

**UNIVERSITY OF WISCONSIN-EXTENSION UNCLASSIFIED PERSONNEL GUIDELINES**  
**(UPG)**

**UPG #1**

**ANNUAL REVIEW AND PAYPLAN DISTRIBUTION**

**1.01** Existing policies (Faculty 3.21, Academic Staff 10.04) should be fully implemented and interpreted to include an annual review (assessment of performance). A record of the review should be maintained at the department/administrative unit level (with a copy provided to the employee being reviewed and a copy placed in the employee's personnel file).

**1.02** The annual review should concentrate on the most critical tasks identified in the plan of work and/or position description. At a minimum, the review should seek to improve performance through:

- (1) A review of key objectives established for the past year, including:
  - (a) assessment of progress in attaining objectives; and
  - (b) an examination of reasons for not attaining objectives.
- (2) An agreement upon a set of key objectives for the coming year.

If the annual review is of a non-tenured faculty or probationary staff member, it would be most appropriate that an assessment of progress along the tenure/indefinite appointment track be included.

**1.03** Faculty and academic staff should be appropriately represented in determining criteria and methods for annual reviews and payplan distribution.

**1.04** Merit distribution should depend on annual reviews.

**Established September, 1981**  
**Revised January, 1995**  
**Revised September, 2001**

# UNIVERSITY OF WISCONSIN-EXTENSION UNCLASSIFIED PERSONNEL GUIDELINES (UPG)

## UPG #2

### PERSONNEL FILES

A complete personnel record is a matter of good personnel practice. Institutional, divisional and departmental/administrative unit personnel records should be complete and contain sufficient information to be of use in making personnel decisions and improving the professional growth of faculty, academic staff and administrators.

**2.01 Coverage of this policy guideline.** All files containing personnel information regarding UWEX employees that are assembled and/or maintained by UWEX employees are official personnel files and fall under the purview of this policy guideline. This policy guideline is in accordance with UWEX policy and state law at time of revision and is subject to future changes in UWEX policy or state law.

#### **2.02 Location of personnel files.**

- (1) UWEX personnel records may be located at one or more of the following locations:
  - (a) UWEX Payroll Office;
  - (b) division office; and/or
  - (c) department/administrative unit.
- (2) Divisional personnel offices, will upon request, inform employees of the location of all personnel files and identify file custodian(s).

#### **2.03 Contents of personnel files.**

- (1) UWEX personnel records should include the following materials; all of the following materials generated after January 1, 1995, must be included in the personnel records:
  - (a) letter of application or application form, initial resume;
  - (b) letters of offer, appointment, reappointment, promotion, salary adjustment and all other materials which specify the terms of employment;
  - (c) letters of acceptance;
  - (d) I-9 (employment eligibility verification form);
  - (e) W-4 form;
  - (f) performance review summaries (see UWEX 3.21 and 10.04(7)); Tenured Faculty Review(UPG # 12).
  - (g) original and updated position descriptions;
  - (h) outside activities report;
  - (i) authorization for leaves of absence or sabbatical leave;
  - (j) letter of resignation or notice of retirement;
  - (k) notice of non-renewal;
  - (l) informal and formal grievances, and notices of disciplinary actions; and
  - (m) notice of emeritus recognition.
- (2) UWEX personnel records may include the following optional/other information:
  - (a) current resume, curriculum vitae;
  - (b) congratulatory letters;
  - (c) employment related newspaper clippings;
  - (d) lists of publications or articles;
  - (e) notice or lists of faculty or academic staff awards and grants; and
  - (f) other related materials not of an official nature but which provide information about the individual's career.

**2.04 Access to personnel files.** The access to and use of personnel files is governed by current federal and state regulations pertaining to the confidentiality of personnel records.

(1) Upon reasonable notice to file custodian, employees may review their personnel records at least two times per year. Additional reviews are at the discretion of the custodian. The file custodian may require written notice of request to review the records. Employees will be granted access to their personnel records within seven (7) working days of making the request.

(2) Employees may copy or receive a copy of their personnel records information. The employer may charge a fee for providing copies not to exceed the cost of making the copies.

(3) In accordance with Wis. Stat. 103.13 (6) Exceptions, an employee can be denied access to the following personnel records:

(a) records relating to investigation of possible criminal offenses committed by that employee;

(b) letters of reference for that employee;

(c) any portion of a test document, except that the employee may see a cumulative test score for sections or the entire test;

(d) materials used by management for staff management planning including judgments or recommendations concerning future salary increases and other wage treatments, promotions and job assignments or other comments or ratings used for the employer's planning purposes;

(e) information of a personal nature about a person other than the employee if disclosure would constitute an unwarranted invasion of the other person's privacy; and

(f) records relevant to any other pending claim between the employer and the employee which may be discovered in a judicial proceeding.

(4) Personnel files or parts thereof may be exhibited or circulated only for valid University purposes and only to individuals with the responsibility for making or reviewing personnel and/or employment decisions concerning the subject of the file and to other University officials having a need to know.

(5) Except as otherwise required or permitted by law, copies of the materials in personnel files shall be released to persons other than those with the responsibility for personnel and employment decisions only upon written consent of the subject of the file.

(6) All UWEX personnel records are subject to disclosure by legal subpoena.

#### **2.05 Adding or removing information to personnel files.**

(1) The employer or employee may add materials to the employee's personnel files.

(2) Materials may be removed from the employee's personnel file upon mutual consent of the employer and employee or by established UWEX complaint or grievance procedures. (Chapter UWEX 6; Chapter UWEX 13)

**2.06 Retention of personnel files after employment separation.** UWEX unclassified staff personnel records will be retained for six (6) years past employment separation and then transferred to UW-Madison Archives for permanent preservation. The material in the file that is transferred to archives should include:

(1) the original letter of offer;

(2) the position description and updates;

(3) authorization for leaves of absence or sabbatical leaves;

(4) letter of resignation or notice of retirement;

(5) notice of non-renewal;

(6) grievances and notices of disciplinary actions; and

(7) notice of emeritus recognition.

#### **2.07 Related UWEX rules/regulations and state statutes.**

(1) UWEX 3.21: Annual job review (faculty)

(2) UWEX 8.06: Reporting outside activities (faculty and academic staff)

(3) UWEX 10.04 (7): Performance review (academic staff)

- (4) UWEX 10.05: Personnel file (academic staff)
- (5) Wis. Stats. section 19.31: Declaration of policy (public records law)
- (6) Wis. Stats. section 103.13: Records open to employee
- (7) Wis. Stats., section 230.13: Closed records (classified personnel)

**Established September 1981**

**Revised January 1995**

**Revised March 2003**

**UNIVERSITY OF WISCONSIN-EXTENSION UNCLASSIFIED PERSONNEL GUIDELINES (UPG)**

**UPG #3**

**CRITERIA FOR CATEGORIZING ACADEMIC STAFF APPOINTMENT IN  
UW-EXTENSION**

Deleted 1/1/95 See UWEX Chapter 10

**UNIVERSITY OF WISCONSIN-EXTENSION UNCLASSIFIED PERSONNEL GUIDELINES**  
**(UPG)**

**UPG #4**

**PROCEDURE FOR AWARDING EMERITUS STATUS**

**4.01 Eligibility.** Emeritus status can be conferred only on former faculty and academic staff who have had permanent employment with the University and who have activated their annuities from the Wisconsin Retirement System. Individuals who have held a concurrent senior administrative title of dean or higher may be granted emeritus status by the Chancellor for the administrative title.

**4.02 Designation of Emeritus.**

- (1) Emeritus status can be granted effective at any time after an employee retires. Recommendations for emeritus status for retiring faculty or academic staff usually begin at the department or functionally equivalent level (through the Executive Committee or Standards, Rank, and Promotions Committee when such exists) and proceeds through the Dean's office to the Chancellor.
- (2) In addition to the conditions set forth in section 4.01 above, each department/unit is free to establish the criteria it chooses for the recommendation of emeritus status.
- (3) The recommendation should include the employee's expected date of retirement and a draft letter of appreciation prepared by the department for the Chancellor's signature. A single draft letter coordinated between the departments should be submitted for employees holding joint positions. If a draft letter is not received, a standard letter will be used.
- (4) Upon the Chancellor's decision to award emeritus status, a letter recognizing this distinction and indicating the benefits of emeritus status will be sent from the Chancellor to the recipient, with copies to the Secretary of the Faculty and Academic Staff, the department chair or unit head, the UW-Extension Director of Human Resources, and the dean or director.

**4.03 Privileges of Emeritus.** Emeritus status is primarily an honorary designation. Emeriti may have some library, parking, and other privileges depending on institutional policies. If a department wishes to extend further privileges, the Chancellor's approval is required.

**Established September, 1991**  
**Revised January, 1995**  
**Revised September, 2001**

**UNIVERSITY OF WISCONSIN-EXTENSION UNCLASSIFIED PERSONNEL GUIDELINES  
(UPG)**

**UPG #5**

**OWNERSHIP, USE AND CONTROL OF INSTRUCTIONAL MATERIALS**

**5.01 Policy Statement.** The writing of books, articles and other instructional materials by UW-Extension faculty and academic staff members is highly desirable as a means of demonstrating professional competence and academic maturity. Such publications frequently contribute significantly to the stature of UW-Extension, the academic department and to the individual faculty or academic staff member's credibility as a scholar in his or her own discipline. Scholarly activity, such as research and publishing, will always be regarded as an important part of a faculty or academic staff member's job and will be given consideration in promotion, salary and tenure decisions.

In order to avoid any conflict of interest by UW-Extension faculty and academic staff, UW-Extension vigorously affirms the UW System General Administrative Policy Paper #27 on the "Ownership, Use and Control of Instructional Materials." The implementation of these provisions is the responsibility of each UW-Extension departmental executive committee or the administrative unit voting body.

Materials written, created, or published by UW-Extension faculty and academic staff, and required to be purchased by or for clients or students, shall be subject to prior review and approval by the department executive committee or the administrative unit voting body.

**Approved by Faculty Senate February 10, 1982  
Revised January 1995**

**UNIVERSITY OF WISCONSIN-EXTENSION UNCLASSIFIED PERSONNEL GUIDELINES  
(UPG)**

**UPG #6**

**UWEX POLICIES AND PROCEDURES FOR THE USE OF THE POSITION TITLE  
"ADJUNCT PROFESSOR"**

- 6.01** The title "adjunct professor" may be used for individuals engaged in significant activities of a department or administrative unit on less than a half-time basis and whose services are rendered as a volunteer or who are compensated on a specified payment for a specific duty basis. All designations shall be as "adjunct professor" (rather than using the other ranked designations).
- 6.02** The title "adjunct professor" shall be conferred upon only those individuals who have qualifications comparable to the standards for the rank of professor or with tenure in the conferring department and who hold no rank at any other educational institution. Exceptions may be proposed where it is demonstrated individuals meet the conditions for the Adjunct Professor title defined in UWS Unclassified Personnel Guideline #1 and attachments, but may not satisfy all of the qualifications of the rank of professor with tenure.
- 6.03** The following procedure shall be used in the designation of an individual as "adjunct professor":
- (1) recommendation of departmental executive committee;
  - (2) recommendation of dean; and
  - (3) approval of Chancellor.
- 6.04** The term of designation shall be for a maximum of three years. An individual may receive successive designations; each must follow the aforementioned procedure.
- 6.05** A designation as "adjunct professor" shall not carry with it implications for promotion, tenure, probationary status, or faculty benefits (i.e., insurance, vacation, other fringe benefits, or faculty status as defined in Faculty Document No. 42, found as Appendix III in the UWEX Articles of Faculty Governance). Benefits such as parking and library privileges may be recommended as deemed necessary by the department or administrative unit.
- 6.06** Individuals so designated shall not use this title in connection with their personal, business, or professional activities outside of the University of Wisconsin. Individuals should be so notified at the time of designation.

