

**2011 - 2012
Academic Staff Assemblyⁱ
7 March 2012 Agenda**

**12:00 – 1:45 p.m.
University Center 262**

- 1. Approval of 8 February and 22 February 2012 Minutes**
- 2. Academic Staff Committee Reports**
 - a. Awards [Weber]
 - b. Economic Issues [Ehlen]
 - c. Elections/Balloting [Clokey]
 - d. Government [Kriska/Flanagan]
 - e. Organization [Fragola]
 - f. Professional Development [Ehlen]
 - g. Instructional Promotions [Farmer]
 - h. Review [Ogunsola]
 - i. Title Appeals [Ehlen]
 - j. Titling [Naff]
 - k. Rewards and Recognition [Simes]
- 3. Updates/Announcements**
 - a. Assembly Priorities [Ehlen]
 - b. University Handbook Working Group [Weber]
 - c. UW System Benefits Working Group [Naff]
- 4. Other Business**
 - a. *ELARC [Ehlen]*
 - b. *UW System New Personnel Systems [Ehlen]*
 - c. Campus Kudos [Assembly Staff]
 - d. Miscellaneous/Round Robin [Assembly Staff]

ⁱ *Italicized items include attachments for review/discussion.*

**2011 - 2012
Academic Staff Assembly
8 February 2012 Minutes**

**12:00 – 1:45 p.m.
University Center 262**

PRESENT: Denise Ehlen [Chair], Mike Flanagan, Nancy Farmer, Patty Fragola [Vice Chair], Nadine Kriska, Kyle Naff, Elizabeth Ogunsola, David Reinhart, and Curt Weber

ABSENT: Freda Briscoe, George Clokey, Giuliana Miolo, and Kim Simes

GUEST: Elena Pokot

1. **Discussion with Elena Pokot:** Pokot discussed a new policy regarding pictures/identities linked with Outlook with the Assembly. Flanagan/Reinhart expressed concerns with the new policy.
2. **Approval of 25 January 2012 Minutes:** Fragola/Kriska moved to approve the minutes. The Assembly discussed/reviewed the minutes. Approved by unanimous vote.
3. **Academic Staff Committee Reports**
 - a. Awards [Weber]: Weber reported that the Academic Staff Excellence Awards and Regent's Program Award applications are due on 15 February 2012.
 - b. Economic Issues [Ehlen]: No report
 - c. Elections/Balloting [Clokey]: Deferred until next meeting
 - d. Government [Kriska/Flanagan]: Flanagan reported that Kim Hixson will be speaking with the Assembly on 18 April 2012.
 - e. Organization [Fragola]: Fragola reported that Martha Stephenson will be a representative on the Parking Study Committee.
 - f. Professional Development [Ehlen]: Ehlen reported that two applications were received for the February round. The Committee will be making recommendations this week and ratification of those recommendations will be sent electronically.
 - g. Instructional Promotions [Farmer]: No updates
 - h. Review [Ogunsola]: No updates
 - i. Title Appeals [Ehlen]: Ehlen announced that there has been a titling appeal and she will be convening the Committee to review the appeal.
 - j. Titling [Naff]: No updates
 - k. Rewards and Recognition [Ehlen for Simes]: Ehlen reported that the spring deadline is 1 March 2012.
4. **Updates/Announcements**
 - a. Assembly Priorities [Ehlen]: Ehlen reported that she will be finalizing the priorities document and will bring it to an upcoming meeting.

- b. University Handbook Working Group Updates [Weber]: No updates
- c. UW System Benefits Working Group [Naff]: Naff reported that the group is currently looking over what benefits are in place and what System has control over.

5. Other Business

- a. Retirement Resolution of Dianne Witte [Ehlen]: The Assembly discussed/reviewed the resolution. Naff/Weber moved to approve the resolution. Approved by unanimous vote.
- b. Base Salary Adjustments for Instructional Promotions [Ehlen]: Ehlen reported that she is looking at other UW System institutions and their promotion levels and will update the Assembly at an upcoming meeting.

Consensus to adjourn at 1:45 p.m.

