

## THE UNIVERSITY OF WISCONSIN-MILWAUKEE

### Policies and Procedures – July 2021

#### CHAPTER 2

#### THE FACULTIES OF THE COLLEGES AND SCHOOLS

- 2.01 College and School Faculties
- 2.02 Membership in College and School Faculties
- 2.03 Duties and Powers of College and School Faculties
- 2.04 Meetings of College and School Faculties

(Provisions of Chapter 2 apply equally to all schools, colleges, and equivalent academic units unless specifically accepted herein.)

#### 2.01 College and School Faculties

(1) (1) —The University of Wisconsin-Milwaukee is organized into colleges, ~~and schools~~ each with its own faculty. A college is defined as an academic unit with a dean as its chief executive officer. Schools may be organized inside a college. Such schools are led by an associate dean of the college, appointed by the dean of the college. The faculty of such schools will have a subset of the college faculty, and membership in a school faculty carries with it membership in the college faculty.

As long as they are led by a Dean, the Lubar School of Business, the School of Freshwater Sciences, and the Graduate School shall be considered colleges.

(2) A college school/college shall be created, substantially restructured, or discontinued with the approval of the Faculty Senate and the Chancellor, and subject to the approval of the Board of Regents. A school shall be created, substantially restructured, or discontinued with the approval of the Faculty Senate and the Chancellor. Prior to submission to the Faculty Senate, all proposals to create, substantially restructure, or discontinue college(s) or school(s) shall be sent to the University Committee for referral to the appropriate committees for their review and recommendations.

Guidelines for creating, substantially restructuring, or discontinuing a school or college or school have been developed by the Academic Planning and Budget Committee. Proposals to create, substantially restructure, or discontinue school(s)/college(s) may originate at any level of the institution. Proposals to create, substantially restructure, or discontinue a school must originate in the college housing the school. The template for submitting such proposals to the University Committee is available from the Secretary of the University.

(Document 2034, 4/18/96 and 5/9/96; UWM Administration approval, 7/2/96)

(Document 2417, 2/19/04; UWM Administration approval, 3/2/04)

- (3) The dean is the chief executive officer of a ~~school or~~ college and must have been granted tenure rank upon recommendation by appropriate faculty bodies as a condition of appointment to this administrative position.
- (4) The dean of a ~~school or~~ college may delegate to appropriate associate or assistant dean's specific areas of his/her responsibilities. Associate deans who hold responsibility for academic program and faculty personnel policies must have been granted tenure rank upon recommendation of appropriate faculty bodies as a condition of appointment to this administrative position.

(Document 1086, 4/20/78; UWM Administration approval, 12/8/78; System Administration approval, 2/22/80)

## 2.02 Membership in College and School Faculties

- (1) The Faculty of each college ~~or school~~ consists of the Chancellor, the dean, and all members of the Faculty as defined in 1.01(1) who hold appointments in the college ~~or school~~. In addition, the Faculty of each college ~~and school~~ may designate faculty members as defined in 1.01(1) who hold appointments in other colleges ~~or schools~~ as voting members of its college ~~or school~~. (The Faculty of the Graduate School is defined in 2.02(32).)

(Editorially revised, 5/31/13)

- (2) The Faculty of a school consists of the members the Faculty of the college who are designated to hold appointments inside the school. In addition, the Faculty of each school may designate faculty members as defined by 1.01(1) who hold appointments in other colleges or schools as voting members of its school.

- (23) The Graduate School Faculty includes all voting members of the University Faculty ~~Milwaukee~~ as defined in 1.01(1)(a) who meet qualifications established by the Graduate Faculty Committee. The Graduate Faculty Committee shall obtain from each department a list with supporting evidence of its members who continue to meet these qualifications, by annual schedules established by the Graduate Faculty Committee. Nominations for additions or deletions from the list are submitted at the same time. Lists are submitted by ~~department and other faculty bodies~~ Executive Committees which sponsor graduate work with copies to the Dean of the Graduate School, dean of the appropriate ~~program/budget school or~~ college, and chairperson of the Graduate

Faculty Committee. The Committee periodically reviews submitted lists of members of the faculty of the Graduate School and recommends to the Graduate Faculty Committee approval the names of individuals who meet the qualifications for categories of Graduate School Faculty membership.

- (43) a. Subject to the approval of the Faculty Senate the Faculty of a college may designate members of its academic staff with training, experience and responsibility comparable to those in the faculty ranks as voting members of its faculty. If the college contains schools and/or departments, the academic staff must have been granted voting rights by the school or department prior to receiving voting rights in the college. If the school or college is departmentalized, the academic staff must have been granted voting rights in one of the departments of the school prior to receiving voting rights in the collegeschool.

~~1. the Faculty of non-departmentalized schools or colleges may designate members of its academic staff with training, experience and responsibility comparable to those in the faculty ranks as voting members of its faculty.~~

~~2. an affirmative recommendation by the department of the Faculty of departmentalized schools or colleges may designate academic staff with training, experience and responsibility comparable to those in the faculty ranks and who have voting rights in the department as voting members of the schools or colleges.~~

- b. The foregoing does not deny voting rights to any person holding same prior to enactment of this legislation. Such definition does not imply University Faculty status as defined in 1.01(1).

(Document 1306, 4/22/82; UWM Administration approval, 4/29/82  
(Document 1618, 5/10/88; UWM Administration approval, 5/20/88)

(Document 2563, 3/15/07; UWM Administration approval, 5/11/07)

(Document 2782, 4/21/11; UWM Administration approval, 7/21/11; Regent approval, 10/6/11)

## 2.03 **Duties and Powers of College and School Faculties**

Subject to the general jurisdiction of the University Faculty over all educational matters which concern more than one college ~~or school~~ (1.02), college ~~or school~~ faculties have the following duties and powers:

- (1) To control matters involving scholarship, including the advancement of students, and dismissal for defective scholarship.
- (2) To recommend to the University Faculty requirements for admission, course of study, conditions of graduation, and the nature of the baccalaureate degrees conferred. In the case of graduate program matters to recommend to the Graduate School Faculty as provided in 1.02(8).

