

# Standing Committee on Personnel Policies and Procedures

University of Wisconsin-Madison Academic Staff Assembly

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## Changes to UW-Madison ASA: Title, Chapters 1, 3, 5 & 6

EXECUTIVE SUMMARY -- MARCH 31, 1992

The attached documents represent the culmination of two years of discussions by the Standing Committee on Personnel Policies and Procedures concerning academic staff appointments. Chapters 3 and 5 of UW-Madison ASA have been revised in accord with the statement "Job Security Goals for University of Wisconsin-Madison Academic Staff" prepared by the SCPPP in March 1990 and approved by the Assembly on April 17, 1990 (ASA Document #054). Included for review and action are the following:

\* Revision of the title page, changing the document title to *Academic Staff Policies and Procedures (ASPP)* from *Academic Staff Appointments (ASA)* to reflect the broader scope of the new document.

\* Revision of Chapter 1, "Definitions and Coverage", to make usage consistent throughout the document, to incorporate changes already made to other portions of the document and to incorporate proposed new provisions of Chapter 3.

\* Revision of Chapter 3, "Academic Staff Appointments", to replace fixed term appointments with a system of open term appointments, to formalize what is now current practice on the Madison campus with respect to notice periods, and to enhance the recognition and job security for academic staff with long service to the university.

\* Combination of Chapters 5 and 6 ("Nonrenewal of Fixed Term Employees" and "Nonretention of Probationary Employees") into a new Chapter 5 entitled "Ending Open Term Appointments". The new chapter includes changes made necessary by revisions of Chapter 3. In addition, the appeal provisions of Chapter 6 have been substantially revised and extended to all open term appointees.

Although the proposed change to a system of open term appointments is largely a formalization of current practice on the Madison campus, the elimination of the need for an annual reappointment will require revisions of the Wisconsin Administrative Code, which currently states that all appointments other than indefinite shall be for a fixed term, "renewable solely at the option of the employing institution, and carry no expectation of reemployment beyond their stated term, regardless of how many times renewed." Rather than revise the appointment structure within the limits of the existing code by adding yet more footnotes and interpretations, we decided to write Chapter 3 as we thought it should be. Approval of these chapters by the Assembly is the first step in what may be a long process.

Because the revisions to Chapters 3 and 5 are so extensive, we have not prepared a side-by-side version showing the changes. We urge Assembly members to approach the new material as a fresh start, completely replacing the current appointment system with a new system that explicitly recognizes the professionalism and commitment of Madison's academic staff.

Major revisions to Chapter 3 include:

The **open term appointment** replaces the fixed term appointment for most members of the academic staff. Notice periods in the event of termination are identical to those instituted by the UW System in 1989 (memo to Chancellors from President Shaw, "Institutional Policies on Academic Staff Job Security", 2/16/89), providing longer notice periods for staff members with longer service.

Two special categories of open term appointments have been created to replace the rolling horizon and multiple-year fixed term appointments:

The **open term-extended notice period appointment** replaces the rolling horizon, providing notice periods longer than the standard for regular open term appointments. The notice period would always be what is stated in the letter of appointment, rather than the "lurching horizon" currently in effect for rolling horizon appointments.

The **open term-assured appointment period appointment** provides an assurance of continuing employment, replacing the multiple-year, fixed term appointment for many grant-funded appointees. The assured appointment period acknowledges the uncertainties of "soft money" appointments, but extends to these staff members the same notice periods afforded to employees on hard funding. It also recognizes that most grant-funded appointments continue well beyond the life of the grant on which they were established.

Use of the **fixed term appointment** is limited to appointments of two years or less, replacing the fixed term-terminal appointment used now. Special provisions are made for fixed term-instructional appointees.

The **indefinite appointment** category is unchanged.

The **probationary appointment** (now used only by the General Library System) has been eliminated. The new provisions for regular review of appointment status and review of termination decisions (see below) provide the benefits of the probationary appointment without the prospect of an "up or out" decision at the end of six years. Staff who currently hold probationary appointments would be given the opportunity to continue to do so under the old rules.

The provisions for **limited appointments** are unchanged, except that the job security provisions of the backup appointment have been clarified.

The section on **letters of appointment and reappointment** has been revised to accommodate the new appointment types and to reflect the fact that annual letters of reappointment are no longer necessary for most appointees.

**Annual salary notification letters** replace annual reappointment letters.

A **period of evaluation** of up to one year for appointment to a new position is provided as an option. The previous three-month evaluation period was often insufficient. If an evaluation

period is used, it must be included in the Position Vacancy Listing and the letter of appointment. If the evaluation period continues longer than six months, a written progress report is required at six months and the staff member is entitled to one month's written notice in the event of subsequent termination.

The section on **review of appointment status** formalizes the requirement that academic staff members with seven or more years of service be reviewed annually for appointment types offering more job security. Previously, this directive appeared only in the annual budget instructions. The new language also gives individuals the right to request review at any time and gives staff members of a unit the right to participate in establishing procedures and criteria for review.

The new language explicitly recognizes that staff members may negotiate **continuance of rights and privileges** associated with extended notice period or indefinite appointments when accepting another academic staff position.


The section on the **review process for indefinite appointments** has been reorganized. Most changes are for consistency in language or to incorporate material from the notes into the body of the chapter where appropriate. Procedures have been established for the initiation of review by the individual staff member. The Area Review Committee membership has been decreased from eleven to nine members by reducing the maximum number of faculty members on each committee to two. Committees will continue to have at least seven academic staff members.