Respectfully submitted,
Casey Pellien, Governance Associate

**2011 - 2012
Academic Staff Assembly
22 February 2012 Minutes**

**12:00 – 1:45 p.m.
University Center 262**

- 1. Discussion with Provost Kopper:** Provost Kopper discussed a number of topics with the Assembly and asked the Assembly to email any questions/concerns they may have.
- 2. Approval of 8 February 2012 Minutes:** Simes/Naff moved to approve the minutes with the addition of the concerns expressed by Flanagan and Reinhart regarding the new policy in relation to pictures/identities related to Outlook. The Assembly discussed/reviewed the minutes. Approved by unanimous vote.
- 3. Academic Staff Committee Reports**
 - a. Awards [Weber]: Weber reported that three nominations were submitted for the Regent's Program Award and six nominations were submitted for the UWW Academic Staff Excellence Awards. The Committee will be reviewing all nominations in the upcoming weeks.
 - b. Economic Issues [Ehlen]: No report
 - c. Elections/Balloting [Clokey]: Ehlen/Pellien will send the timeline, form, and notice to the Assembly for ratification this week.
 - d. Government [Kriska/Flanagan]: No report
 - e. Organization [Fragola]: No report
 - f. Professional Development [Ehlen]: Ehlen reported that applications are due on 1 March.
 - g. Instructional Promotions [Farmer]: No updates
 - h. Review [Ogunsola]: No updates
 - i. Title Appeals [Ehlen]: Ehlen reported that there has been a titling appeal and she will be convening the Committee to review it.
 - j. Titling [Naff]: No updates
 - k. Rewards and Recognition [Simes]: Simes reported that the deadline to submit a nomination is 1 March.
- 4. Updates/Announcements**
 - a. Assembly Priorities [Ehlen]: Ehlen reported that she and Fragola met regarding priorities and she will bring an update to an upcoming meeting.
 - b. University Handbook Working Group [Weber]: No updates
 - c. UW System Benefits Working Group [Naff]: No updates

5. Other Business

- a. Budget Impact Survey [Ehlen]: Ehlen reviewed the survey from System and she will send the survey to all academic staff next week.
- b. Miscellaneous/Round Robin [Assembly Staff]: Ehlen is looking for a representative on the Student Employment Committee. Miolo or Simes will serve as the representative. Ehlen also shared updates on accountability and distance learning reports as well as documents from the ELARC and asked the Assembly to be prepared to discuss the ELARC documents at the next meeting.

Consensus to adjourn at 1:45 p.m.

Respectfully submitted,
Casey Pellien, Governance Associate

Essential Learning & Assessment Review Committee Conclusions and Recommendations, 2012

The Essential Learning & Assessment Review Committee (ELARC) reviews assessment data from across campus and uses the data to make recommendations to improve teaching, learning, and assessment at UW-Whitewater. The committee focuses on data related to student achievement of the UWW baccalaureate learning goals, currently defined as the LEAP essential learning outcomes (available at <http://www.uww.edu/acadaff/assessment/academic/wofiassess.html>) from the Association of American Colleges & Universities. The committee receives assessment summaries from the Colleges and other constituencies on campus and integrates the findings using the baccalaureate learning outcomes as the organizing framework. The ELARC recommendations presented here reflect attention to blending the curricular, co-curricular and extra-curricular student experiences.

In the Fall of 2011, ELARC received and reviewed assessment summaries from the following:

- College of Arts & Communication
- College of Business & Economics
- College of Education & Professional Studies
- College of Letters & Sciences
- Office of Multicultural Affairs & Student Success
- Audit & Review
- Institutional Planning
- Writing Still Matters 2011 campus assessment project
- General Education Assessment Summit 2011

Conclusions:

In Spring 2010, UW-Whitewater adopted the LEAP essential learning outcomes as the campus' definition of learning expected for all bachelors degree recipients. Departments, programs, colleges, and other units are in the early stages of integrating these learning outcomes into their systems for assessing student learning. At this point, our most informative areas of direct and indirect assessment relate to writing and critical thinking. An Open Pathways Project for the Higher Learning Commission will extend our data collection to additional learning outcomes.