(Document 1071, 2/16/78; UWM Administration approval, 4/26/78)  
(Editorially revised, 10/12/21)

- (3) To administer the regulations for the admission of students, so far as this duty is committed to them by the University Faculty.
- (4) To recommend to the Board of Regents candidates for degrees in courses.
- (5) To recommend candidates for fellowships and scholarships.
- (6) To recommend honorary fellows and honorary scholars.
- (7) To establish research and field services and sponsor conferences, institutes, clinics, and short courses appropriate to the college ~~or school~~.
- (8) To make appropriate citations with approval of the Board of Regents recognizing outstanding achievements by Wisconsin citizens and others who have been connected with the University or the State.
- (9) To review and to make recommendations to appropriate administrative officers concerning proposals affecting departmental or other academic sub-unit structure of the concerned college ~~or school~~.
- (10) To establish by faculty action and administrative approval by appropriate deans liaison faculty bodies between two (2) or more colleges ~~or schools~~. Recommendations may be made to the participating faculties on any educational matter normally within the jurisdiction of a single faculty. Recommendations from such liaison bodies are subject to review and approval of each participating college ~~or school~~.
- (11) To establish or designate an Academic Planning Committee as a standing faculty committee of the ~~school or~~ college (except the Graduate School) and determine its composition, method of election, procedures, and criteria for action. This information shall be communicated by the Dean to the Secretary of the University. The functions of each Academic Planning Committee shall include, but not be limited to the following:
  - a) Make recommendations to the dean regarding the development of long-range plans and goals for the ~~school or~~ college consistent with

the preservation of high-quality teaching, research and public service.

- b) Review academic program plans and related budgetary proposals regarding positions prepared by the schools, departments or their functional equivalents.
- c) Afford schools and departments or their functional equivalents ample opportunity to present information and position statements during programmatic and budgetary discussions.
- d) Advise the dean regarding criteria and priorities for budget adjustments.
- e) Advise a school or department (or its functional equivalent) and the dean in the event department and dean disagree over specific programmatic or budgetary decisions regarding open faculty positions or positions occupied by probationary faculty. (See 4.05)

(Document 1321 revised, 4/21/83; UWM Administration approval, 6/6/85)

- (12) The Faculty of each ~~school or~~ college ~~whose departments~~whose units offer graduate work~~whose departments offer graduate work~~ shall establish a Graduate Program Committee and determine its composition, size, and method of election and/or appointment of its members. Faculty members are elected or appointed from among the members of its Graduate School Faculty. Student members, if provided for in the composition of the Committee, are appointed by the Dean in consultation with the student organization(s) designated as appropriate by the faculty. The functions of each Graduate Program Committee shall include, but not limited to the following:

- a) Oversees all continuing graduate programs within the ~~school or~~ college.
- b) Reviews all proposals for new graduate programs or modifications of existing graduate programs in the ~~school or~~ college. Proposals originating in ~~schools, in~~ departments, or in inter-departmental bodies and approved by the ~~school or~~ college committees shall be forwarded by the dean of the ~~school or~~ college with recommendations to the Dean of the Graduate School for review and action by the Graduate Faculty Committee and by the Dean of the Graduate School.

(13) For colleges containing schools, any of these duties and powers, except the creation of an Academic Planning Committee, may be delegated to the individual schools by the Faculty of the college. An individual school may create an Academic Planning Committee to advise on school matters.

(Document 1080, 3/21/78; UWM Administration approval, 4/26/78)  
(Document 2536, 3/15/07; UWM Administration approval, 5/11/07)

#### 2.04 Meetings of College ~~and School~~ Faculties

- (1) Meetings of each Faculty are held at the call of the dean or as the Faculty deems necessary.
- (2) Each Faculty shall make rules of procedure and provide for committees, consistent with principles of the rules governing the University Faculty. In the absence of such action, the rules governing the procedures of the University Faculty (Chapters 1 and 6) shall apply when appropriate.
- (3) It is the duty of faculty members to attend meetings of the Faculty. All members of the academic staff (defined in UWS 1.01(1)) have a right to speak, but only members of the University Faculty, as defined in 1.01(1), may vote unless otherwise provided in 2.02(2).
- (4) The dean is the executive officer of the college ~~or school~~ and is responsible directly to the Chancellor. The dean has immediate supervision of the affairs of the college, ~~or school~~ in all of its schools and departments and is the presiding officer of each Faculty and ex-officio a member of all standing committees of the college ~~or school~~.
- (5) Each Faculty appoints a secretary who keeps a record of its proceedings. A copy of the proceedings of each Faculty is furnished by its secretary to each member of the college ~~or school~~ Faculty.
- (6) The dean of each Faculty transmits to the University Faculty, through its secretary, all actions which are within the concern of the University Faculty. College ~~and school~~ Faculty action which does not require consideration by the University Faculty is transmitted, in the same manner, to the Chancellor for transmission to the President of the University System and the Board of Regents as may be required.
- (7) If a college contains schools, the college Faculty may designate to a school Faculty the ability to conduct actions that affect only that particular school's functions. If a school is granted such authority, such actions would do not need further approval by the college Faculty, and would be transmitted by the dean in the manner described in 2.04(6). If a school is given such authority, the school shall appoint a secretary to keep a record of its proceedings.
- ~~(8)~~ Except where expressly prescribed the activity of any representative faculty body of any ~~school or~~ college faculty must follow the procedures prescribed for the ~~school or~~ college Faculty.

(Document 1071, 2/16/78; UWM Administration approval, 4/26/78)  
(Document 2543, 9/21/06: UWM Administration approval, 9/27/06)

## THE UNIVERSITY OF WISCONSIN-MILWAUKEE

### Policies and Procedures – July 2021

#### **CHAPTER 3 FACULTY DIVISIONAL SYSTEMS**

##### **THE FACULTY DIVISIONS**

- 3.01 Faculty Divisions
- 3.02 Divisional Membership and Meetings
- 3.03 Eligibility to Vote in Divisions

##### **COMPOSITION OF DIVISIONAL EXECUTIVE COMMITTEES**

- 3.04 Membership of Divisional Executive Committees
- 3.05 Nomination and Election to Divisional Executive Committees
- 3.06 Eligibility for Membership on Divisional Executive Committees
- 3.07 Election of Divisional Executive Committee Chairperson
- 3.08 Vacancies on a Divisional Executive Committee

