (1)-(8).

(e) The Committee shall use an evaluation form approved by the Faculty Senate [FS 97-98 #2] to ensure the following:

- (i) 65% of the overall evaluation shall be based on the candidate's record of academic contributions to the University, and
- (ii) 35% shall be based on the merits of the sabbatical proposal.

NOTE: WRS Retirement Credit--Creditable service for retirement is based on the percentage of time a person is on the payroll. For more specific information, contact the Staff Benefits Office in the Personnel Office. For further information regarding the UW System Sabbatical Program, see UW System Academic Planning Statement #3.3 and Wisconsin Statutes 36.11(17).