Writing

Evaluations of samples of student writing from the Writing Still Matters assessment project (2011) indicate that the quality and effectiveness of writing improves significantly from freshman to senior year. By senior year, however, only 50% of student writing meets the standards expected for graduating students. At the senior level, writing is stronger in the areas of focus, thesis, use of evidence, and documentation, and writing is relatively weaker in analysis, interpretation, language use, and conventional grammar. Writing essay scores from the Collegiate

Assessment of Academic Proficiency (CAAP, administered 2009-2010) show that UWW seniors scored significantly higher in writing than did freshmen, and both freshmen and seniors scored higher than the national average. UWW students come to college better prepared in writing than their national peers, and their writing skills improve significantly while they are here.

In 2010, UW-Whitewater participated in the Consortium for the Study of Writing in College (CSWC) as part of the National Survey of Student Engagement (NSSE). Compared to CSWC peers, students at UWW reported that faculty engaged in significantly fewer best practices in teaching and writing including pre-writing activities, concept mapping and outlining, giving feedback on multiple drafts, and structuring peer review options. In addition, students believe that UWW faculty assigned more summary and description writing projects but fewer analytical writing or expository prose that integrates and synthesizes ideas and concepts; similarly, they paid less attention to teaching about the differences among discipline-specific discourses and audience awareness. Other practices students reported that UWW faculty engaged in less frequently include giving clear instructions concerning writing assignments, articulating learning objectives for these assignments, clarifying grading criteria and providing samples of successful writing (see the report of the General Education Assessment Summit, Team 2). This feedback from students suggests several ways that writing instruction can be improved at UW-Whitewater.

Critical Thinking

Several measures of critical thinking show that juniors and seniors at UW-Whitewater score significantly higher than freshmen (for a review of data, see the report of the General Education Assessment Summit 2011, Team 1). By most measures, UWW students are similar to or above national norms or averages in critical thinking. Based on scores from the Critical-thinking Assessment Test (CAT), UWW students showed growth in the specific CT skills of evaluating information and providing alternative explanations, and applying information to real-world problems. Areas in most need of improvement included summarizing patterns of results, evaluating and interpreting correlations, and separating relevant from irrelevant information. Results from the CAAP (administered 2009-2010) show that UWW freshmen scored at the 44th percentile nationally in critical thinking and seniors scored at the 66th percentile—a substantial gain. On the NSSE, seniors at UWW report an overall higher degree of engagement in critical thinking in their courses than first year students report.

These data on writing and critical thinking are encouraging, and it would be important to explore the degree to which gains in these areas occur in individual programs across campus.

The Open Pathways Project for the Higher Learning Commission

During 2012-2013, UW-Whitewater will participate in Cohort 3 of the Pathways Demonstration Project for the Higher Learning Commission. As part of our campus

reaccreditation process, we will engage in an assessment project exploring writing, critical thinking, quantitative literacy, information literacy, broad/integrative knowledge, and specialized and applied learning outcomes in one academic department in each UWW college: Arts & Communication, Business & Economics, Education & Professional Studies, and Letters & Sciences. Direct assessment of these learning outcomes will occur at the associates, bachelors, and masters levels. Data collection will occur primarily during the Fall 2012 semester. Data will be analyzed and reported during spring and summer of 2013. Some outcomes will be measured using a campus-central “assessment center” model, while others will be measured locally in academic departments. This project should provide a good test of our assessment capabilities and help our campus enhance and better coordinate assessment efforts.

Recommendations:

1. Assessment work is vital to our understanding of the strengths and areas for improvement in student learning. To be most meaningful, assessment work needs to occur as an integral part of teaching, learning, and curriculum development, and this requires active engagement of faculty, staff, and students. To **enhance a positive culture of assessment** that facilitates engagement, we recommend that:
 - a. The Faculty Senate, Academic Staff Assembly, and other appropriate governing bodies and administrators review and revise personnel policies (e.g., job descriptions and reward structures) to support faculty and staff engagement in academic assessment.
 - b. Administrators support the positive culture of assessment in their various addresses and interactions on campus.
 - c. The campus establishes an annual “Assessment Day” to showcase work and recognize and share best practices and innovation.
 - d. Colleges, departments, and other units create ways to acknowledge and reward faculty, staff, and students for their work on assessment.

2. **Resources** are important for enhancing and sustaining our assessment capacity on campus. The Provost’s Office should collect feedback and suggestions about resource allocation for assessment, and work with colleges and other units to establish or revise budget lines and allocations for assessment work. We recommend that colleges, departments, and other units evaluate the resources they allocate or have available for assessment and work to determine the types and levels of resources they need to enhance their work.