##### **PROCEDURES OF DIVISIONAL EXECUTIVE COMMITTEES**

- 3.09 Meetings of the Divisional Executive Committees
- 3.10 Special Meetings of the Divisional Executive Committees
- 3.11 Quorum Rule
- 3.12 Bylaws

##### **PERSONNEL MATTERS**

- 3.13 Advice on Tenure Appointments
- 3.14 Advice on Tenured Appointment as Professor or Promotion to Professor
- 3.15 Record of Committee Advice
- 3.16 Vote Record
- 3.17 Criteria for Advice
- 3.18 Reconsideration of Negative Advice
- 3.19 Waiver of Review by Divisional Executive Committees or Subcommittees
- 3.20 Advice on Other Personnel Problems

##### **OTHER FUNCTIONS**

- 3.21 Advice on Educational Policy
- 3.22 Advice on Ad Hoc Committee Selection



## **THE FACULTY DIVISIONS**

### **3.01 Faculty Divisions**

Divisions of faculty members in related subjects of teaching and research, independent of colleges, schools and departments, are: (1) Arts and Humanities; (2) Natural Sciences; (3) Professions; (4) Social Sciences; (5) General Studies. Each academic department and non-departmentalized school, college, or division or any other unit in which tenure is granted shall be a member of at least one (1) division. Each division has an Executive Committee whose chairperson also serves as chairperson of the divisional faculty.

(Document 3142, 4/19/18; UWM Administration approval, 5/18/18)

### **3.02 Divisional Membership and Meetings**

- (1) The Executive Committee of each division recommends, for approval by the University Faculty or the Faculty Senate, which academic departments or non-departmentalized schools or colleges, hereinafter called "department," shall be included in its division. Applications for membership of departments in more than one (1) division are recommended by the appropriate divisional executive committees for approval by the University Faculty or the Faculty Senate. A dispute as to divisional membership shall be settled by the University Faculty or the Faculty Senate on the recommendation of the University Committee.
- (2) The University Committee shall, in conjunction with its annual review of membership on the Faculty Senate, file a list of departmental membership in the faculty divisions.
- (3) The division's chairperson may call meetings of the division's faculty, and must do so on the written request of ten (10) members.

### **3.03 Eligibility to Vote in Divisions**

Faculty members having the rank of professor, associate professor, assistant professor, instructor and such other persons having faculty status are eligible to vote in the Division in which their department has membership. If a department is in more than one (1) division, a member of its faculty shall vote in only the one with which the subject matter of the faculty member's courses and research are most appropriately associated. This will usually be the division concerned with advice for tenure status. If a faculty member holds an appointment in a department which is in more than one (1) division, then the faculty member must choose a divisional membership during the first semester of employment. The

faculty member may not change membership in a division after being considered for promotion to a tenure position until the faculty member has gained tenure. Changes of membership in divisions require the approval of the Executive Committee of both divisions.

(Document 1389, 2/23/84; UWM Administration approval, 3/1/84)

(Editorially revised in accordance with Document 1968, 5/11/95; UWM Administration approval, 6/7/95; Regent approval, 7/14/95)

## **COMPOSITION OF DIVISIONAL EXECUTIVE COMMITTEES**

### **3.04 Membership of Divisional Executive Committees**

(1) Each Divisional Executive Committee consists of seven (7) faculty members. Members of the Executive Committee are elected by the divisional faculty for staggered three-year terms and may not succeed themselves. They are eligible for election again after two (2) years. With the exception of the Division of General Studies, no more than one (1) member shall be from a single department in a departmentalized school or college.

a) No more than one (1) member from a single non-departmentalized school or college shall be allowed membership on the Divisional Executive Committees of the Divisions of Natural Sciences or the Social Sciences.

b) In the Division of the Professions no more than two (2) members shall be from a single school, and no more than four (4) members shall be from a single college, college or unit.

c) In the Division of Arts and Humanities no more than four (4) members shall be from the same ~~school or~~ college.

d) In the Division of General Studies, at least two (2) members shall be from each Department of the College of General Studies.

(Document 1003, 10/21/76; UWM Administration approval 11/2/76; Regent approval, 4/15/77)

(Document 1062, 12/20/77; UWM Administration approval, 12/31/77)

(Document 1284, 10/13/81; UWM Administration approval, 10/21/81)

(Document 1347, 3/17/83; UWM Administration approval, 3/25/83)

(Document 3142, 4/19/18; UWM Administration approval, 5/18/18)

(2) Whenever a Divisional Executive committee is considering the case of a candidate for tenure and/or promotion in closed session, no currently-serving Divisional Executive Committee member of the candidate's department shall be present except as a departmental executive committee representative [see 3.12(5)], and in no case shall such a member be present

during the deliberation and voting on the Committee's advice. The Divisional Executive Committee shall invite the executive committee of the candidate's department to designate one of its members who is not currently serving on the Divisional Executive Committee to observe the deliberation and voting on the committee's advice.

(Document 1872, 5/13/93, 10/21/93, 2/24/94; UWM Administration approval, 3/25/94; Regent approval, 5/6/94)  
(Editorially revised in accordance with Fac. Doc. No. 1968, 5/11/95; UWM Administration approval, 6/7/95; Regent approval, 7/14/95)

- (3) After service on a Divisional Committee, each past member shall be eligible to serve as an alternate member. When a member is unable to be present, or unable to review a candidate for promotion and/or tenure because the member is also a member of the candidate's department, or has any other conflict of interest, as determined by the Divisional Executive Committee, the Committee may replace the unavailable member(s) by ad hoc appointment(s) from the pool of eligible alternate members. Whenever possible, alternates shall be randomly selected from those members who served during the previous five (5) years. There is no limit on the number of ad hoc appointments for a given alternate; however, each ad hoc appointment shall be in accordance with rules regulating the structure of Divisional Executive Committees as specified in section 3.04(1).

(Document 1062, 12/20/77; UWM Administration approval, 12/31/77)  
(Document 1122, 12/13/78; UWM Administration approval, 12/16/78)  
(Document 1178, 12/20/79; UWM Administration approval, 12/31/79)  
(Document 1617, 5/10/88; UWM Administration approval, 5/20/88; System Administration approval, 6/21/88)

### **3.05 Nomination and Election to Divisional Executive Committees**

- (1) Nominations of faculty from each division for election to the committee shall be by the Nominations Committee and by the faculty in accordance with the regular procedures for elected faculty committees. Elections shall be conducted in the same manner as for other faculty committees.
- (2) Nominees for Divisional Executive Committees shall have an opportunity to provide a listing of previous committee work as well as a personal statement which will be included with the ballots distributed to faculty members of each Division.
- (3) A ballot containing the names of the candidates will be distributed to each faculty member of the division. Those candidates receiving the largest number of votes will be declared elected. Ties will be broken by a device of chance.