**Approved by Faculty Senate September 9, 1981  
Revised September, 2001**

**UNIVERSITY OF WISCONSIN-EXTENSION UNCLASSIFIED PERSONNEL GUIDELINES  
(UPG)**

**UPG #7**

**RECOMMENDATIONS FOR LATERAL TRANSFER AND/OR RETRAINING OF  
TENURED FACULTY (Caused by Program Change or Reduction)**

**7.01 Introduction.** Given changing needs, a change in program direction, a lack of increased General Purpose Revenue (GPR) funding, reduced GPR funding, and/or decreased fee income, an academic department/administrative unit may find it impossible to continue to support the level of faculty, academic staff, and classified staff resources that currently exists in the unit. As a consequence, the unit may be forced to reduce the scope of its program and reduce the number of faculty, academic staff, and classified staff within the unit.

**7.02 Staff Reduction Options.** A critical mass of faculty, academic staff and classified staff must be available if program quality is to be maintained. At the same time, the rights of tenured faculty must be protected.

When decisions require reduction in staff, options like the following should be explored initially:

1. Part-Time Employment
2. Academic Year Appointments
3. Early Retirement
4. Job Sharing
5. Leave Without Pay
6. Relocation Leave With Pay

If such options do not produce the required reduction in staff, the following are currently operational:

- (1) Classified staff may be laid off under the provisions and procedures of the State of Wisconsin Classified Staff Rules and labor contracts. The dean/director of the division and the Director of Personnel Services (for classified staff) must be consulted by the academic department/administrative unit prior to any official notification of a layoff decision.
- (2) Academic staff with a fixed term or probationary appointment may be terminated or may be denied renewal. They must receive a notice of termination or non-renewal that complies with the notice period requirements of the UWEX Academic Staff Policies and Procedures. They may be provided an opportunity to transfer to another unit within UW-Extension.
- (3) Academic staff with an indefinite appointment may be placed on layoff status. The requirements of the UWEX Academic Staff Policies and Procedures must be followed. They may be provided an opportunity to transfer to another unit within UW-Extension.
- (4) Probationary faculty may be denied renewal. They must receive a notice of non-renewal that complies with the notice period requirements of the UWEX Faculty Policies and Procedures. They may be provided an opportunity to transfer to another unit within UW-Extension.

- (5) Tenured faculty can be terminated only in the event of an official declaration of a financial emergency by the UW-Extension administration and the UW Board of Regents. Therefore, tenured faculty must (a) be retrained and/or transferred to a different position within the academic department/unit, or (b) be retrained and/or transferred to another unit within UW-Extension or the UW System.

**7.03 General Policy for Lateral Transfer and/or Retraining of Tenured Faculty.** Decisions about staff shall be based on criteria that emphasize present and future programming priorities, financial resources and staffing needs.

- (1) The ongoing planning process must seek an optimum balance among the professional interests and goals of individual faculty, academic departments/ administrative units and the mission of the institution. Discussions can be initiated at any level, but decisions must be cooperatively made between faculty and administration within the framework of faculty governance.
- (2) Even though faculty hold their tenure in an academic department, the ultimate budget obligation for each tenured faculty member resides with UW-Extension and not the division and academic department/administrative unit. The elimination or reduction of a division, administrative unit, or academic department does not alter UW-Extension's budgetary commitment to the individual.
- (3) Knowledge of vacant positions shall be provided to individual tenured faculty members available for lateral transfer and/or retraining as appropriate to the individual's interest and professional background. Each dean shall provide to the UW-Extension Secretary of the Faculty and Academic Staff all information needed to maintain a list of vacant positions. (A "vacant" position is any unfilled, current or anticipated position not yet "open" to competitive recruitment.)
- (4) The dean of the division, in consultation with the academic department/ administrative unit, may assign new job responsibilities to tenured faculty, and may identify lateral transfer and/or retraining opportunities. The new responsibilities must be commensurate with the faculty member's academic training, professional experiences and competencies.
- (5) Tenured faculty available for lateral transfer and/or retraining shall have rights, as applicable, equivalent to those given in Chapter UWS 5.17-5.20 to tenured faculty laid off during a financial emergency.

**7.04 Procedures for Lateral Transfer or Retraining of Tenured Faculty.** Each division shall adopt procedures for lateral transfer and/or retraining of tenured faculty that are consistent with the preceding general policy and the following procedures:

**7.05 Specific Procedures for Lateral Transfer of Tenured Faculty.**

- (1) Tenured faculty available for lateral transfer must be given the option of applying for all alternative positions within their academic departments/ administrative units.
- (2) Tenured faculty available for lateral transfer must be contacted by their dean and given the option of placing their names on a confidential UW-Extension list of such faculty maintained by the UW-Extension Secretary of the Faculty and Academic Staff. Each individual on the list shall submit a current vita and a brief description of professional interests. Faculty on the list will receive the notification of vacant faculty/academic staff positions required under item 7.03(3), from the UW-Extension Secretary of the Faculty and Academic Staff.

- (3) Tenured faculty available for lateral transfer must be offered an interview for any vacant faculty/academic staff position within the academic department/ administrative unit. The result of each interview must be reported to the dean in writing.
- (4) Tenured faculty available for lateral transfer must be offered an interview for any vacant UW-Extension faculty/academic staff positions they apply for outside their current academic department/administrative unit.

**7.06 Specific Procedures for Retraining of Tenured Faculty**

- (1) Academic departments and/or administrative units that anticipate vacancies or new positions must consider the retraining and employment of tenured faculty who are available for lateral transfer. A variety of budgetary arrangements can be formulated that will allow the filling of positions without increasing UW-Extension's commitment to faculty positions.
- (2) Retraining of tenured faculty who are seeking lateral transfer to a specific, future position should be undertaken only when the faculty member has received an employment commitment from an academic department/ administrative unit. The employment commitment would be contingent on the completion of a course of study that has been approved by the academic department/administrative unit. Any such commitment must be responsive to the EEO/Affirmative Action requirements and the academic process within the academic department. The Equal Opportunity process provides equal access and consideration to all candidates for lateral transfer to a position.
- (3) The salary of a faculty member who is being retrained will be maintained by UW-Extension and reimbursement for expenses incurred in the retraining (i.e., tuition, lodging, transportation, and supplies) may be provided through UW-Extension. However, faculty retrained under such provisions will be expected to provide one year of employment to UW-Extension for each (full-time) academic semester of retraining. If the faculty member terminates employment prior to the fulfillment of the employment obligation, a suitable schedule for repayment of expenses will be arranged.

**Approved by Faculty Senate on February 10, 1982**

## UNIVERSITY OF WISCONSIN-EXTENSION UNCLASSIFIED PERSONNEL GUIDELINES (UPG)

### UPG #8

#### SICK LEAVE USE AND REPORTS FOR UW-EXTENSION UNCLASSIFIED EMPLOYEES

UW-Extension unclassified employees employed through a joint contract with a non-UW-Extension employer should review the terms of their contract or check with their appointing authority regarding how this policy applies to their appointment.

- 8.01 Policy Statement.** Paid sick leave is a significant fringe benefit for a UW System unclassified employee during periods of illness or injury. In the event of death or retirement, the accumulated sick leave value is used to pay for the state group health insurance premium.
- 8.02 Accrual of Sick Leave.** The following guidelines apply to the accrual of sick leave:
- (1) All unclassified staff expected to work at least one-third of what is considered full-time employment and whose expected duration of employment is at least one year shall earn sick leave. An employee not expected to work at least one-third time shall earn sick leave if that employee subsequently worked at least one-third time for at least one year during the immediately preceding 12-month period (see Chapter UWS 19.02(1)).
  - (2) An employee who once becomes eligible to earn sick leave, continues to earn sick leave regardless of any reduction in percent of time or length contract unless employment is terminated for 12 or more consecutive months or the employee receives a benefit that closes his or her retirement account (see Chapter UWS 19.02(1)).
  - (3) Employees whose initial appointments are for 9 months or more shall be credited with 22 working days of sick leave which they may draw upon as required consistent with par. 8.03. Part-time employees have an initial entitlement, earn and are charged sick leave in the same proportion as their appointment bears to a full-time appointment.
  - (4) In addition to sick leave credited under par. 8.02(1), after 1.5 years of service, each employee shall earn additional nonlapsing sick leave at the rate of 1 day per month for persons holding annual basis appointments and at the rate of 6 days per semester or 4 days per quarter for persons who hold academic year basis appointments, with a maximum annual accumulation limited to not more than 12 days.
  - (5) Unused sick leave shall accumulate from year to year in the employee's sick leave account.
  - (6) An employee utilizing paid sick leave shall continue to accumulate sick leave credits during the period of the sick leave absence.
  - (7) An employee does not accumulate sick leave credits while on an unpaid leave of absence.
  - (8) Accumulated sick leave is converted at the current rate of pay to an account to pay health insurance premiums upon the retirement, death or layoff of an insured employee. If the employee terminates employment with the University of Wisconsin System other than through retirement or death, unused sick leave shall

be terminated but shall be reinstated if the employee is reappointed to any position within the System within 3 years.

**8.03 Sick Leave Use.** The following definitions are used in implementing these policies:

"Child" means a natural, adopted or foster child, stepchild, or legal ward who is less than 18 years of age or 18 years of age or older and unable to care for himself or herself because of a serious health condition.

"Family member" includes an employee's and employee's spouse's immediate family members, grandparents, grandchildren, aunts and uncles, brothers and sisters and their spouses, children over the age of 18 and their spouses and any other relative who resides in the same household as the employee.

"Grandchild" means the child of a child.

"Grandparent" means the parent of a parent.

"Immediate family member" means the spouse, parents and children of an employee; and

"Parent" means a natural parent, foster parent, adoptive parent, stepparent or legal guardian of an employee or an employee's spouse.

"Spouse" means an employee's legal husband or wife or equivalent.

"Year" refers to the academic year for academic year basis appointments, and to the fiscal year for annual basis appointments. One semester of an academic year appointment is equivalent to one-half of an annual basis appointment.

Employees who have accrued sick leave are eligible to use such leave as follows:

- (1) For absence due to personal illness, injury, disability or pregnancy;
- (2) For attendance upon an immediate family member whose condition requires the employee's direct care.
- (3) For the death of a family member; and
- (4) Up to 30 days of such leave in any 12-month period may be used for parental leave as follows:
  - (a) For the birth of the employee's natural child, if the leave begins within 16 weeks of the child's birth; or
  - (b) For the placement of a child with the employee for adoption or as a precondition to adoption under section 48.90, Wis. Stats., but not both, if the leave begins within 16 weeks of the child's placement.
- (5) Certification of Medical Necessity Requirement for Faculty, Limited Appointees, and Academic Staff use of Sick Leave:
  - (a) UW institutions shall require written certification from a health care provider of the medical necessity for use of sick leave for absences of more than 5 consecutive full working days, except where the use of sick leave is authorized in advance, pursuant to the Wisconsin or Federal Family and Medical Leave Acts.
  - (b) Where an institution is aware of an emergency that prevents communicating with or obtaining information about the condition of the employee, such written certification shall not be required until such time as communication is possible and appropriate, given the condition of the employee.