3. We agree with the recommendation of the General Education Assessment Summit 2011 that campus should develop rubrics that **define learning** and the progression of learning (e.g., from freshman to senior levels) for the essential learning outcomes of critical thinking, intercultural knowledge and awareness, and quantitative literacy. The AAC&U VALUE rubrics can be used

as guides or starting points. Using Writing Matters as a model, these new rubrics can define our campus consensus about learning, can be used to communicate our expectations to students across disciplines and across the curriculum and co-curriculum, and can be used to collect and coordinate direct assessment data.

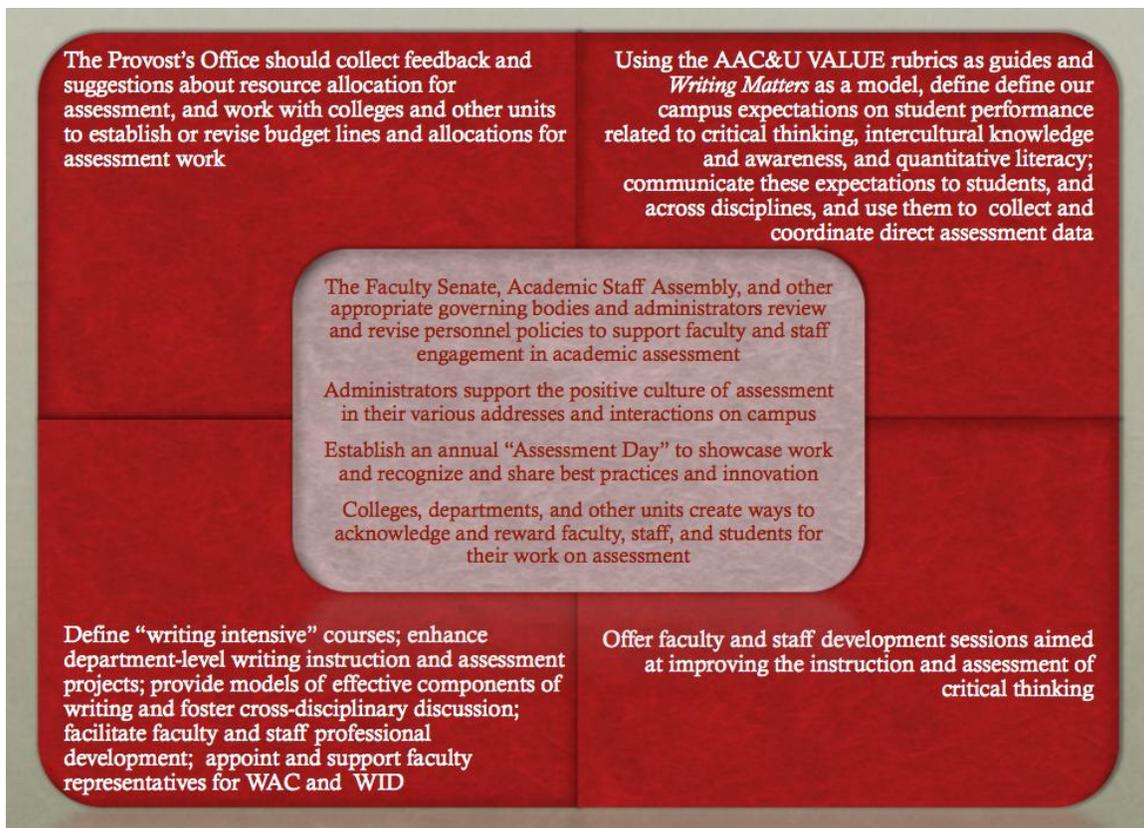
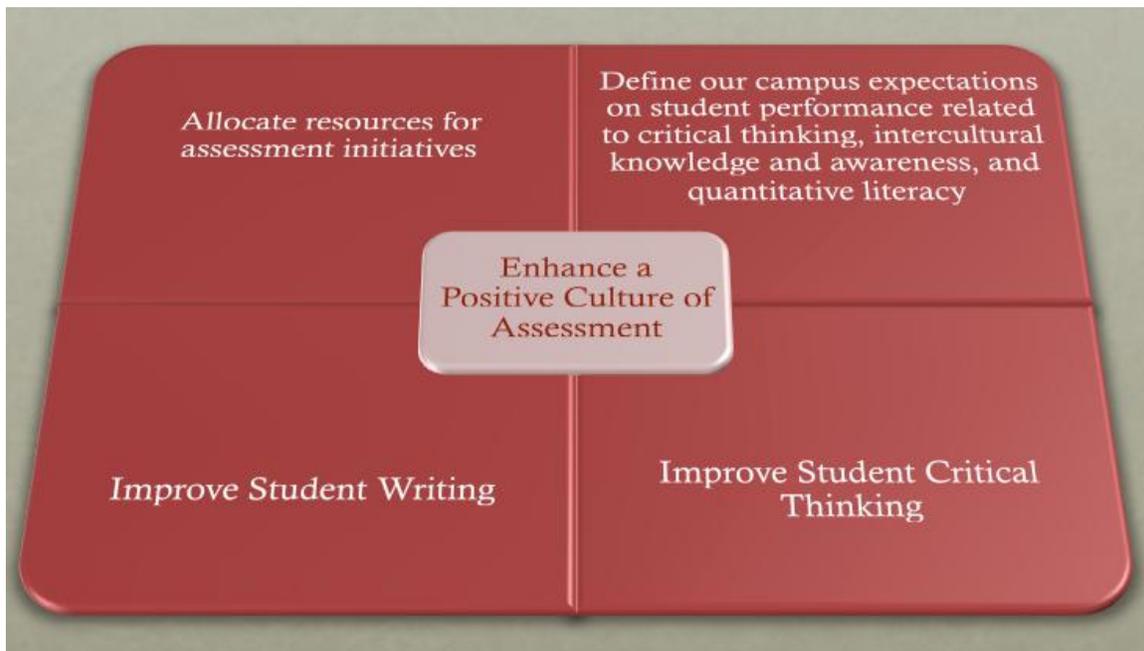
4. Based on our review of data, and to **improve student writing**, the ELARC concurs with the recommendations from the Writing Still Matters 2011 assessment project to:
 - a. Define “writing intensive” courses at the college and university level.
 - b. Enhance department-level writing instruction and assessment projects.
 - c. Annotate the Writing Matters document to provide models of effective components of writing and to foster cross-disciplinary discussion.
 - d. Facilitate faculty and staff professional development to enhance writing instruction.
 - e. Appoint and support faculty representatives for Writing Across the Curriculum (WAC) and Writing in the Disciplines (WID).
 - f. Explore ways that Student Affairs units may contribute to Writing Still Matters recommendations, particularly in relation to student employment, student organization participation, and unit-driven initiatives.