- (4) In circumstances not anticipated in these rules, the Divisional Executive Committee shall seek the advice of the University Committee.

(Doc. 1617, 5/10/88; UWM Administration approval, 5/20/88; System Administration approval, 6/21/88)

(Doc. 2715 amended, 4/15/10; UWM Administration approval, 4/20/10)

(Doc. 2783, 4/21/11; UWM Administration approval, 5/2/11)

### **3.06 Eligibility for Membership on Divisional Executive Committees**

Ordinarily tenured professors and tenured associate professors eligible to vote in a division may serve on its Divisional Executive Committee. However, the University Faculty or the Faculty Senate may designate faculty members of other divisions and/or other units as eligible to serve.

(Document 1189, 2/21/80; UWM Administration approval, 2/27/80; Regent approval, 6/6/80)

### **3.07 Election of Divisional Executive Committee Chairperson**

Each Divisional Executive Committee annually elects one (1) of its members chairperson. He/She shall report annually to the divisional faculty.

### **3.08 Vacancies on a Divisional Executive Committee**

A member of a Divisional Executive Committee unable to serve for two (2) consecutive semesters during his/her term of office shall be replaced by the available candidate who had the next highest number of votes at the last election. If there is no available nominee, the vacancy is filled by an appointee of the University Committee. If the term of office extends beyond the current academic year, an election for the unexpired term is held at the time of the next regular election. An unexpired term of more than one (1) year is considered a full term. A person serving in such an unexpired term is not eligible to serve again until two (2) years have elapsed after the end of such service, except as provided for in 3.04(2).

(Document 1009, 12/14/76; UWM Administration approval 12/29/76; Regent approval, 4/15/77)

(Document 1062, 12/20/77; UWM Administration approval, 12/31/77)

## **PROCEDURES OF DIVISIONAL EXECUTIVE COMMITTEES**

### **3.09 Meetings of the Divisional Executive Committees**

A Divisional Executive Committee meets at least monthly throughout the academic year unless the chairperson considers there to be insufficient business. The schedule of meetings is published at the beginning of each academic year.

**3.10 Special Meetings of the Divisional Executive Committees**

The chairperson may call a special meeting of the Divisional Executive Committee at any time, and he/she must call one on the request of any three (3) members of the committee.

**3.11 Quorum Rule**

A quorum of six (6) members who are eligible to vote is required for the transaction of business at meetings of Divisional Executive Committees.

(Document 1123, 12/13/78; UWM Administration approval, 12/16/78)

**3.12 Bylaws**

- (1) Divisional Executive Committees shall annually distribute to the faculty, and file with the Secretary of the University, a copy of their operating procedures and criteria regarding tenure and promotion. These procedures and criteria shall conform to the affirmative action policies and procedures of the university, as well as facilitate a balanced consideration of all work and accomplishment that express a faculty member's academic interest.

(Document 1873, 5/13/93; UWM Administration approval, 7/22/93; Regent approval, 9/10/93)

- (2) Divisional Executive Committee consideration of changes in the criteria and procedures shall take place in open meetings and involve opportunities for consultation with and input from faculty members in the Division. The agenda detailing the proposed changes shall be distributed to the faculty members of the division in advance of the meeting.

- (3) Divisional Executive Committees shall take Departmental Executive Committee criteria for promotion and tenure [- 4.05 (1)] into consideration in their deliberations regarding personnel from given Departments. Should a Divisional Executive Committee or Departmental Executive Committee perceive an apparent conflict or misunderstanding between the respective sets of criteria, representatives of the two bodies shall arrange to meet shortly after Divisional Executive Committee's criteria are published and communicated to the department to identify the differences and seek a resolution.

- (4) If a Divisional Executive Committee requires additional information on a candidate for tenure or promotion, other than that originally provided by

the department, it shall request that the candidate's department provide such information. Whenever a Divisional Executive Committee receives unsolicited information on a candidate additional to that provided by the Department, the Divisional Executive Committee is required to send that additional information and its source(s) to the candidate's Departmental Executive Committee and the candidate. The only material or information that will be considered in the evaluation of the candidate is that which comes to the Divisional Executive Committee from the Department Executive Committee.

(Document 1617, 5/10/88; UWM Administration approval, 5/20/88; System Administration approval, 6/21/88)

(Document 1916, 3/24/94; UWM Administration approval, 4/1/94; Regent approval, 5/6/94)

- (5) Divisional Executive Committees will provide an opportunity during the evidentiary phase of Divisional Committee considerations for member(s) of the candidate's department to present the candidate's case. The member(s) shall be selected by the departmental executive committee and may include a currently-serving Divisional Committee member who is also a member of the candidate's department [see 3.04(2)].

(Document 1872, 5/13/93, 10/21/93, 2/24/94; UWM Administration approval, 3/25/94; Regent approval, 5/6/94)

## **PERSONNEL MATTERS**

### **3.13 Advice on Tenure Appointments**

Before appointment, or promotion, to a position on the tenured faculty is made, the dean shall ask the advice of the appropriate Divisional Executive Committee, before recommending action to the Chancellor. For appointments involving tenure implications, not covered by the five (5) divisions, or other units in which tenure is granted, the University Committee will be the appropriate review body. In each case, the dean informs the committee of his/her action based on the committee's advice.

(Editorially revised in accordance with Document 1968, 5/11/95; UWM Administration approval, 6/7/95; Regent approval, 7/14/95)

(Editorially revised in accordance with Document 3142, 4/19/18; UWM Administration approval, 5/15/18)

### **3.14 Advice on Tenured Appointment as Professor or Promotion to Professor**

- (1) Divisional Executive Committees are charged with rendering advice on promotions to professor to the dean of the appropriate ~~school or~~ college. (See Chapter 5.20)

- (2) Advice on tenured appointments as full professor or promotion to full professor shall be considered by a subcommittee of the appropriate Divisional Executive Committee. This subcommittee shall be composed of all regular Divisional Executive Committee members who hold the rank of full professor. Should there be fewer than three full professors eligible to serve for a given candidate, the Divisional Executive Committee chair shall appoint the necessary additional members from among former Divisional Executive Committee members holding the rank of full professor. These additional appointments will bring the subcommittee membership to three.