- (c) In cases of suspected abuse of the sick leave privilege, the institution shall be authorized to require written certification from a health care provider to verify the medical necessity for the employee's absence regardless of the length of absence.

Use of sick leave for parental leave should be scheduled in advance. Parental leave may be taken in non-continuous increments.

**8.04 Options When Absent Due to an Illness or Injury.** UW System colleague coverage provisions are not applicable to UW-Extension faculty and academic staff. When an unclassified employee is absent because of illness or injury, as defined in 8.03, the following options should be used to cover the absence:

- (1) Charge sick leave against accumulated sick leave earnings;
- (2) Charge paid leave (vacation) credits (only annual pay basis employees appointed half time or more are eligible for paid vacation entitlement); or
- (3) Charge leave without pay if sick leave and vacation are not available. Leave without pay shall be charged in full day amounts in order to retain the exempt status of an unclassified employee from the overtime provision under the federal Fair Labor Standards Act.
- (4) The UWS Catastrophic Leave Program provides an opportunity to give leave credit to and receive leave credit from another unclassified colleague. Consult the UW-Extension Office of Human Resources and/or divisional personnel offices about program details.

**8.05 Amount of Sick Leave to be Charged.** Sick leave for unclassified employees shall be charged in units of one-half days for full-time appointments. Sick leave charged to individuals holding part-time appointments will be prorated by the percent of appointment. Absences of one quarter day up to three fourths day shall be charged as one half day. Absences of three fourths day up to one and one quarter day shall be charged as one day. All UW-Extension employees are to use their sick leave usage on a regular five-day workweek standard.

**8.06 Guidelines for Reporting Sick Leave**

- (1) Every month, each UW-Extension faculty and academic staff member must submit a report detailing sick leave used (or vacation time in lieu of sick leave) to the department/unit's designated representative, as defined by the dean/director. The amount of vacation and sick leave used during the month is recorded to the nearest one-half day for each day of the month sick leave or vacation time was used. The faculty/academic staff member and the department/unit designated representative are both required to sign such reports monthly.
- (2) Monthly, a report summarizing sick leave and vacation time usage for each employee, checked for accuracy and signed by the department/unit designated representative, must be transmitted to the UW-Extension Payroll and Staff Benefits Office. A report must be submitted for each employee regardless of whether any sick leave or vacation time was used.
- (3) Monthly, the UW-Extension Staff Benefits Office provides each faculty/academic staff member with a report of his/her official sick leave and vacation balances. Each faculty/academic staff member should review his/her report for accuracy. Any errors must be promptly reported to and reconciled with the official records of the department/unit's designated representative.

**Adopted May 13, 1983**  
**Revised January 4, 1988**  
**Revised July 24, 1990**  
**Revised September, 1991**  
**Revised January, 1995**  
**Revised September, 2001**  
**Revised October, 2005**

## UNIVERSITY OF WISCONSIN-EXTENSION UNCLASSIFIED PERSONNEL GUIDELINES (UPG)

### UPG #9

#### PAID VACATION AND HOLIDAY ENTITLEMENT FOR UW-EXTENSION UNCLASSIFIED STAFF

UW-Extension unclassified employees employed through a joint contract with a non-UW-Extension employer should review the terms of their contract or check with their appointing authority regarding how this policy applies to their appointment.

- 9.01 Policy Statement.** Annual (12-month) pay basis unclassified staff, other than students, student assistants, employees-in-training and hourly appointees, accrue paid vacation entitlement at the rate of 22 work days per year of full-time employment upon meeting the initial sick leave eligibility requirements of Chapter UWS 19.02(1). Academic year pay basis staff do not accrue paid vacation entitlement. All unclassified staff, except students, student assistants, employees-in-training and hourly appointees, are entitled to the paid holidays listed in section 9.07 below.
- 9.02 Accrual of Paid Vacation Entitlement.** Vacation begins to accrue from the first day of employment at the rate of 22 working days per year. Anticipated vacation for the current fiscal year may be used with the prior written approval of the department or administrative unit chair.
- 9.03 Vacation/Annual Leave Scheduling.** In determining vacation/annual leave schedules for eligible staff, the employing unit shall endeavor to accommodate the staff members' wishes, subject to necessary balancing of vacation periods among all eligible staff to assure ongoing attention to workload demands on the employing unit.
- 9.04 Carryover of Unused Vacation.** Staff are encouraged to use vacation leave in the year in which it accrues. However, vacation leave time not taken during the fiscal year in which it was earned will be carried over until June 30 of the next fiscal year (12 months). Vacation leave may not be carried beyond 12 months (June 30), at which time it shall be forfeited. Unclassified staff who have completed ten or more years of continuous State of Wisconsin service in appointments earning vacation, or as unclassified university participants in the Wisconsin Retirement System, may, at their option, reserve up to 40 hours of vacation/annual leave each fiscal year (or a prorated number of days for staff employed less than full-time) in an Annual Leave Reserve Account (ALRA). Vacation/annual leave accumulated in an Annual Leave Reserve Account may be used at any time, subject to section 9.03.
- Unclassified employees who have completed 25 years of continuous State of Wisconsin service under the Wisconsin Retirement System may exchange up to 40 hours of paid annual leave for a cash payment. Employees who elect a cash payment may also reserve up to 40 hours of vacation in an ALRA account.
- 9.05 Vacation/Annual Leave Credits Upon Termination or Transfer.** Faculty/academic staff resigning, retiring, transferring to another institution, or being non-renewed are encouraged to use all earned vacation/annual leave time prior to the date of termination or transfer. If a staff member does not use all vacation/annual leave time prior to termination or transfer, a lump sum payment for the remaining vacation/ annual leave time will be paid. Under no circumstances should the employee be continued on the payroll beyond the actual date of termination or transfer. In case of early terminations, an adjustment will be made on the final paycheck to reflect over-anticipation of vacation, if

any. Vacation accrual and use records are kept on a fiscal year basis (July 1 through June 30).

Staff transferring to UW-Extension from another UW institution or Wisconsin state agency may negotiate with UW-Extension to accept responsibility for unused vacation/ annual leave of up to 22 days.

**9.06 Records.** UW-Extension maintains appropriate records, on a fiscal year basis, of vacation accrual and use by eligible employees.

**9.07 Paid Holidays for All Unclassified Staff.** Wisconsin Statutes, s.230.35(4), establish the following as paid holidays when offices of state government, including those of the UW System, are not required to be open for business:

- a. January 1 (New Year's Day)\*
- b. The third Monday in January (Martin Luther King Jr. Day)
- c. The last Monday of May (Memorial Day)
- d. July 4 (Independence Day)\*
- e. The first Monday in September (Labor Day)
- f. The fourth Thursday in November (Thanksgiving Day)
- g. December 24\*\*
- h. December 25 (Christmas Day)\*
- i. December 31\*\*

\*If these days fall on a Sunday, the following day is a holiday. For annual pay basis staff, if these days fall on a Saturday, a floating legal holiday is granted in addition to the paid vacation entitlement specified in this Guideline.

\*\*For annual pay basis staff, if these days fall on a Saturday or Sunday, a floating legal holiday is granted in addition to the paid vacation entitlement specified in this Guideline.

**9.08 Personal Holidays.** Unclassified annual employees are eligible for 3.5 personal holidays each fiscal year. Personal holiday allocations are prorated for those employed part-time.

**Adopted June 1983  
Revised September 1991  
Revised January 1995  
Revised September 2001  
Revised June 2003**

**UNIVERSITY OF WISCONSIN-EXTENSION UNCLASSIFIED PERSONNEL GUIDELINES  
(UPG)**

**UPG #10**

**UW-EXTENSION TUITION REIMBURSEMENT POLICY**

**10.01 Introduction.** This is a UW-Extension policy on fee-tuition reimbursement for authorized job-related coursework/training. It is based on Board of Regents Policy 77-2 and General Administration Policy Paper #25.

"The Board of Regents of the University of Wisconsin System authorizes the President and the Chancellors, or their designees, to provide fee/tuition reimbursement to unclassified faculty, academic and limited staff members for authorized job-related coursework and training to improve employee job performance. This policy supersedes the instruction fee waiver policy of the former WSU Board of Regents and applies only to the specified categories of unclassified employees. Segregated fee charges for participants can be either waived or reimbursed. Only employees with half-time or greater appointments are eligible for consideration. The President shall issue implementation guidelines for this policy." (Board of Regents Policy 77-2)

**10.02 Eligibility.** This policy applies only to the following unclassified staff employed half-time or more within UW-Extension:

- (a) Faculty as defined in Chapter UWS 1.04, Wis. Administrative Code;
- (b) Academic Staff as defined in Chapter UWS 1.01, Wis. Administrative Code; and
- (c) Limited appointees as defined in Chapter UWS 15, Wis. Administrative Code and UWS Unclassified Personnel Guidelines 2 and 3.

**Revised by Board of Regents 11/8/78.**

**10.03 Implementation**

- (1) Qualifying Coursework or Training - This is defined as coursework or training which provides skill or knowledge that will improve an employee's job performance. This may include acquiring skills and knowledge necessary for advancement to positions closely related to the current job or to advance to another job which is pertinent to the mission of the university. Coursework or training undertaken at an employee's initiative for self-enrichment does not qualify.
- (2) If the faculty/staff person is directed to take a course or training program by UW-Extension, the tuition and segregated fee will be reimbursed. This reimbursement will be made immediately after enrollment in the course/training program. Responsibility for paying pertinent book and supply costs may be assumed by either UW-Extension or the faculty/staff person, at the discretion of UW-Extension. That a person is directed to take a course will be made explicit by the supervisor and there will be advance agreement on the specific support provided by the institution.
- (3) If the course or training is not directed by UW-Extension, the faculty/staff person may be reimbursed for authorized fee/tuition charges and pertinent segregated fees, but not

for book and supply costs. The reimbursement will only be made after the coursework/training is successfully completed.

- (4) Reimbursements will be made by using a travel expense form. A copy of the signed approval form, a copy of the receipt, and a copy of the certification or transcript indicating successful completion must be attached to the travel expense form. The certification document will not be necessary when the course or training has been directed by UW-Extension.
- (5) One course (up to 5 credits) or its training equivalent (up to 8 CEUs) may be authorized for a faculty/staff person in any academic term. Coursework should be taken on the person's own time unless the UW-Extension administrator granting approval determines that the needed coursework is available only during regular working hours. If the coursework or training has been directed by UW-Extension then it may occur during scheduled working hours.
- (6) The faculty/staff person must initiate a job-related coursework/training request and seek approval of the chair of his/her academic department/administrative unit and any other necessary units (i.e., chair of county Extension Education Committee). All requests must be submitted for approval to the dean/director, who will then inform the Chancellor's office.
- (7) The funds for tuition reimbursement will come from the department/administrative unit budgets or from the budget of any other level of the university organization which agrees to supply funds.
- (8) This policy will allow the faculty/staff person to participate in courses/training provided by:
  - (a) UW-Extension
  - (b) UW System universities or
  - (c) agencies or institutions outside the UW System
- (9) This policy does not apply to attendance at professional meetings and conferences, regardless of whether or not a grade or certification of completion is provided, where state and UWS travel guidelines accommodate travel and registration expenses. To qualify as job-related coursework or training, the activity must result in a "grade" or other formal certification of completion.