5. Based on our review of data, and to **improve critical thinking in students**, we recommend faculty and staff development sessions aimed at improving the instruction and assessment of critical thinking. Where appropriate, the focus should be on improving students’ skills in summarizing patterns of results, evaluating and interpreting correlations, and separating relevant from irrelevant information. This effort should take into consideration student curricular, co-curricular and extra-curricular experiences.

The diagram below represents our recommendations in the form of a strategic assessment plan for 2012-2014.

It is our hope that all units on campus will participate and engage with this plan in ways that are meaningful to them.

UW-Whitewater Strategic Assessment Plan, 2012-2014



ELARC Members (2011-2012):

Greg Cook (Chair)

John Stone

Brent Bilodeau

Liz Hachten

Sally Vogl-Bauer

Melanie Agnew

Lois Smith

Julie Letellier

Barbara Bren

Rowand Robinson

Paul Ambrose

Denise Ehlen

February 21, 2012

ANNUAL CYCLE OF CAMPUS ASSESSMENT

The purpose of this system is to ensure the regular and timely consideration of data from assessments of student learning and use of these data in setting goals and making recommendations that affect student learning and the University's curriculum.

Assessment data (related to student learning and LEAP) flow up from courses, departments, colleges, and other units. The ***Essential Learning & Assessment Review Committee (ELARC)*** reviews assessment data, integrates findings from across campus, and uses LEAP as the central organizing framework. The ELARC distills findings into an annual report of 6-8 highlights and recommended actions. This report is discussed by the VC for Academic Affairs (Provost), VC for Student Affairs, Deans, SPBC, Faculty Senate, Academic Staff Assembly, and WSG, and their feedback and recommendations are sent back to the ELARC. The ELARC then provides an annual campus report back to colleges, departments, units, those responsible for core courses, and other constituents to complete the annual cycle.