This subcommittee shall review advice for tenured appointments as professor or promotion to the rank of full professor and shall transmit its advice, accompanied by a detailed statement of the reasons that ground it, to the Dean through the Chair of the Divisional Executive Committee.

(Editorially revised in accordance with Document 1968, 5/11/95; UWM Administration approval, 6/7/95; Regent approval, 7/14/95)

- (3) Procedures for review of candidates for promotion to full professor will otherwise follow procedures identical to those used for promotion to associate professor, including the right of the candidate to choose an open meeting.
- (4) Each Divisional subcommittee of full professors shall elect one of its members as chairperson.
- (5) A quorum of the subcommittee of full professors will be a majority of the subcommittee members, but not fewer than three.
- (6) An associate professor who is a member of a divisional executive committee must cease to be a member if his/her own promotion is to be reviewed by the Divisional Subcommittee during his/her tenure. Such action shall become effective as soon as positive recommendation has been made by his/her Departmental Executive Committee.

(Document 1061, 12/20/77; UWM Administration approval, 1/4/78; Regent approval, 7/14/78)

(Document 1230, 2/19/81; UWM Administration approval, 2/26/81)

(Document 1629, 2/16/89; UWM Administration approval, 3/6/89; Regent approval, 5/5/89)

### **3.145 Advice on Post-tenure Review**

- (1) In cases where a tenured faculty member has been voted to have not met expectations by the Department Executive Committee during their five-

year review, the Dean shall ask for the advice of the appropriate Divisional Executive Committee.

- (2) In cases where the Department Executive Committee has voted that a faculty has met expectations but the Dean has initiated an independent review, the Dean shall ask for the advice of the appropriate Divisional Executive Committee.

(Document 3151, 05/10/18; UWM Administration approval, 6/18/18)

### **3.15 Record of Committee Advice**

- (1) Advice of the Divisional Executive Committee accompanies the personnel papers through administrative channels to the Chancellor. Copies are given to the department concerned.
- (2) Annual reports to the Faculty by each Divisional Executive Committee shall detail activities, including the number of cases considered for tenure or promotion, the number and type of advice, the number of reconsiderations, and an enumeration of advice accepted and the number rejected by the Dean and by the Chancellor.

(Document 1629, 2/16/89; UWM Administration approval, 3/6/89; Regent approval, 5/5/89)

(Editorially revised in accordance with Document 1968, 5/11/95; UWM Administration approval, 6/7/95; Regent approval, 7/14/95)

### **3.16 Vote Record**

Advice on personnel recommendations includes the text of the motion voted on by the Divisional Executive Committee, and the "ayes," "nays," and abstentions.

### **3.17 Criteria for Advice**

- (1) Teaching, research and service are all to be considered in any judgment concerning promotion or appointment with tenure, specifically as measured by demonstrated teaching ability, professional competence, past and anticipated creative accomplishments, and contributions and service to the public, the University, and to the faculty member's profession. Annually each Divisional Executive Committee shall distribute to every member of the Division a written statement of the standards and guidelines governing its deliberations in cases concerning promotion or appointment to tenure or within tenure rank.
- (2) With respect to the granting of tenure, all probationary faculty shall be evaluated by departmental and divisional executive committees in accordance with the most current written standards and guidelines in



existence, or, at the candidate's written request, those written standards and guidelines in existence at the time of initial employment. A faculty member may exercise this option only once and prior to any tenure evaluation of the candidate by the department.

- (3) All tenured associate professors being considered for promotion to the rank of professor shall be evaluated in conformity with current written standards and guidelines or, at the candidate's option, those in effect during the year immediately proceeding the year of consideration for promotion.

(Document 1061, 12/20/77; UWM Administration approval, 1/4/78; Regent approval, 7/14/78)

(Document 1300, 4/22/82; UWM Administration approval, 5/12/82; Regent approval, 10/8/82)

### **3.18 Reconsideration of Negative Advice**

Procedures of reconsideration of negative advice are specified in Section 5.177.

(Document 1519, 11/20/86; UWM Administration approval, 11/29/86; Regent approval, 4/10/87)

(Document 1968, 5/11/95; UWM Administration approval, 6/7/95; Regent approval, 7/14/95)

### **3.19 Waiver of Review by Divisional Executive Committees or Subcommittees**

In dealing with an appointment or promotion with tenure, a Divisional Executive Committee or Subcommittee may waive review where a Divisional Executive Committee of a different division has previously recommended appointment or promotion.

(Document 1629, 2/16/89; UWM Administration approval, 3/6/89; Regent approval, 5/5/89)

### **3.20 Advice on Other Personnel Matters**

A chancellor, dean, or department may ask the advice of the appropriate Divisional Executive Committee concerning other personnel matters. The Divisional Executive Committee may study and make recommendations regarding appointments which will strengthen the faculty and academic programs.

(Document 1629, 2/16/89; UWM Administration approval, 3/6/89; Regent approval, 5/5/89)

## **OTHER FUNCTIONS**

**3.21 Advice on Educational Policy**

On their own initiative or on request, the Divisional Executive Committees may advise the Chancellor, the deans or other administrative officers of their respective units on educational policy and its implementation.

**3.22 Advice on Ad Hoc Committee Selection**

The faculty or the Chancellor may request Divisional Executive Committees to nominate or appoint persons from their divisions to ad hoc committees.

(Document 909, 2/27/75; UWM Administration approval, 3/29/75; Regent approval, 3/5/76)

(Document 990, 5/13/76; UWM Administration approval, 11/12/76; Regent approval, 4/15/77)

- (4) if proper notice is not given as designated above, the faculty member shall be entitled to a one-year terminal appointment. Such appointments shall, however, not result in the achievement of tenure.