Major revisions to Chapter 5 include:

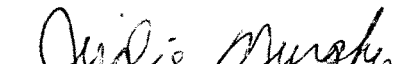
Provision of greater **appeal rights** for academic staff members whose appointments are being ended. This chapter creates an ACADEMIC STAFF TERMINATION REVIEW COMMITTEE to review appeals of deans' decisions to end appointments and make recommendations to the Chancellor.


Other changes in language to make it consistent with new provisions of Chapter 3.


Submitted by the Standing Committee on Personnel Policies and Procedures,  
March 31, 1992


  
Dennis Hill

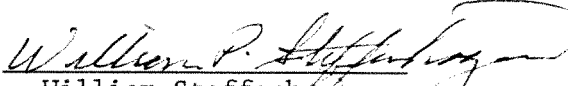
  
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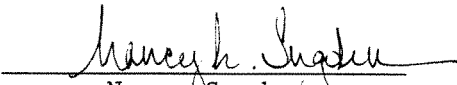
  
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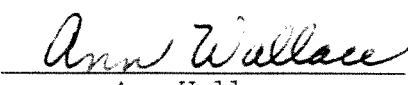
  
Esrold Nurse

  
Esther Olson

  
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Ann Wallace

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**ACADEMIC STAFF POLICIES AND PROCEDURES**

**UNIVERSITY OF WISCONSIN-MADISON**

**(UW-MADISON ASPP)**

**As approved by the Academic Staff Assembly  
on \_\_\_\_\_, 1992**

## CHAPTER 1 DEFINITIONS AND COVERAGE

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### 1.01 Coverage

Pursuant to UWS 9.01, these policies and procedures apply to all academic staff appointments at the University of Wisconsin-Madison. Faculty status, as granted under Faculty Policies and Procedures, does not affect the holder's rights and privileges as an academic staff member.

### 1.02 Delegation

Pursuant to Wisconsin Statutes UWS 36.09(4m), the Academic Staff Assembly through its Executive Committee and its Standing Committee on Personnel Policies and Procedures makes recommendations to the University of Wisconsin-Madison Chancellor concerning policies and procedures for academic staff appointments as provided in UWS 8-14.

### 1.03 Definitions

*"Academic Staff"* means professional and administrative personnel other than faculty, classified staff, limited staff, student employees, or employees in training, with duties and types of appointments that are primarily associated with higher education institutions or their administration (UWS 1.01). Academic Staff titles are identified in the UW-Madison unclassified title guideline.

*"Chapter UWS 8-14; 15; 16"* refer to the UW System publication (Cr.Register, Act 1975, Number 238) including Academic Staff Rules (Chapters 8-14); limited appointments (Chapter 15); other appointments (Chapter 16).

*"Days"* where used in this document is defined as calendar days unless otherwise specified.

*"Department"* is an organizational element of the University typically headed by a chair or director who usually reports directly to a dean or division director.

*"Director"*, where the phrase "dean or director" is used, to identify the equivalent of a dean at the divisional or institutional level who typically reports to the Chancellor or a vice chancellor. Where the phrase "department chair or director" is used, "director" is equivalent to a department chair who typically reports to a dean or director at the divisional or institutional level.

*"Dismissal for Cause"* is the termination of an academic staff member's employment for just cause using procedures in ASPP Chapter 8.

*"Division"* is a major organizational element of the University headed by a dean or director who typically reports directly to the Chancellor or a vice chancellor.

*"Indefinite Appointment"* is an academic staff appointment having permanent status and for an unlimited term. The rights conferred by an indefinite appointment are limited to the operational area in which the appointment is made. Indefinite appointments are neither limited to nor specific to any academic staff position or title series.

*"Informal Grievance"* is a verbal allegation presented by a member of the academic staff in regard to an employment problem which affects his or her conditions or circumstances of employment. The Informal Procedure for Resolving Employment Problems (ASPP 9.01) is used to resolve informal grievances.

*"Fixed Term Appointment"* is an appointment for a fixed term specified in the letter of appointment. It carries no expectation of continuing employment beyond the appointment period.

*"Formal Complaint"* refers to any written complaint or allegation filed against a member of the academic staff other than by the academic staff member's supervisor(s).

*"Formal Grievance"* is a written allegation filed by a member of the academic staff in regard to an employment problem which affects his or her conditions or circumstances of employment. A formal grievance is limited to a specific allegation of violation of rights of the employee which remains after informal efforts at resolution have failed.

*"Joinder"* is a term meaning formal joining together, for a single review or hearing and disposition, appellants having the same or directly related set of facts and circumstances or legal situation.

*"Layoff"* is the termination of an academic staff member's employment for compelling reasons of budget or program when proper notice cannot be given.

*"Limited Appointment"* is a category of appointments made at the pleasure of the Board of Regents or the specified appointing authority (UWS 15.01) and is not an academic staff appointment. Academic staff accepting limited appointments retain the rights outlined in ASPP 3.01.4.

*"Open Term Appointment"* is an appointment that carries the presumption of continuing employment unless the employee is notified in writing to the contrary. Open term appointments may be ended only during the evaluation period (3.05) or for reasons of funding loss, program redirection, unsatisfactory performance or cause according to procedures outlined in UW-Madison ASPP Chapters 3, 5, 8 and 10.

*"Operational Area"* is the organizational level such as college, division, department or smaller unit, specified in the letter of appointment as having responsibility for supporting a position in cases of layoff or changes in indefinite appointments.

*"Pay Basis"* is the specification of whether an academic staff member's salary is paid on an annual (12 months), academic year (9 months), or other appropriate basis.

*"Seniority"* is *"Years of Service"*.

*"Striking Process"* is a procedure for selecting a hearing examiner or reviewer from a panel of examiners and reviewers.

*"Years of Service"* is years of UW-Madison academic staff paid employment without regard to the percent of appointment.