**Adopted September, 1991**  
**Revised September, 2001**

**UNIVERSITY OF WISCONSIN-EXTENSION UNCLASSIFIED PERSONNEL GUIDELINES**  
**(UPG)**

**UPG #11**

**AUTHORITY TO APPROVE PERSONNEL ACTIONS**

**11.01** University of Wisconsin System Unclassified Personnel Guideline #5 identifies the personnel action delegation approved by the Board of Regents. The levels of review and approval are:

- The President and the Board of Regents
- The President on behalf of the Board of Regents
- The Chancellor on behalf of the President and the Regents

These procedures apply to personnel actions, regardless of the source of funds supporting the salary, to be accomplished as a part of or separate from the annual operating budget process. Certain positions require "search and screen procedures" as outlined in Regent Policy Document 72-18. Creation of certain new administrative positions requires approval by the System President.

**11.02** Advance approval by the President and the Board of Regents is required for:

- (1) Granting of tenure except where this authority is delegated to the President of System to approve tenure appointments in the off-budget cycle.
- (2) All appointments, changes of status or salary adjustments involving positions where the rate of pay exceeds the maximum annual salary equivalent in Group 6 of the State Executive Pay Plan (consult current year Pay Plan Schedule for Group 6 maximum). Excepted from this requirement are: collateral faculty such as visiting faculty, clinical faculty, lecturers, and consultants; retirements and emeritus designations other than for President and Chancellors.

**11.03** Advance approval by the President on behalf of the Board of Regents is required for:

- (1) All appointments or changes of status involving positions where the current or proposed salary exceeds 75% of the Group 6 maximum (rounded to the nearest \$1,000). This salary figure will be identified in the annual budget instruction.
- (2) The granting of tenure to an individual faculty member in the off-budget cycle.

**11.04** Approved by the Chancellor on behalf of the President and the Regents:

All personnel actions for which approval is not reserved to the President of the System and/or the Board of Regents elsewhere in this Guideline or System policy may be approved by the Chancellor of the institution in which the actions are proposed.

**11.05** The following types of personnel actions must be approved by the Chancellor:

- (1) Any initial faculty appointment recommended by a department which involves a tenure commitment (advice of the Faculty Tenure Advisory Committee must be sought by the dean prior to submission to the Chancellor).
- (2) Any change of status for existing staff which involves a tenure commitment.
- (3) All appointments, change of status, and salary adjustments for positions where the current or proposed salary rate exceeds 75% of the Group 6 maximum (rounded to the nearest \$1000).
- (4) Changes of appointment status:
  - (a) Faculty to academic staff -- conversion may not be made to circumvent the decision whether to promote to tenure or not to retain.
  - (b) Academic staff to faculty -- department's conversion recommendation is forwarded to the dean and Chancellor.

- (c) Classified staff to academic staff -- for existing staff in a present job where the position changes from classified to academic staff and the person is to remain in that position, the Chancellor must seek advice of the Chancellor's Reclassification Committee prior to reaching a decision.
- (d) Academic staff to classified staff.
- (5) "Adjunct Professor" designations (see UWEX Unclassified Personnel Guideline #6, "UWEX Policies and Procedures for the Use of the Position Title 'Adjunct Professor'");
- (6) Non-renewal of probationary faculty when the decision must be made as to whether an individual will be granted tenure or not retained on the faculty;
- (7) Non-renewal of probationary academic staff when the decision must be made as to whether an individual will be granted an indefinite appointment or not retained on the staff;
- (8) Granting of indefinite appointments to members of the academic staff;
- (9) Conferment of emeritus faculty and academic staff designations (upon recommendation of the department and the dean);
- (10) Disciplinary actions (sanctions less severe than dismissal for faculty and academic staff resulting from grievances, complaints, and violations of code of ethics rules); and
- (11) Dismissal of academic staff for just cause. (Dismissal of faculty for just cause requires Regent action.)

**11.06** Approval of the following personnel actions are delegated to the deans/directors of the UW-Extension Divisions, following consultation with (and approval, as required) the appropriate department or administrative unit:

- (1) All initial appointments of probationary faculty and all academic staff appointments (see UWEX Unclassified Personnel Guideline #3, "Criteria for Appointment to Unclassified Academic Staff Positions");
- (2) Non-renewal of probationary faculty prior to the time a decision must be made on whether an individual will be granted tenure or not retained on the faculty;
- (3) Non-renewal of probationary academic staff prior to the time a decision must be made on whether an individual will be granted an indefinite appointment or not retained on the staff;
- (4) Changes in lengths of appointments (e.g., 100% to 50%, annual to academic year);\*\*
- (5) Leaves of absence for faculty and academic staff;
- (6) Retirement of faculty and academic staff;
- (7) Faculty promotions from instructor to assistant professor when initial granting of tenure is not involved;
- (8) Decisions on faculty and academic staff requests to undertake outside activities, when a department chair or appropriate administrator disapproves the request or recommends a reduced appointment or that leave be taken;
- (9) Notification of faculty and academic staff in cases where the individual's outside activities are deemed by the dean to be excessive or otherwise improper;
- (10) Layoff of academic staff holding indefinite appointments.  
Decisions made according to a change in the level of resources available for a particular project or for program discontinuance, curtailment, modification, or redirection must be discussed with the Academic Staff Council;
- (11) Layoff of fixed term or probationary academic staff prior to the end of the appointment period.

Decisions made according to a change in the level of resources available for a particular project or for program discontinuance, curtailment, modification, or redirection must be discussed with the Academic Staff Council;

\*\*With regard to tenured faculty, Chapter 36.Stats. states, "The proportion of time provided for in the appointment may not be diminished nor increased without the mutual consent of the faculty member and the..." (appointing authority), except for

dismissal for just cause or Board declaration of financial emergency. This also applies to academic staff holding indefinite appointments, except for dismissal for cause or for layoff due to reasons of budget or program. For probationary faculty and academic staff, notice of a change would be given pursuant to the normal notice period (Chapters UWEX 3.10 and 10.05).

- (12) Matters relating to conflicts of interest (Chapter UWS 8).  
Upon being advised by a faculty/academic staff member that the discharge of his/her university duties may result in a conflict of interest, a decision is made:
  - (a) determining that the activity in question is permissible because it is within the scope of proper professional conduct and serves the interests of the University; or
  - (b) assigning the relevant university duties to another member of the faculty or academic staff who does not have a possible conflict of interest.
- (13) Assignment of new job responsibilities to tenured faculty necessitated by program change or reduction (see UWEX Unclassified Personnel Guideline #7, "Recommendations for Lateral Transfer and/or Retraining of Tenured Faculty");
- (14) Appointment of department/administrative unit chairs, following advice from department/administrative unit and consultation with Chancellor; and
- (15) Limited appointments to designated administration positions within his/her division, subject to applicable salary review requirements and following consultation with the Chancellor. (A person receiving a limited appointment may concurrently receive a faculty or academic staff appointment to a position he/she may occupy following conclusion of the limited appointment)

**Adopted September, 1984**  
**Revised September, 1991**  
**Revised October, 1997**

**UNIVERSITY OF WISCONSIN-EXTENSION UNCLASSIFIED PERSONNEL  
GUIDELINES (UPG)**

**UPG #12**

**UNIVERSITY OF WISCONSIN-EXTENSION TENURED FACULTY REVIEW AND  
DEVELOPMENT POLICY**

**12.01 Introduction**

This document describes UW-Extension's Tenured Faculty Review and Development Policy as adopted by its Faculty Senate following the guidelines of the University of Wisconsin System Board of Regents.

The UW-Extension faculty and administration recognize that the periodic review of tenured faculty is necessary to ensure that individual faculty continue to demonstrate scholarship, grow professionally, and effectively share their expertise with students, clients, and colleagues throughout their university career.

**12.02 Purpose**

The purposes of the University of Wisconsin-Extension Tenured Faculty Review and Development Policy are:

- to recognize and foster the scholarly work of its faculty;

Scholarship in UW-Extension is:

- creative, intellectual work;
- reviewed by the scholar's peers who affirm its value;
- added to our intellectual history through its communication; and
- valued by those for whom it was intended.

**NOTE:** UW-Extension's definition of scholarship and guidelines for its assessment are detailed in Appendix I.B of the Articles of Faculty Governance.

- to assure that faculty members commit their talents to best serve the interests of students, colleagues, and clients, the institution, the academic discipline, and their own intellectual growth;
- to assist tenured faculty in their continuing professional development; and
- to provide guidance and support for addressing any deficiencies identified in the current review.

The tenured faculty review and development process shall respect all aspects of academic freedom.

**12.03 Guidelines for Tenured Faculty Review and Development**

The goal of the Tenured Faculty Review and Development process is to:

- ensure continuing scholarly growth and development of faculty professional

- skills;
- encourage faculty exploration of new ways to promote academic excellence;
  - identify areas for improvement; and
  - provide support for that improvement.

Each UW-Extension Academic Department shall develop and implement a Tenured Faculty Review and Development policy. Departmental policies must be approved by the Faculty Senate, and copies kept on file with the Secretary of the Faculty. Each policy must include the following statement in its introduction:

The UW-Extension Tenured Faculty Review and Development Policy was created with the idea that the collegial review should provide an opportunity for long-term reflection on the accomplishments, scholarship, and aspirations of the faculty member being reviewed. The review of the tenured faculty serves as a continuation of the evaluation process that initially led to the granting of tenure.

Each Academic Department's policy may also contain specific details and criteria appropriate to the mission of that department, but all departmental policies should adhere to the following general guidelines:

(1) Frequency and period of review

Tenured faculty performance shall be reviewed once every five years. The review shall cover performance for the previous five years. A faculty member may request a new review after two years.

(2) Criteria and methods for review

(a) Criteria

It is essential that the review process includes fair, reliable, and valid measures to assess performance. The review and methods shall fully respect academic freedom. Progress and accomplishments shall support the mission of UW-Extension. The review process will also consider the specific missions of UW-Extension divisions and academic departments.

Each faculty member's scholarly growth and professional development shall be evaluated on the criteria appropriate for the individual job description and the division's and/or academic department's mission, such as:

- evidence of continuing scholarship in:
  - ✓ research,
  - ✓ integration,
  - ✓ outreach/engagement, and
  - ✓ teaching;
- continuing professional development as demonstrated by:
  - ✓ personal intellectual growth – acquisition of new job-related skills, ideas, experiences,
  - ✓ contributions to the profession,
  - ✓ contributions to the university – including faculty governance,

- ✓ program development and implementation, and
- ✓ administration/leadership of educational and/or research programs.

The review shall include student, colleague, and client evaluations as appropriate.

(b) Methods

UW-Extension comprises a diverse grouping of divisions, units, and academic departments with differing functions and missions. Recognizing this diversity and the need to allow for flexibility, it is anticipated that Tenured Faculty Review and Development Policies from different academic departments will not be exactly alike. However, each departmental policy must require the following be part of an individual faculty member's Tenured Faculty Review and Development Plan evaluation:

- a concise report, reflective of accomplishments, impacts, challenges, and future directions, written by the faculty member, and consisting of no more than eight pages, stating progress on the criteria listed above, as appropriate to the faculty position. Existing reports may be included within the eight-page report. The faculty member will prepare, in addition to the report, a proposed plan for scholarly growth and professional development (not to exceed one page) which identifies his/her preferred professional development activities for the next five years;
- input from sources external to the department but within UW-Extension, and external to UW-Extension (clients, partner agencies, etc.);
- review and assessment by a departmental review committee, consistent with department guidelines;
- a meeting of the departmental review committee and the faculty member to review progress, accomplishments, and proposed scholarly growth and professional development activities; and
- written feedback, in the form of a summary report prepared by the departmental review committee that includes a mutually agreed-upon plan for scholarly growth and professional development.