11/20/75; UWM Administration approval, 12/11/75; Regent approval, 3/76)  
(Document 1021A, 5/12/77; UWM Administration approval, 6/6/77; Regent approval, 7/77)

## THE UNIVERSITY OF WISCONSIN-MILWAUKEE

### Policies and Procedures – July 2021

#### **CHAPTER 4 THE DEPARTMENT**

- 4.01 Department: Defined
- 4.02 Departmental Faculty: Membership
- 4.03 Departmental Faculty: Functions
- 4.04 Departmental Executive Committee: Membership
- 4.05 Departmental Executive Committee: Functions
- 4.06 Departmental Chairperson: Method of Appointment
- 4.07 Departmental Chairperson: Duties
- 4.08 Exceptions
- 4.09 Department-like Bodies

#### **4.01 Department: Defined**

A department shall consist of a group of faculty members recognized by the faculty (Faculty Senate) and the Chancellor as dealing with a common or closely related disciplinary or mission-oriented interest. A department shall be created, substantially restructured, or discontinued with the approval of the Faculty Senate and the Chancellor. Prior to submission to the Faculty Senate, proposals to create, restructure, or discontinue a department shall be sent to the University Committee for referral to the appropriate committees for their review and recommendations.

Schools or colleges not organized into departments shall operate as departments or organize into appropriate sub-units for the purpose of Chapter 4.

Guidelines for creating, substantially restructuring, or discontinuing a department(s) have been developed by the Academic Planning and Budget Committee. Proposals to create, substantially restructure, or discontinue department(s) may originate at any level of the institution. The template for submitting such proposals to the University Committee is available from the Secretary of the University.

(Document 2034, 4/18/96 & Revised, 5/9/96, UWM Administration approval, 7/2/96)  
(Document 2418, 2/10/04; UWM Administration approval, 3/2/04)

#### **4.02 Departmental Faculty: Membership**

All persons holding faculty appointments in a department as defined by section 1.01, and as determined by the Departmental Executive Committee, departmental academic staff members with training, experience and responsibility comparable to those in the faculty ranks shall have the right to vote or participate otherwise in

departmental faculty meetings, provided that this rule shall not be construed to withdraw any membership understanding or arrangements in effect at the time this rule was adopted.

(Document 909, 2/27/75; UWM Administration approval, 3/29/75; Regent approval, 3/5/76)  
(Document 1618, 5/10/88; UWM Administration approval, 5/20/88)  
(Document 3224, 2/21/19; UWM Administration approval, 3/25/19)

#### **4.03 Departmental Faculty: Functions**

The immediate government of the department is vested in its departmental faculty (as defined in 4.02), which has jurisdiction over all the interests of the department, with authority to determine all departmental questions of educational and administrative policy, other than those matters which are vested in the Departmental Executive Committee by 4.05. The faculty of the department shall be responsible for teaching, research, and public service and shall carry out academic planning processes on a regular basis, including, but not limited to the preparation of the academic program plans for the department. Each department shall meet at least once each semester, and minutes reflecting all formal actions taken shall be recorded.

(Document 984, 5/4/76; UWM Administration approval, 5/27/76; Regent approval, 7/76)  
(Document 1321 revised, 4/21/83 & 5/7/85; UWM Administration approval, 6/6/85)

#### **4.04 Departmental Executive Committee: Membership**

- (1) Each department has a Departmental Executive Committee, consisting of all full-time members of the department who are tenured professors or tenured associate professors, and as determined by the Departmental Executive Committee at the time of appointment with tenure, any person holding a part-time appointment as a tenured professor or tenured associate professor, provided that this rule shall not be construed to withdraw any membership understandings or arrangements in effect at the time this rule was adopted, and provided further that all persons holding multiple or part-time appointment as a tenured professor or tenured associate professor shall be entitled to membership in at least one (1) Departmental Executive Committee.

(Document 909, 2/27/75; UWM Administration approval, 3/29/75; Regent approval, 3/5/76)  
(Document 1042, 5/12/77; UWM Administration approval, 6/16/77; Regent approval, 7/77)  
(Document 1189, 2/21/80; UWM Administration approval, 2/27/80; Regent approval, 6/6/80)  
(Document 2993R1, 2/21/19; UWM Administration approval, 3/25/19)

- (2) Members of the Departmental Executive Committee who are on leave may participate in its decisions insofar as participation is feasible in the judgment of the Executive Committee.
- (3) The Departmental Executive Committee may designate a member of the ~~committee~~~~department~~ to serve as secretary, and determine the duties of the position.
- (4) No member of the Executive Committee of a department or non-departmentalized school shall take part in the discussion or vote on any matter while serving as Chancellor, Provost, Vice Chancellor, Dean, Associate Dean, Assistant Dean, division-level Director, or Assistants to such administrative officers. This rule shall not preclude an Executive Committee's electing to confer or consult with any Administrative Officer on any matter, nor shall it preclude an Administrative officer's attending any open meeting of any Executive Committee.

(Document 947A, 2/19/76; UWM Administration approval, 2/29/76; Regent approval, 5/76)

(Document 2993, 3/12/15; UWM Administration approval, 3/25/15)

#### **4.05 Departmental Executive Committee: Functions**

##### **(1) Recommendations Regarding Personnel Matters**

The Departmental Executive Committee makes recommendations concerning appointments, dismissals, promotions, salaries, merit allocations, and other personnel and budget matters, which are transmitted through the chairperson to the dean.

Decisions relating to renewal of appointments, recommending of tenure, and merit salary recommendations shall require an evaluation of the following functions: teaching, research, creative activity and/or accomplishments, professional and public service, and contribution to the University. The Departmental Executive Committee shall establish criteria, which shall conform to the affirmative action policies and procedures of the university, for renewal and tenure, as well as for merit increases, by determining the relative importance of the above functions in the evaluation processes. Consideration shall be given to all work and accomplishment that express a faculty member's academic interest. Criteria for renewal and tenure recommendations and for merit salary recommendations shall be written and distributed to all members of the Department and to the appropriate dean. Certification of the distribution of these criteria shall be submitted annually to the Office of the Secretary of the University.

(Document 1873, 5/13/93; UWM Administration approval, 7/22/93; Regent approval, 9/10/93)

(Document 2655, 3/12/09; UWM Administration approval, 4/6/09)

- a) In case of disagreement between a department and an administrator over specific programmatic or budgetary decisions regarding open faculty positions and positions occupied by probationary faculty, advice may be sought by either party from the Academic Planning Committee of the ~~school or~~ college. (See 2.03(11)(c).)
- b) A department in which a position is to be eliminated may request the dean to reconsider the decision. This request must be made within ten (10) working days of receipt of notification of the decision. The dean shall respond to the department within ten (10) working days.

