

# THE UNIVERSITY OF WISCONSIN-MILWAUKEE

## Policies and Procedures – July 2021

### **CHAPTER 4 THE DEPARTMENT**

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#### **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 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 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. 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)