(3) Responsibilities

Section 36.09(3)(a) Wis. Stats. gives chancellors of the institutions, in consultation with their faculties, the responsibility for defining and administering institutional standards for faculty peer evaluation, promotion and tenure, and recommending individual merit increases. The academic department chair/designee and departmental review committee shall share responsibility for tenured faculty review and shall also jointly be responsible for keeping a written record of the review process. This record, including a summary report, will provide documentation for the review and assure external constituents that there is appropriate accountability.

The review shall be initiated by the academic department chair/designee

and/or a departmental review committee who shall:

- solicit input from the administrative unit chair/head (office chair/department head), state program leader/designee, district director, county partners, students/clients, and other partner agencies, as appropriate;
- seek input from the faculty member's peers, and the faculty member; and
- summarize the review and transmit a summary report to the faculty member and the dean.

The summary report on an individual faculty member's completed Tenured Faculty Review and Development Plan shall be placed by the dean in that faculty member's official divisional personnel file. The dean may furnish a copy of the report to any of the following individuals as appropriate:

- academic department chair;
- program leader;
- administrative unit chair/head; and
- district director.

(4) Linkage with merit process

In the year of a tenured faculty member's review, the results of the review as described in the summary report will be the primary basis for merit review (annual pay plan distribution). In years between tenured faculty reviews, the results of the most recent tenured faculty review must be considered along with annual performance review information in the annual merit process. The specific annual salary changes will depend on the UW System and UW-Extension guidelines for merit salary determinations, tenured faculty review results, and the specific context of the faculty member's appointment.

(5) Enhancement of Scholarly Growth and Professional Development

(a) Growth and Development opportunities

Upon completion of a tenured faculty member's review, the department will, in collaboration with the dean or dean's designee, identify opportunities for and sources of support for continuing scholarly growth and professional development. However, it is the faculty member's responsibility to carry out the summary report's recommendations for scholarly growth and professional development with the cooperation of the University and any other contributing bodies.

(b) Remediation responsibility

Deficiencies in faculty performance identified in the Tenured Faculty Review and Development Plan summary report must be addressed to ensure the quality of the academic program. Responsibility for remedying performance problems is shared with the individual faculty member, the academic department, and the administration.

For a faculty member whose review reveals significant developmental needs in performance, a remediation review team shall be appointed by the dean based on recommendations from the department chair. The remediation review team shall work with the faculty member and the dean in determining a mutually agreed-upon action plan for the next 12 months. At the conclusion of the 12-month-long remediation period, the remediation review team shall prepare a report on the outcome(s) of the remediation effort and forward that report to the dean.

If an individual does not meet the requirements of the action plan, the institution may proceed with discipline short of dismissal for cause, under Chapters UWS and UWEX 6, or, in extreme instances where the facts warrant it, with dismissal for cause, under Chapters UWS and UWEX 4.

(6) Accountability measures

UW-Extension ensures full implementation of the Tenured Faculty Review and Development Plan. The divisional dean will have the responsibility to assure fairness and equity in the review process.

Evidence of accountability will be accomplished by each divisional dean submitting a report on an annual basis to the Vice Chancellor. The report shall contain the following elements:

- (a) identification of reviews conducted during the review period
- (b) a brief description of the results of the reviews to include:
  - identification of meritorious performance;
  - plans for professional growth and development including monitoring;
  - procedures; and
  - remediation plans.
- (c) reviews scheduled for the next year.

**Adopted May 1993**  
**Revised February 1994**  
**Revised October 1997**  
**Revised June 2004**

**UNIVERSITY OF WISCONSIN-EXTENSION UNCLASSIFIED PERSONNEL GUIDELINES**  
**(UPG)**

**UPG #13**

**REAPPOINTMENT OF RETIRED UW-EXTENSION FACULTY AND ACADEMIC STAFF**

**13.01 Policy Statement**

The appointment of a retired UW-Extension faculty or academic staff person requires the prior approval of the division dean or director. A retired person is one receiving an annuity from the Wisconsin Retirement System. The appointment of such an individual is limited by the provisions of 13.04 and the following parameters:

1. Salary rate not to exceed the full-time equivalent at retirement.
2. Appointments must be made on an annual fixed term basis.

**13.02 Individuals Who Retired Under the Wisconsin Retirement System**

Each retiree considering reemployment should assess the implications of reemployment in terms of his/her retirement benefits under the Wisconsin Retirement System (Wis. Stats s. 40.26) and must comply with the provisions of 13.04.

**13.03 Individuals Who Retired Under the Federal Civil Service Retirement System**

A Federal Civil Service Retirement annuitant employed under any Extension appointment must be given a Federal appointment as a reemployed annuitant if any of the reemployed annuitant's time is to be spent on Extension program work.

Each retiree considering reemployment should assess the implications of reemployment in terms of his/her retirement benefits under the Federal Civil Service Retirement System. This is discussed in Chapters IV and VI of the "Administrative Handbook for Cooperative Extension Work." Where it is indicated that the Office of Personnel Management should or must be contacted about the reemployment of an annuitant, correspondence should be directed to the Office of Personnel Management, Compensation Group, Washington, D.C. 20415.

**13.04 Restrictions on Reemployment**

An employee may secure work with any private employer after retirement and have no reduction in their Wisconsin Retirement System annuity. However, in order to accept work with an employer that participates in the Wisconsin Retirement System, two conditions must be met:

1. The employee may not have an enforceable contract to return to work prior to your date of termination; and
2. The employee must have a 30-day break in employment that is determined by the latest of these three dates:
  - (a) 30 days after the employee's termination date; or
  - (b) 30 days after the employee's Wisconsin Retirement System retirement annuity application is received by the Wisconsin Department of Employee Trust Funds; or
  - (c) 30 days after the employee's annuity effective date.

If an employee returns to work for the same employer, the above restrictions apply even if the new position would not normally qualify for the Wisconsin Retirement System (i.e., LTE appointments).

**Approved by UWEX Executive Committee, October 14, 1985**  
**Revised October, 1995**

**Revised September, 2001**

# UNIVERSITY OF WISCONSIN-EXTENSION UNCLASSIFIED PERSONNEL GUIDELINES (UPG)

## UPG #14

### PROCEDURES FOR CONDUCTING INTERNAL SEARCH FOR ACADEMIC STAFF POSITIONS

#### **14.01 Policy Statement**

The present practice within UW-Extension of recruiting for a position requires that there will be open (external) recruitment. That is, that a job description be written, posted, and circulated widely outside of UW-Extension allowing a minimum of 30 calendar days for applicants to apply (EEO Guidelines, Section VI). This process does not exclude internal candidates.

Experience has shown that there are certain circumstances when it would be appropriate to conduct an internal search lasting for 20 calendar days, in order to allow currently employed UW-Extension academic staff an opportunity for advancement or change in responsibilities. When an internal search is contemplated, the following procedures are to be followed:

- (1) When an academic staff position becomes vacant, the UW-Extension division head, in consultation with the appropriate department chair or administrative unit head, will have an opportunity to consider whether the position might be filled from within via an internal search. Questions to be addressed in this consideration are:
  - (a) Is it clear that there are highly qualified candidates available internally who might fill the position?
  - (b) Are there potential internal candidates from one or more of the protected groups: Minorities, women, handicapped?
  - (c) Does the division have a balanced work force? That is, are there a significant percentage of minorities, women, and handicapped in the unit where the vacancy is located?
- (2) Requests for permission to conduct an internal search must be approved by the UW-Extension EEO Office before any such search is undertaken. All requests must be in writing to the EEO Office and must include justification for requesting an internal search. A job description is to accompany each request.
- (3) The usual UW-Extension recruitment procedures shall be followed for all positions posted internally, except that the position will be posted for 20 calendar days, through distribution of the job description to the following locations:
  - (a) The UW-Extension Division offices;
  - (b) The official EEO/AA bulletin board, located on the first floor of the Extension Building, 432 N. Lake Street, Madison;
  - (c) The UW-Extension Personnel Office, Room 105 Extension Building, 432 N. Lake Street, Madison; and
  - (d) Other UW-Extension locations as required under present affirmative action policies (EEO Guidelines, Section VI, 1.41-1.44).
- (4) Interview guidelines, use of applicant appraisal forms, and other EEO procedures followed for open (external) recruitment will also apply for internal recruitment.

**Approved by Executive Committee and Academic Staff Council September 1986**

## UNIVERSITY OF WISCONSIN-EXTENSION UNCLASSIFIED PERSONNEL GUIDELINES (UPG)

### UPG #15 (and Attachment)

#### UW-EXTENSION POLICIES AND PROCEDURES GOVERNING TITLE PREFIX REVIEW FOR PROMOTION

##### **15.01 Professional Title Series (Category A)**

- (1) Responsibility rests with an individual academic staff member to initiate a Title Review Request (TRR) and to supply material that substantiates that the requirements for promotion have been met. Supervisors or department heads can encourage academic staff to initiate the process, for example, during the annual performance evaluation.
  - (a) Any request for additional information or clarification of the TRR by the director, supervisor, chancellor or Title Review Committee will change the month used under 15.01(4)(d). Any additional information requested concerning the TRR by the director, supervisor, chancellor or the Title Review Committee must be reviewed by each level of the supervisory chain. Each supervisory level will once again have ten working days to forward the additional information to the next level.
- (2) The request is submitted to the immediate supervisor. Upon receipt of a TRR the immediate supervisor adds a positive or negative recommendation to the title review request and forwards the request to the next step in the administrative/supervisory chain. The request must be forwarded by the immediate supervisor within ten (10) working days of receipt.
- (3) The title review request proceeds through the supervisory chain with positive or negative recommendations attached until the TRR reaches the division dean or director. Each supervisory level has ten (10) working days to forward the TRR to the next level.
- (4) The dean or director will seek the advice of the divisional title review committee. This committee, appointed by the dean/director, is comprised of the division personnel representative, a senior professional academic staff member, and a UWEX Academic Staff Council representative (or designee) from the division.
  - (a) The dean or director may approve the request and forward a positive recommendation to the Chancellor for final approval of the title change. The Chancellor may approve or deny the title review request. There is no appeal from the Chancellor's decision.
  - (b) The dean or director may reject the title review request and inform the individual staff member of the denial in writing. The staff member may appeal the denial to the Academic Staff Hearings Committee. The appeal must follow the procedures of the Hearings Committee in order to be considered by that Committee.
  - (c) The Academic Staff Hearings Committee considers the appeal and forwards a recommendation to the Chancellor. The decision of the Chancellor is final.
  - (d) If approved, the title change will be effective the beginning of the month following submission of the request by the employee to the immediate supervisor.
    - (i) If the title review request is denied on the basis of qualifications by any supervisory level and not 15.02 (1)(a) or 15.02 (2)(a), a second request cannot be submitted for a minimum of three months from the date the title review request was submitted to the immediate supervisor.
    - (ii) An individual academic staff member who submits a second title review request, or submits additional information to the initial request, must have the additional information be considered a separate request (or TRR) for the purpose of compensation. Thus, if approved, the title change will be effective the beginning of the month following the second submission of the additional information or a second request.
- (5) In recognition of a title prefix promotion there will be a salary increase as follows:

- (a) The minimum increase for a change from Associate to No Prefix is an increase to the minimum of the new salary range or \$750.00, whichever is greater.
- (b) The minimum increase for a change from No Prefix to Senior is an increase to the minimum of the new salary range or \$1,000.00, whichever is greater.