(Document 909, 2/27/75; UWM Administration approval, 3/29/75; Regent approval, 3/5/76)

(Document 990, 5/4/76; UWM Administration approval, 12/19/77; Regent approval, 7/14/78)

(Document 1321 revised, 4/12/83; UWM Administration approval, 6/6/85)

(Document 1654, 4/13/89; UWM Administration approval, 4/21/89; Regent approval, 6/9/89)

(2) Review of Faculty

The Departmental Executive Committee shall provide for the periodic review of the performance of every faculty member. These reviews include those for determining annual merit salary increases, contract renewal, tenure and promotion and tenured faculty review. Such reviews shall provide for a faculty member to be heard on his/her own case, if he/she wishes, and for the faculty member to be informed of the outcome of the review.

a) Guidance and Annual Review of Probationary and Joint Probationary Faculty

The Departmental Executive Committee shall establish procedures for the guidance and annual evaluation of each probationary faculty member and for the review of probationary appointments (see 5.15 – 5.16 of these rules). This adheres to UW System administrative Policy 1254. The Departmental Executive Committee shall ensure that affected probationary faculty members shall be kept informed of any changes in departmental goals or other circumstances that alter the opportunity for promotion to tenure. A written description of these procedures shall be filed with the relevant dean(s). This must include specification of the voting rules of the Departmental Executive

Committee. A copy of this description and the Departmental Executive Committee criteria for the granting of tenure shall be provided (in written or electronic form) to each probationary faculty member at the time of his/her appointment.

(Document 3269, 02/20/2020; UWM Administration approval, 02/28/2020)

1. Primary responsibility for the guidance of the probationary faculty member shall be assigned to the entire Executive Committee or one or more members of the Departmental Executive Committee (aka Guidance Committee).
2. In the case of joint appointments this responsibility shall be held by a *Joint Guidance Committee* composed of one or more Executive Committee members from each department in which the faculty member has an appointment.
3. It is desirable that the faculty member(s) assigned responsibility for guiding the probationary faculty member remain the same throughout the probationary appointment unless the probationary faculty member requests a change.
4. In some circumstances it may be desirable to formally include tenured faculty from outside the department(s) sharing a continuing obligation or commitment to a faculty member for the purpose of guiding the probationary faculty. For example, in interdisciplinary fields in which no member of the department has expertise close to that of the probationary faculty member this may occur.
5. Guidance of all probationary faculty should include information and advice on the areas of responsibility of tenure-track professors: research, teaching, and service. Experts outside the department who can provide specific information and advice on research, teaching and pedagogical effectiveness, and service should be consulted when appropriate as determined by the probationary faculty member or the probationary faculty member's Guidance Committee.
6. Responsibility for conducting annual evaluations shall be assigned to the entire Executive Committee or a Subcommittee of the Executive Committee of the tenure home department. The probationary faculty member shall be informed of the membership of the committee or subcommittee doing the evaluation.

In the case of joint appointments, the Executive Committee of the department that is the tenure home of the faculty member shall be

responsible for ensuring the *Joint Guidance Committee* provides input to the Executive Committee or Subcommittee of the Executive Committee.

At least once each year, the Executive Committee of the tenure home department shall discuss with the probationary faculty member departmental and university expectations and his/her progress toward tenure. The Executive Committee shall ensure that the probationary faculty member's file contains all material relevant to effective evaluation of the probationary faculty members teaching, research and service activities.

7. When a probationary faculty member has been granted an extension(s) of the tenure clock, the annual evaluation should be conducted in the context of the individual's progress toward a tenurable record given the time remaining on the adjusted clock. A written evaluation approved by the Executive Committee shall be given to the probationary faculty member. The probationary faculty member may respond to the evaluation in writing or may, upon request, address the Executive Committee regarding the evaluation.

b) Tenured Faculty Review

The Departmental Executive Committee shall review all tenured faculty using the criteria and procedures outlined in Faculty Document No. 3083. These tenured faculty reviews are intended as collegial assessments and provide an opportunity for faculty to review progress made on past performance plans and to propose future plans. These reviews shall be conducted on a five--year prospective timeline by the Executive Committee of the tenure home department. This adheres to UW System Administrative Policy 1254.

(Editorially Revised, 08/17/2017)

(Document 3269, 02/20/2020; UWM Administration approval, 02/28/2020)

c) Guidance and Review of Tenured Associate Professors for Consideration to Full Professor

The Departmental Executive Committee shall provide in written or electronic form, to its associate professors, the department's criteria for promotion to full professor. It shall, as either part of the Tenured Faculty Review process or in separate review process, review each of its associate professors' progress toward promotion to full professor status and shall inform her/him of the outcome of that review.

In the case of joint appointments, the Executive Committee of the department that is the tenure home of the faculty member shall be responsible for ensuring the *Joint Guidance Committee* provides input



to the Executive Committee or Subcommittee of the Executive Committee.

Promotion from the rank of Associate Professor to the rank of Professor is based on evidence that the candidate has made substantial contributions in research, teaching, and service after promotion to tenure.

Associate professors may request a consideration for promotion to full professor. If asked, the Executive Committee is obligated to render a decision as to whether they will consider a formal review of the faculty member as per procedures outlined in section 5.20 of UW Milwaukee Policies and Procedures.

(Document 2655, 3/12/09; UWM Administration approval, 4/6/09)

- (3) The Executive Committee may, by annual vote, delegate to a subcommittee of the Executive Committee the responsibility to make recommendations to the Executive Committee with respect to any or all of the following matters:

- 1) salary increases
- 2) probationary faculty appointments and reappointments
- 3) probationary academic staff appointments and reappointments
- 4) appointment or promotion of university staff
- 5) appointment of graduate assistants
- 6) management of departmental operating expenses (supplies and expense accounts)

(Document 909, 2/27/75; UWM Administration approval, 3/29/75; Regent approval, 3/5/76) (Document 990, 5/4/76; UWM Administration approval, 12/19/77; Regent approval, 7/14/78) (Document 1321 revised, 4/12/83; UWM Administration approval, 6/6/85)

(Document 2655, 3/12/09; UWM Administration approval, 4/6/09)

- (4) The Departmental Executive Committee may delegate to the tenured faculty of the department who hold the rank of professor the authority to make recommendations for promotions to the rank of professor. These recommendations will be transmitted through the Departmental Executive Committee chairperson to the dean.