Colleges:

Each college has an assessment committee or other body that reviews and acts on assessment data.

Annual Report. Each college submits an annual report summarizing assessment of student learning, due November 1, to the ELARC. Reports should address the following items and relate to LEAP as much as possible:

1. Summarize the most important assessment results that were collected within or related to your college during the past year. Examples could include results of systematic assessments of student writing, critical thinking, multicultural knowledge, or other essential learning outcomes.
2. Describe the most important actions that you recommend or plan to take that use these assessment results for the improvement of student learning within your college.
3. From year two and beyond, describe the progress made in implementing your recommendations and plans from last year and the progress made in implementing other recommendations from last year's campus report from the ELARC.
4. Describe recommendations you have for further data collection, analysis, or other assessment work within your college or elsewhere on campus that would lead to important improvements in student learning.

Institutional Research (IR):

IR administers the NSSE, FSSE, CAAP, MAPP, Senior Exit Survey and other assessments and also manages the collection and analysis of data related to student enrollment, applications,

retention, graduation rates, and other measures. Survey results and other data are hosted on a centralized website for convenient access by all campus stakeholders. Summary reports (brief highlights) are sent to the ELARC as soon as practical upon completion of each survey (e.g., NSSE) or major data query (e.g., statistics on graduation, retention).

Annual Report. In addition to sending reports of individual surveys and analyses to ELARC, the Director of IR submits an annual report summarizing assessment of student learning, due October 1, to the ELARC. Reports should address the following items and relate to LEAP as much as possible:

1. Summarize the most important assessment results that were collected by IR for campus during the past year.
2. Describe the most important actions that you recommend for IR or other units to take that use these assessment results for the improvement of student learning.
3. From year two and beyond, describe the progress made in implementing your recommendations and plans from last year (if applicable to IR) and the progress made in implementing other recommendations from last year's campus report from the ELARC (if applicable to IR).
4. Describe recommendations you have for further data collection, analysis, or other assessment work that would lead to important improvements in student learning.

Student Affairs:

Assessment data are collected in Student Affairs units, including Residence Life, UHCS, CSD, UC, Career & Leadership Development, Recreation Sports, and Financial Aid.

Annual Report. Assistant Vice Chancellor for Student Affairs should review data that are related to student learning with relevant staff and produce an annual assessment report, due November 1, to the ELARC. Reports should address the following items and relate to LEAP as much as possible:

1. Summarize the most important assessment results that were collected within or related to your units during the past year.
2. Describe the most important actions that you recommend or plan to take that use these assessment results for the improvement of student learning (as applicable to your units).
3. From year two and beyond, describe the progress you made in implementing your recommendations and plans from last year and the progress made in implementing other recommendations from last year's campus report from the ELARC (as applicable to your units).
4. Describe recommendations you have for further data collection, analysis, or other assessment work within your units or elsewhere on campus that would lead to important improvements in student learning.

Other Academic Units:

Assessment data are collected for Learning Communities, First-Year Experiences, Academic Support Services, Trio Programs, Pre-College Programs, and other campus programs/units.

Annual Reports. Each director should review data related to student learning with relevant staff and submit an annual assessment report, due November 1, to the ELARC. Where appropriate, reports from individual units can be combined and submitted from, e.g., Graduate Studies and Continuing Education, Student Affairs, or Academic Departments. Reports should address the following items and relate to LEAP as much as possible:

1. Summarize the most important assessment results that were collected within or related to your unit during the past year.
2. Describe the most important actions that you recommend or plan to take that use these assessment results for the improvement of student learning (as applicable to your unit).
3. From year two and beyond, describe the progress made in implementing your recommendations and plans from last year and the progress made in implementing other recommendations from last year's campus report from the ELARC (as applicable to your unit).
4. Describe recommendations you have for further data collection, analysis, or other assessment work within your unit or elsewhere on campus that would lead to important improvements in student learning.