**15.02 Criteria to be Considered in the Review of an Academic Staff Professional Title**

(Does Not Apply to Program Manager or Instructional Titles)

(1) CRITERIA FOR A CHANGE FROM ASSOCIATE TO NO PREFIX:

All of the following criteria apply.

- (a) A minimum of two years (full-time equivalent) in the current associate title.
- (b) The time criterion may be replaced with skill attainment and competencies criteria for specific title series and/or functional roles that have been previously approved by the UW-Extension Human Resources Director in consultation with the Academic Staff Council (see attachment 1).
- (c) Annual performance evaluations that reflect performance at or above the expectations for the associate position.
- (d) In appropriate circumstances, the individual works independently in applying the approaches, methods and techniques of his/her profession, and is active in the development of new approaches to resolving problems.

(2) CRITERIA FOR A CHANGE FROM NO PREFIX TO SENIOR:

Criteria a. through c. are required for consideration. Criteria d. through g. will be evaluated as a group. However, it is expected that a senior level individual will have demonstrated considerable ongoing contributions in several of these (d. through h.) criteria areas.

- (a) A minimum of seven (7) full-time equivalent (FTE) years of relevant professional experience.
- (b) The time criterion may be replaced with skill attainment and competencies criteria for specific title series and/or functional roles that have been previously approved by the UW-Extension Human Resources Director in consultation with the Academic Staff Council (see attachment 1).
- (c) Normally a minimum of three (3) full-time equivalent (FTE) years in the current No Prefix title.
- (d) A consistent record of exemplary performance (e.g. exceeds the expectations of performance for this position, high merit salary award).
- (e) Participation in relevant professional development activities.
- (f) Development and/or implementation of new approaches, methods or techniques to resolve problems with little or no expert guidance, and demonstration of the ability to work independently and to cope with new, unexpected or complex situations. May be involved in the training or supervision of other staff members.
- (g) Demonstrated professional contributions such as participation in professional organizations, publications, or recognition for professional presentations or materials developed/produced.
- (h) Participation in UWEX or departmental/unit activities (e.g. institutional or departmental governance, committee work).

**15.03 Instructional/Research Title Series**

**(Category B)**

- (1) Responsibility rests with an individual academic staff member to initiate a Title Review Request (TRR) and to supply material that substantiates that the requirements for promotion have been met. Supervisors or department heads can encourage academic staff to initiate the process, for example, during the annual performance evaluation.
  - (a) Any request for additional information or clarification of the TRR by the director, supervisor, chancellor or Title Review Committee will change the month used under 15.03(4)(d). Any additional information requested concerning the TRR by the director, supervisor, chancellor or the Title Review Committee must be reviewed by each level of the supervisory chain. Each supervisory level will once again have ten working days to forward the additional information to the next level.

- (2) The request is submitted to the immediate supervisor, department or unit head. Upon receipt of a TRR the immediate supervisor adds a positive or negative recommendation to the title review request and forwards the request to the next step in the administrative/supervisory chain. The request must be forwarded by the immediate supervisor within ten (10) working days of receipt.
- (3) The title review request proceeds through the supervisory chain with positive or negative recommendations attached until the TRR reaches the division dean or director. Each supervisory level has ten (10) working days to forward the TRR to the next level.
- (4) The dean or director will seek the advice of the divisional title review committee. This committee, appointed by the dean/director, is comprised of the division personnel representative, a UWEX Academic Staff Council representative (or designee) from the division, an instructional academic staff member and a faculty member from the division.
  - (a) The dean or director may approve the request and forward a positive recommendation to the Chancellor for final approval of the title change. The Chancellor may approve or deny the title review request. There is no appeal from the Chancellor's decision.
  - (b) The dean or director may reject the title review request and inform the individual staff member of the denial in writing. The staff member may appeal the denial to the Academic Staff Hearings Committee. The appeal must follow the procedures of the Hearings Committee in order to be considered by that Committee.
  - (c) The Academic Staff Hearings Committee considers the appeal and forwards a recommendation to the Chancellor. The decision of the Chancellor is final.
  - (d) If approved, the title change will be effective the beginning of the month following submission of the request by the employee to the immediate supervisor.
    - (i) If the title review request is denied on the basis of qualifications by any supervisory level and not 15.04 (1)(a) or 15.04 (2)(a), a second request cannot be submitted for a minimum of three months from the date the title review request was submitted to the immediate supervisor.
    - (ii) An individual academic staff member who submits a second title review request, or submits additional information to the initial request, must have the additional information be considered a separate request (or TRR) for the purpose of compensation. Thus, if approved, the title change will be effective the beginning of the month following the second submission of the additional information or a second request.
- (5) In recognition of a title prefix promotion there will be a salary increase as follows:
 

Instructional titles utilizing Associate/No Prefix/Senior progression (i.e. Lecturer series):

  - (a) The minimum increase for a change from Associate to No Prefix is an increase to the minimum of the new salary grade or \$750.00, whichever is greater.
  - (b) The minimum increase for a change from No Prefix to Senior is an increase to the minimum of the new salary grade or \$1,000.00, whichever is greater.

Instructional/research titles utilizing Assistant/Associate/No Prefix progression (i.e. Faculty Associate and Researcher series):

  - (a) The minimum increase for a change from Assistant to Associate is an increase to the minimum of the new salary grade or \$750.00, whichever is greater.
  - (b) The minimum increase for a change from Associate to No Prefix is an increase to the minimum of the new salary grade or \$1,000.00, whichever is greater.

Research titles utilizing Assistant/Associate/Senior progression (i.e. Scientist series):

  - (a) The minimum increase for a change from Assistant to Associate is an increase to the minimum of the new salary grade or \$750.00, whichever is greater.
  - (b) The minimum increase for a change from Associate to Senior is an increase to the minimum of the new salary grade or \$1,000.00, whichever is greater.

**15.04 Criteria to be Considered in the Review of an Academic Staff Instructional/ Research Professional Title** (Does Not Apply to Program Mgr. or Professional Titles)

- (1) Change From: ASSOCIATE TO NO PREFIX (Lecturer series) ASSISTANT TO ASSOCIATE (All other Instructional/Research titles). All of the following criteria apply.
  - (a) A minimum of two years (full-time equivalent) in the current associate title.
  - (b) Annual performance evaluations that reflect performance at or above the expectations for present title/prefix.
  - (c) In appropriate circumstances, the individual works independently in the development, teaching and evaluation of educational programs and curriculum or in the conduct of research.
- (2) Change from: NO PREFIX TO SENIOR (Lecturer series) ASSOCIATE TO SENIOR (Scientist series) ASSOCIATE TO NO PREFIX (All other Instructional/ Research titles) Criteria a. through c. are required for consideration. Criteria d. through h. will be evaluated as a group. However, it is expected that a senior level individual will have demonstrated considerable ongoing contributions in several of these (d. through h.) criteria areas.
  - (a) A minimum of seven (7) full-time equivalent (FTE) years of relevant professional experience.
  - (b) Normally a minimum of three (3) full-time equivalent (FTE) years in the current No Prefix title.
  - (c) A consistent record of exemplary performance (e.g. exceeds the expectations of performance for this position, high merit salary award).
  - (d) Extensive teaching experience and subject matter expertise.
  - (e) Highly developed skills in the development, teaching and evaluation of educational programs and curriculum or in the conduct of research.
  - (f) Participation in relevant professional development activities.
  - (g) Demonstrated professional contributions such as participation in professional organizations, publications, or recognition for professional presentations or materials developed/produced.
  - (h) Participation in UWEX or departmental/unit activities (e.g. institutional or departmental governance, committee work).

**15.05 Policies and Procedures Governing Prefix Changes for Program Manager Title Series and Director Title Series**

In most circumstances a change from a Program Manager or director level to a higher Program Manager or director level is the result of a recruitment process. This is because the level assigned to a position in these title series is based on program size and/or complexity.

However, a significant change in program size and/or complexity occurring gradually over a period of time can be recognized by a change in the Program Manager or director level. Any individual staff member holding a position titled in the Program Manager or director series or administrative unit chair can request a title review at any time. The request for a title review should be forwarded to the institution's academic personnel office through the appropriate administrative channels.

The division personnel office and the institution academic personnel office will evaluate the position using the UW System Category A Unclassified staff title evaluation rating system to determine the level to be assigned to the position.

The academic staff member may appeal the findings of the position evaluation to the Academic Staff Hearings Committee. The appeal must follow the procedures of the Hearings Committee in order to be considered by that Committee.

The minimum salary adjustment for a Program Manager or director level change requires a salary increase to at least the minimum of the new salary range or \$1,000.00 whichever is greater.

**Adopted March 27, 1989  
Revised January 1995**

**Revised November 2000**  
**Revised October 2002**

## **Attachment to UWEX UPG #15**

### **Substitution for time criteria**

The time criteria for title progression may be replaced with skill attainment and competencies criteria for specific title series or functional roles that have been previously approved by the UW-Extension Human Resources Director in consultation with the Academic Staff Council. [UWEX UPG #15.02(1)(b) and 15.02(2)(b)]

Anyone may initiate the process, but ultimately a UW-Extension dean or director who wishes to pursue this option must submit to the UW-Extension Human Resources director a written request that at a minimum addresses the following issues:

- Reason the existing time criteria are not appropriate for the specific title series or functional role.
- Skill sets or competencies that are more appropriate criteria.
- The method used to document attainment of and proficiency in the application of the identified skill sets or competencies.

Before making a final decision the Human Resources Director will present an analysis of the request to the Academic Staff Council for their approval.

The Human Resources Director will inform the dean or director and the chair of the Academic Staff Council in writing of the decision made. If the decision is to replace the time criteria with skill and competencies criteria this Attachment will be modified to document the specific title series or functional role affected and the effective date.

The Human Resources Director is responsible for reviewing approved skill and competencies criteria at least yearly to confirm that they are still appropriate and valid for the title series or functional role affected. If the criteria are judged inappropriate or invalid at the time of review the Human Resources Director must either work with the affected division(s) to update the criteria or, upon approval of the Academic Staff Council, rescind the approved substitution of skill attainment and competencies criteria for the standard time criteria.

### **Approved substitutions for time criteria:**

None

**Effective Date:** NA

### **Substitution for time criteria**

The time criteria for title progression may be replaced with skill attainment and competencies criteria for specific title series or functional roles that have been previously approved by the UW-Extension Human Resources Director in consultation with the Academic Staff Council. [UWEX UPG #15.02(1)(b); 15.02(2)(c); 15.04(1)(b); and 15.04(2)(c)]

Anyone may initiate the process, but ultimately a UW-Extension dean or director who wishes to pursue this option must submit to the UW-Extension Human Resources director a written request that at a minimum addresses the following issues:

- Reason the existing time criteria are not appropriate for the specific title series or functional role.
- Skill sets or competencies that are more appropriate criteria.
- The method used to document attainment of and proficiency in the application of the identified skill sets or competencies.