(Document 1189, 2/21/80; UWM Administration approval, 2/27/80; Regent approval, 6/6/80)

(Document 3322, 1/28/21; UWM Administration approval, 2/10/21)

- (5) In schools and colleges in which departmental structures do not exist, Executive Committees shall have the same authority to make recommendations concerning appointments, dismissals, promotions,

salaries, and other budget matters, to the dean or director, as Departmental Executive Committees described in paragraph (1) of this section.

- (6) Each Executive Committee shall meet at least once each semester. Except as otherwise provided, minutes reflecting all formal actions taken shall be recorded.

(Document 984, 5/4/76; UWM Administration approval, 5/26/76; Regent approval 7/76)

#### **4.06 Departmental Chairperson: Method of Appointment**

- (1) All members of a department faculty including those who are designated, in accordance with 4.02, as being eligible to vote by the Departmental Executive Committee, shall be given the opportunity to register an individual preference for departmental chairperson. Departments may authorize a preliminary procedure of nominating a limited number of candidates for departmental chairperson. Such individual preferences shall be communicated to the dean in due course following the request of the respective deans for same.

(Document 909, 2/27/75; UWM Administration approval, 3/29/75; Regent approval, 3/5/76)

(Document 1203, 4/17/80; UWM Administration approval, 4/22/80)

- (2) The method of expression of individual preferences must include the use of a written preference ballot, which may be a mail ballot.
- (3) In all cases, the individual preference ballots shall be received by a departmental faculty member(s) designated by the department who shall forward all individual preference ballots to the dean. Where the department authorizes, the individual preference ballots may be examined by designated departmental faculty member(s) for the purpose of informing the department of the individual preferences indicated.
- (4) A departmental faculty member on leave may express a preference provided the expression is not accomplished through a substitute person.
- (5) The dean shall exercise the authority to appoint a chairperson from among the members of the department holding professorial rank provided:
  - a) The dean has received and examined the individual preferences noted by the eligible members of the department.
  - b) The dean has consulted with the Chancellor
  - c) Consultation between the dean and both the departmental faculty and the University Committee shall occur when the dean contemplates appointment of an individual

1. who is not the individual who received a plurality vote for chair; or
2. who is not a member of the faculty of the department

(Document 2163, 10/15/98; UWM Administration approval, 11/16/98)

- (6) The term of office of a departmental chairperson is one (1) year, but there is no limit upon the number of terms he/she may serve.

(Document 1028, 5/12/77; UWM Administration approval, 6/16/77; Regent Approval, 7/77)

#### **4.07 Departmental Chairperson: Duties**

The chairperson of the department has the following duties:

- (1) Serves as the official channel of communications for all matters affecting the department as a whole between the department and the President, the Chancellor, the dean, other University officials or departments.
- (2) Calls meetings of the departmental faculty and of the executive committee at his/her own initiative or at the request of any two (2) members of the respective bodies, presides over the meetings, transmits minutes of the departmental and executive committee meetings to the appropriate dean, and to the departmental or executive committee members and maintains such minutes in the departmental files.

(Document 984, 5/4/76; UWM Administration approval, 5/25/76; Regent approval, 7/76)  
(Document 2543, 9/21/06; UWM Administration approval, 9/27/06)

- (3) Has charge of all official correspondence.
- (4) Determines that all necessary records of meetings, teaching, research and public service of the department are properly kept and are always accessible to the proper authorities.

(Document 984, 5/4/76; UWM Administration approval, 5/25/76; Regent approval, 7/76)

- (5) Reports to the dean regarding the activities and needs of the department.
- (6) Has responsibility for all departmental supplies.

- (7) Submits new courses, major revisions of existing courses, and deletion of courses proposed by the department for action by the appropriate course committee and by the dean.

(Document 909, 2/27/75; UWM Administration approval, 3/29/75);  
Regent approval, 3/5/76)

- (8) Takes action, in case of emergency, pending a meeting of the Departmental Executive Committee.
- (9) In general, acts as the executive of the department, including the areas of personnel, student issues, budget, curriculum and research in accordance with established policies of the departmental faculty and its executive committee.

(Document 2380, 4/17/03 and 5/13/03; UWM Administration approval 5/26/03)

#### **4.08 Exceptions**

Where observance of these rules is impracticable because of smallness of staff or lack of tenured personnel, the departmental faculty is authorized to request augmentation of small Departmental Executive Committees. The dean may initiate augmentation if the departmental faculty fails to exercise such responsibility. Augmented members are appointed annually by the dean of the ~~school or~~ college, on advice of the University Committee, from tenured faculty members holding the rank of professor or associate professor in other departments or non-departmentalized schools or colleges. The need for an augmented Executive Committee shall be reviewed annually by the departmental faculty and the dean.

(Document 1520, 11/20/86; UWM Administration approval, 11/29/86)

#### **4.09 Department-like Bodies**

- (1) Department-like Body: Defined  
A group of faculty who are not all in the same department or academic unit but who share responsibilities for departmental functions as defined in 4.03 or departmental executive committee functions as defined in 4.05 constitute a department-like body. A department-like body may serve as a tenure home. For the purposes of UWM Policies and Procedures, the term "department" shall be deemed to include "department-like body." Questions concerning the interpretation of this provision shall be resolved by the University Committee.
- (2) Department-like Body: Membership

In terms of joint probationary or joint tenure faculty appointments as defined in 5.03 (3), a department-like body shall function as a department.

- (3) Department-like Body: Executive Committee Membership  
A department-like body may constitute its executive committee with tenured faculty from other departments or academic units without a tenure relationship with the department-like body. Membership is for a term specified by the department-like body and is granted only upon the affirmative recommendation of the department-like body's executive committee to its dean.
- (4) Department-like Body: Review  
A department-like body shall submit a report on its progress toward departmental status to the Academic Planning & Budget Committee, the Graduate Faculty Committee (if applicable), and the Academic Program & Curriculum Committee for review and comment on a ten-year basis.

(Document 2720, 5/13/10; UWM Administration approval, 6/2/10)