Before making a final decision the Human Resources Director will present an analysis of the request to the Academic Staff Council for their approval.

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### **Approved substitutions for time criteria:**

None

**Effective Date:** NA

## UNIVERSITY OF WISCONSIN-EXTENSION UNCLASSIFIED PERSONNEL GUIDELINES (UPG)

### UPG #16

#### UW-EXTENSION FAMILY LEAVE POLICY

UWEX unclassified employees employed through a joint contract with a non-UWEX employer should review the terms of their contract or check with their appointing authority regarding how this policy applies to their appointment.

##### **16.01 Policy Statement:**

On April 26, 1988 a statewide family and medical leave bill was enacted into law (Wis. Stat 103.10). This law provides job-protected unpaid family leave for the birth or adoption of a child or care of a seriously ill child, spouse, or parent. The law includes the provision for employers to provide employees with rights to family leave which may exceed the parameters stated in the statutes.

This policy intends to provide each unclassified employee of UWEX the same amount of unpaid calendar weeks or months leave, regardless of percentage of appointment. Please note that an employee has the option of requesting any amount of unpaid leave up to the maximum specified. The amount of unpaid leave specified in the following paragraphs refer to an entitlement in a twelve month period.

Individual staff members should refer to the appropriate faculty or academic staff documents to determine the effect of this policy on the tenure clock for probationary faculty or its effect on the academic staff promotion timetable. It is the individual staff member's responsibility to confer with the UWEX Staff Benefits Office to determine what effect an unpaid leave may have on fringe benefits.

##### **16.02 Definitions:**

Child: a natural, adopted, or foster child, a step-child or a legal ward

Parent: a natural, adoptive, or foster parent, step-parent, or legal guardian

Employee: an individual holding an unclassified staff appointment in UW-Extension

Family: a durable network of kin and/or non-kin who interact regularly, providing for the domestic needs of its members.

##### **16.03 Notice Period:**

The employee shall in a reasonable and practical manner give the employer advance notice of her/his intention to use family leave. Requests for an extension of the family leave entitlement must be made to the appointing authority prior to the end of the entitlement.

##### **16.04 Policy:**

**Birth/Adoption:**

Upon request, parents shall be granted up to six months unpaid leave at the time of the birth of a child or placement of a child for adoption or foster care (provided that the leave begins within 16 weeks of the birth or placement). This leave may be extended upon approval of the appointing authority.

**Illness:**

Upon request, an employee shall be granted up to twelve weeks unpaid leave to care for a family member who is ill. This leave may be extended upon approval of the appointing authority.

**Death:**

Upon request, an employee shall be granted up to two weeks unpaid leave in the event of the death of a family member. This leave may be extended upon approval of the appointing authority.

Family Business:

Upon request, an employee shall be granted up to two weeks unpaid leave to attend to personal, legal, educational, financial or other substantive matters involving themselves or family members. This leave may be extended upon approval of the appointing authority.

**16.05 Other Leave Options:**

In addition to unpaid family leave, employees should refer to paid leave options available under UWEX Unclassified Personnel Guidelines for vacation and sick leave.

**Adopted January, 1990**

**Revised October, 1995**

**UNIVERSITY OF WISCONSIN-EXTENSION UNCLASSIFIED PERSONNEL GUIDELINES**  
**(UPG)**

**UPG #17**

**GUIDELINES FOR UW-EXTENSION SEARCH AND SCREEN COMMITTEES**

**17.01 Development of Position Description**

The appointing authority will prepare a written position description and a recruitment plan in consultation with the appropriate faculty and academic staff bodies. Such a position description and recruitment plan shall follow the guidelines set up by the UW-Extension Office of Equal Opportunity and Diversity Programs. All position descriptions sent to potential applicants shall include a UW-Extension Equal Opportunity Data Questionnaire.

**17.02 Appointment of a Search and Screen Committee**

Appointment of a search and screen committee in University of Wisconsin-Extension is required when vacancies exist for Chancellor, Vice Chancellor, dean or director of a programmatic division, director of an administrative unit, and Cooperative Extension district directors and State program leaders. In all other instances, a search and screen committee may be appointed at the option of the appointing authority.

**17.03 Composition of a Search and Screen Committee**

Prior to the appointment of a search and screen committee, the appointing authority shall seek the advice of the appropriate faculty and academic staff bodies for the composition of the committee. All search and screen committees should be inclusive of protected groups, i.e., minorities, women, age, and handicapped, whenever possible. The appointing authority should consider the following categories when selecting the search and screen committee members: Faculty, academic staff, classified staff, representative clientele/students, administration, and representation from groups external to UW-Extension or to the UW System. The search and screen committee should be kept to the smallest possible size, consistent with fair representation. Amount of representation of aforementioned groups should reflect the nature of the position.

**17.04 Charge to Committee**

The charge to the committee is to provide a slate of candidates from which the appointing authority may select a candidate for hiring. The appointing authority may provide the search and screen committee with the number of candidates to be selected and whether the slate of candidates be ranked or unranked by the committee. The search and screen committee or a subset thereof shall serve as an interviewing panel of the candidates.

**17.05 Search and Screen Committee Chair Designation**

The appointing authority, in consultation with appropriate faculty and academic staff bodies, shall appoint the chair of the committee.

**17.06 Committee Support Services**

The appointing authority, in consultation with the search and screen committee and the UW-Extension Secretary of the Faculty and Academic Staff, shall identify and provide for the appropriate committee support services, such as taking minutes, assembling vita materials, and scheduling interviews.

**17.07 Financial Arrangements**

The appointing authority shall provide reimbursement of necessary expenses incurred by the search and screen committee. Travel and related expenses of candidates may be paid under conditions arranged for by the appointing authority.

**17.08 Search and Screen Committee Responsibilities**

At the first meeting of a search and screen committee, the appointing authority should be present to distribute the position description and explain to the committee the position's specific responsibilities. Thereafter it becomes the responsibility of the committee chair to initiate and implement the following actions and procedures:

- (1) Guidelines: A copy of the University of Wisconsin-Extension "Guidelines for Hiring" should be provided to the Chair of the Committee (and made available to all committee members) and discussed at the first meeting. The committee chair is responsible for reviewing the Wisconsin Open Meeting Law and issues regarding confidentiality.
- (2) Time frame: Prior to posting the position description, the search and screen committee should establish a realistic time frame which will meet the needs of both the committee and the appointing authority.
- (3) Procedures for Selection: The search and screen committee should decide upon a formal procedure, including criteria to be applied in the selection process. Each candidate proposed should be discussed thoroughly. A formal vote to accept or reject a candidate shall be made at a formal committee meeting. The slate of names agreed upon should be determined by at least a majority vote of the committee. In any instance, no action should be taken except at a formal meeting of the committee.
- (4) Minutes: Minutes shall be kept of each meeting, consistent with the requirements of the Wisconsin Open Meeting Law.
- (5) Locating Candidates: The committee should avail itself of all promising sources in obtaining names of qualified candidates. To reach prospective candidates, the committee may wish to (1) advertise in professional journals; (2) promote interviews at professional meetings; (3) contact universities and minority professional groups; (4) get in touch with persons who have attended or provided instruction at University of Wisconsin-Extension institutes, workshops, conferences; (5) ask for the advice of departmental executive committees, the UW-Extension Faculty Senate, University Committee, and Academic Staff Council; (6) solicit names of candidates via general or selective mailings to University of Wisconsin System faculty and academic staff members; (7) utilize the services of employment agencies specializing in recruitment of academic personnel; and (8) utilize any other recruitment methods which are deemed necessary and/or practical.
- (6) Minority and Protected Employment: It is the policy of University of Wisconsin-Extension to provide equal employment opportunities for all people. Special efforts should be made by search and screen committees to present an employment opportunity to members of minority and protected groups who may not learn of openings for which they are qualified through the usual channels. Where traditional screening mechanisms do not reflect measures that may be appropriate for evaluating the capabilities of members of particular minority and protected groups, revised mechanisms should be developed and applied.
- (7) Evaluation of Candidates: In addition to interviews, committee members, in consultation with the committee chair, may secure additional information for use in evaluating candidates. In addition to the references provided by the candidate, the committee should seek additional references and the candidate should be notified that additional references are being sought. It is emphasized that the information obtained from any reference will be treated as confidential. Equivalent evaluation procedures shall be used for all candidates.
- (8) Notification of Candidates: The chair shall be responsible for prompt notification of candidates regarding the search and screen committee's decisions affecting the status of the candidate.
- (9) Final Report and Recommendations: At the conclusion of a search and screen committee's work, the chair of the committee shall prepare and present a report and recommendations to the appointing authority. This report shall include a completed UW-

Extension Office of Equal Opportunity and Diversity Programs interview summary. Each division shall establish and retain files for each search and screen conducted in the division. The files shall be retained for a minimum of two years.

- (10) Unsuccessful Search: If none of the candidates proposed is satisfactory to the appointing authority or if acceptable candidates should all decline offers, the same search and screen committee or a new committee should then be charged with providing a second slate of candidates.

**Adopted March, 1970**  
**Revised February, 1988**  
**Revised September, 2001**

# UNIVERSITY OF WISCONSIN-EXTENSION UNCLASSIFIED PERSONNEL GUIDELINES (UPG)

## UPG #18

### CRITERIA FOR ACHIEVING THE DISTINGUISHED PREFIX PROFESSIONAL AND INSTRUCTIONAL TITLE SERIES

#### **18.01 Interpretation/Explanation of Distinguished Title**

It must be understood that the Distinguished prefix is not part of a natural career progression track for academic staff in the professional and instructional series titles, but is awarded in exceptional cases to the "superstar." The availability of this prefix is intended to permit UW-Extension to acknowledge the reputation and expertise of those few academic staff who have gained the widespread recognition of others in the profession.

For an academic staff member to be recognized as Distinguished he/she will have consistently performed at an exceptional level. The person's extraordinary achievements are recognized by peers (nationally or internationally) beyond UW-Extension (the work unit). Superior attainments will have been demonstrated through, for example, special honors and recognition. This professional or instructional staff person will use ingenuity to solve state-of-the-art problems with no expert guidance, and will solve unexpected or complex problems beyond the capabilities of others. These accomplishments have been and continue to be made over a significant period of time, although seniority or longevity alone is not sufficient for award of the Distinguished designation.

#### **18.02 Principles for assignment of the Distinguished Prefix**

The Distinguished Prefix cannot be conferred without institutional review and approval. The responsibility of initiating the review process rests with the individual academic staff member seeking the Distinguished prefix. The individual must assemble materials for submission as described in this document. The Distinguished Prefix may be assigned to Academic staff currently employed by UWEX in the professional and instructional title series. It is permissible for a department/division to recruit or hire at the Distinguished prefix level. The appointing authority is responsible for initiating the appropriate review. The Distinguished prefix cannot be assigned prior to review by the Institutional Review Committee and approval by the Chancellor.

The Distinguished Prefix will be conferred by the Chancellor after appropriate review according to the following annual timetable except for an initial hire at the Distinguished prefix which would require a special session of the Institutional Review Committee.

December 1, year	All materials submitted to the Secretary of the Academic Staff.
January 1, year	All materials submitted by the Secretary of the Academic Staff to the Institutional Review Committee.
February 15, year	Recommendations of the Institutional Review Committee submitted to the Chancellor.
March 15, year	Staff member and Divisions informed of Chancellor's decision.
July 1, year	Distinguished Prefix Effective Date.

#### **18.03 Process for assignment of the Distinguished Prefix**

- (1) The individual academic staff member is responsible for assembling the following materials and submitting 10 copies to the Secretary of the Academic Staff no later than December 1st.
  - (a) Narrative addressing criteria for Distinguished Prefix.
  - (b) Detailed Professional Resume describing work experience and history.
  - (c) Three letters of support from outside UWEX attesting to the individual's professional qualifications and competence. These letters can be resubmitted if the applicant applies for the Distinguished Prefix more than once.
  - (d) A current job description approved by the immediate supervisor and signed by the incumbent. This can be the official Position Description (PD) on file in the divisional Personnel Office.
  - (e) Photocopies of testimonials and awards.
  - (f) Other concise supporting documents or mediated material.
- (2) The individual academic staff member is responsible for requesting letters of support from the immediate supervisor, department head, and division dean or director.
- (3) The immediate supervisor, department head, and division dean/director submit letters of support directly to the secretary of the academic staff by December 1. A supervisor, department head, or dean or director may choose to submit a negative recommendation or no recommendation at all.
- (4) The Secretary will transmit all documents to the Institutional Review Committee no later than January 1st.
- (5) The Institutional Review Committee will review the request for assignment of the Distinguished Prefix and will forward to the UWEX Chancellor their recommendation no later than February 15.
- (6) The Chancellor will review the recommendations of the Institutional Review Committee as well as all other supporting materials and render a decision to confer or not to confer the Distinguished Prefix. The decision will be communicated in writing to the applicant and the division by March 15.
- (7) If conferred, the Distinguished Prefix will become effective on the following July 1st along with assignment to the Distinguished prefix salary range and an increase of at least \$2,000 or to the minimum of the salary range whichever is greater.

**18.04 Criteria to be considered in the review of an academic staff professional or instructional title for the purposes of assigning the Distinguished Prefix**

It is expected that a distinguished level individual will have demonstrated a history of contributions and recognition in most of the criteria areas.

- **Develops innovative techniques, methods or skills:** Development of new approaches, methods or techniques to resolve problems with no expert guidance and to cope independently with new, unexpected or complex situations.

The acceptance of a new method or technique by ones peers outside of UWEX and the UWS that reflects a contribution to the profession will be regarded as evidence of distinguished status.

- **Peer Recognition:** A reputation of excellence in a profession recognized by other individuals or groups in that same profession outside of UW-Extension and the UW System.

This recognition might take the form of serving as an officer in professional organizations, serving as a consultant or expert witness for outside agencies or organizations awards, or testimonials

- **Guides, trains or teaches:** This might include mentoring, sharing expertise and instructing others in the profession or serving as a resource for peers in the profession for solving complex problems or issues. Presentations before national professional organizations or presentations of educational or training programs for external post secondary organizations and institutions,

i.e. teaching courses for college level credit or C.E.U.s outside of normal responsibilities also demonstrate distinguished status.

- **A history of professional publications or creative works:** A distinguished professional or instructional staff person will contribute written, visual, and/or audio media and materials over a broad span of time that are of benefit to the profession.
- **Service to UW-Extension, UW System, or the community:** Election to a governance body and/or committee work for UW-Extension, UW System, a professional organization or appointment to community service roles as an outgrowth of professional competence are examples of service.
- **Professional Experience:** A professional or instructional staff person at the distinguished level performs at a level of high proficiency typically requiring extensive experience and advanced knowledge and skills.

It is generally expected that an individual in the distinguished category would have at least ten or more years of progressively responsible experience in their field.

#### **18.05 UWEX Institutional Review Committee for the Distinguished Prefix**

The Institutional Review Committee will be appointed in September by the UWEX Chancellor to recommend the assignment of the Distinguished Prefix to Academic Staff.

- (1) The Institutional Review Committee will hold at least one organizational meeting prior to January 1. It will meet to review and act on requests for the Distinguished Prefix between January 1 and February 15.
- (2) The Chair is a member of the Academic Staff Council selected by the Council separate from the appointment process of the other eight members. The chair moderates the review process and participates as a voting member of the committee.
- (3) **8 Members:** Two members each from Extension Communications Division, Continuing Education Extension Division, Cooperative Extension Division, and the combined Divisions of General Education Administrative Services and General Educational Administration are appointed.
- (4) **Term:** Each member will serve a three-year term with approximately one-third of the committee appointed each year.
- (5) **Nominations:** Nominations for the Institutional Review Committee will be solicited from the Division Deans and Directors, the Academic Staff Council, and by self nominations from the academic staff at large.

**Adopted April, 1992**  
**Revised September, 1994**  
**Revised September, 1996**  
**Revised October, 1998**

# UNIVERSITY OF WISCONSIN-EXTENSION UNCLASSIFIED PERSONNEL GUIDELINES (UPG)

## UPG #19

### UW-EXTENSION UNCLASSIFIED STAFF GRIEVANCE AND APPEAL PROCESS

#### **19.01 Introduction.**

A **grievance** is a personnel problem, perceived by the staff member to involve unfair treatment or violation of the staff member's rights and privileges accorded by law, UW-Extension policy, or established UW-Extension practice. A **grievant** is a faculty or academic staff member employed by UW-Extension who is pursuing a grievance. An **appeal** is an optional response of an unclassified staff member to an action being taken by the administration under Chapters UWEX 3, 4, 5, 6.01, 10, 11, 12, and 13.01 (see those chapters for clarification regarding appeals). An **appellant** is a faculty or academic staff member who is appealing an action.

#### **19.02 Participation in the Grievance and Appeal Process: Employee Time**

UW-Extension recognizes that the unclassified grievance and appeal procedures constitute a right of UW-Extension unclassified employees. Any expressed grievance is necessarily an alleged problem of employment at UW-Extension and, as such, is a UW-Extension issue. Therefore, the preparation of statements and other materials for a grievance or appeal and the arrangements for and participation in hearings is recognized as proper activity during UW-Extension employment time. UW-Extension encourages all parties to a dispute to attempt to settle the dispute by informal negotiation, if possible. Therefore this negotiating activity is particularly encouraged of UW-Extension employees (see Chapters UWEX 6 and 13).

- (1) A grievance or appeal, as with all other work projects, must fit into the priorities of the workload. The amount of time devoted to a project and the duration of a project may be limited by the supervisor according to employment duties and other circumstances. UW-Extension also recognizes that unclassified staff, as professionals, do not have set work hours per week and may need to increase work time during periods when work demands are especially heavy.
- (2) This recognition of proper activity during employment time applies to all alleged grievances that may ultimately be heard under Chapters UWEX 6 and 13 and to any employee appeals that relate to actions taken under Chapters UWEX 3, 4, 5, 10, 11, and 12.
- (3) Unclassified employees who believe they are being unfairly restricted from participation in grievance or appeal activities, are encouraged to report this concern to divisional administrators or to the institutional director of human resources, the Director of Equal Employment Opportunity (EEO) and Diversity Programs, or the Secretary of Faculty and Academic Staff. Divisional officers will inform the director of human resources and institutional officers will inform the divisional personnel officer whenever a report has been received.
- (4) A supervisor who believes that an employee is spending an unacceptable amount of employment time on a grievance or appeal matter should attempt to resolve the matter informally with the employee and, if unsuccessful, report the concern to divisional administration who may ultimately bring the matter to the provost and vice chancellor. To avoid potential prejudice, if a supervisor is a subject of the grievance or appeal in question, then he/she should ask another administrator to deal with the matter.

#### **19.03 Steps to Informal Resolution of a Grievance**

(In this section, the terms grievance and grievant are used in the generic sense to include appeals and appellants.) Listed below are a series of steps which UW-Extension will make available to an unclassified staff grievant. These steps are not meant to replace or alter UW-Extension policies on grievances, rather, they are made available to expedite the policies. Therefore, the right of a grievant to request a formal hearing remains regardless which of the following steps are utilized by the grievant.

The steps are listed starting with the most informal and proceeding to the most formal.

Although not all of the steps may be appropriate for each grievance, the grievant is encouraged to attempt to resolve the problem at the most informal level possible. Failure to make progress at one level may lead to the next level, at the grievant's option.

- (1) The grievant should discuss the problem with the immediate supervisor or, if the supervisor is alleged to be part of the problem, another appropriate administrator.
- (2) The grievant may contact the Secretary of the Faculty and Academic Staff or the Director of EEO and Diversity Programs. If after discussion with the Secretary or Director the grievant wishes to pursue the matter, the Secretary or Director will recommend one or more volunteer alternative dispute resolution assistants. All grievants, i.e., faculty or academic staff members who have contacted the Secretary or Director about stating a grievance and who wish to pursue the matter beyond that first visit, will be offered the cooperation of an alternative dispute resolution assistant (if available). The purpose of the alternative dispute resolution assistant is to assist the grievant in exploring possible solutions to the grievance (see section 12.04). The involvement of an alternative dispute resolution assistant will remain a private matter between the grievant and the alternative dispute resolution assistant unless and until the grievant chooses to inform others.
- (3) The grievant may request mediation through the Secretary of the Faculty and Academic Staff. If both parties agree, the Secretary's office will provide a trained outside mediator. The mediator will hear both parties' views, perhaps separately, and will attempt to find a mutually satisfactory solution.
- (4) The grievant has the right to request a hearing on the grievance through the Secretary of the Faculty and Academic Staff. The Hearings Committee will decide whether to hear the alleged grievance and will conduct the hearing if the decision is to proceed to a formal hearing. In the case of some appeals, the Committee must hear the appeal upon request (see Chapters UWEX 6 and 13). Hearings are subject to the provisions of UW-Extension Faculty Policies and Procedures, Chapter UWEX 6 and Academic Staff Policies and Procedures, Chapter UWEX 13.

#### **19.04 The alternative dispute resolution assistant.**

An alternative dispute resolution assistant is **not** an advocate of the grievant; an alternative dispute resolution assistant will not provide legal advice, investigate for the grievant, or argue the case of the grievant. A potential grievant may arrange for his or her own advocate, the university will not provide one. If the grievant has an advocate, the alternative dispute resolution assistant's role may be redundant.

- (1) In **general**, the alternative dispute resolution assistant will assist the grievant in specifying and articulating the problem, identifying the relevant parties, and communicating the problem to the relevant parties. The purpose of the alternative dispute resolution assistant is to help the grievant to better understand the problem and its context and to exhaust all informal possibilities before initiating a formal process.
- (2) In **specific**, the alternative dispute resolution assistant:
  - (a) will be a volunteer

- (b) will receive training, coordinated by the Secretary of the Faculty and Academic Staff or Director of EEO and Diversity Programs, in:
  - 1. employee relations
  - 2. conflict resolution
  - 3. the definition of a grievance
  - 4. the UW-Extension policies related to grievances
- (c) will assist a grievant in:
  - 1. recognizing whether a definable grievance exists
  - 2. preparing/writing the grievance statement, including proposed remedies, in a clear and organized fashion
  - 3. attempting to informally resolve the matter
  - 4. moving through the grievance process
- (d) may accompany the grievant to meetings at which an informal resolution is attempted. In such settings, the alternative dispute resolution assistant may assist the grievant in communicating his or her concerns and in understanding the responses of others. Simply by being present the alternative dispute resolution assistant may relieve the grievant of fears of intimidation.

**Established November, 1995**  
**Revised September, 2001**