Core Course Committee:

Core Course Coordinators work with instructors for GENED Core Courses (110, 120, 130, 140, 390) to gather assessment data from student portfolios, samples of student work, core-course surveys and/or other assessment activities.

Annual Progress Reports to GERC. Core course coordinators guide the development of a self-study for each course to be submitted to the GERC on a regular schedule (e.g., every 5 years). Progress reports for each course are submitted to the GERC annually and in time for GERC to meet its October 1 deadline for submitting an annual report to the ELARC.

General Education Review Committee (GERC):

The GERC approves new general education courses, monitors gened courses for LEAP alignment, and reviews assessment data/reports from core courses and from gened courses in departments undergoing Audit & Review.

Annual Report. The GERC submits an annual report summarizing assessment of student learning, due October 1, to the ELARC. Reports should address the following items and relate to LEAP as much as possible:

1. Summarize the most important assessment results that were collected within or related to general education courses (including core and proficiency courses, gened electives, and diversity courses) during the past year.
2. Describe the most important actions that you recommend or plan to take that use these assessment results for the improvement of student learning in general education.
3. From year two and beyond, describe the progress made in implementing your recommendations and plans from last year and the progress made in implementing other recommendations from last year's campus report from the ELARC (as applicable to general education and the work of the GERC).
4. Describe recommendations you have for further data collection, analysis, or other assessment work within or related to general education that would lead to important improvements in student learning.

Academic Departments:

Departments collect assessment data related to student learning in majors, minors, and general education courses (including proficiency, general education electives, diversity courses, and other such courses that count for general education credits).

All majors, minors, and programs undergo Audit & Review on a 5-year cycle. Assessment of student learning is a focus of A&R. One component of the A&R will emphasize general education courses offered from the department or program. Every 5 years, each major, minor, or program submits a self-study report to their Dean for review. The Dean should make suggestions for revision, request additional information, etc., and then the Department forwards the revised self-study to the Associate Vice Chancellor for Academic Affairs for the Audit & Review process. The Assoc. VC forwards the general education portion of the self-study to the GERC.

Audit & Review:

Assessment data are reviewed for each program that undergoes Audit & Review. Review includes assessment of student learning in majors, minors, and general education courses. The GERC simultaneously reviews assessment data for the general education courses and provides feedback and recommended actions to the A&R committee to be considered for their report sent back to the Department.

Annual Report. Each year, the Associate Vice Chancellor for Academic Affairs (or designee) should work with the Audit & Review Committee to consider all of the programs and assessment information reviewed that year and submit an annual assessment report, due

October 1, to the ELARC. Reports should address the following items and relate to LEAP as much as possible:

1. Summarize the most important themes in assessment results that were noticed in the assessment data reported by each department during the past year.
2. Describe the most important actions that you recommend that use these assessment themes for the improvement of student learning and/or improvement of programs across the campus.
3. Describe recommendations you have for further data collection, analysis, or other assessment work on campus that would lead to important improvements in student learning and/or program improvement.
4. Describe recommendations you have for the improvement of the audit and review process.
5. From year two and beyond, describe progress made in implementing last year's recommendations for improving the audit and review process.

Essential Learning & Assessment Review Committee:

Meets on a regular schedule to consider annual reports from each constituency (Colleges, IR, Student Affairs, GERC, A&R, etc.). Provides feedback and short-term recommendations to each constituency in a timely manner.

Annual Campus Report. Once each year, the ELARC produces an annual campus report that synthesizes assessment information and recommendations across all other constituencies and recommends actions that can be taken to improve student learning that are practical and sustainable. A draft of the annual campus report is due February 1 and is submitted to the Vice Chancellors for Academic and Student Affairs, Deans, SPBC, Faculty Senate, ASA, and WSG for their feedback and recommendations. The report should address the following items and relate to LEAP as much as possible:

1. Summarize the most important themes in assessment results that were noticed in the annual reports from constituencies received during the past year.
2. Describe the most important actions that would use these assessment themes for the improvement of student learning across the campus.
3. Describe recommendations for further data collection, analysis, or other assessment work on campus that would lead to important improvements in student learning.
4. Describe recommendations for the improvement of the annual cycle of assessment review on campus, including the function of the ELARC.
5. From year two and beyond, describe progress made in implementing last year's recommendations for improving the annual cycle of assessment review on campus, including the function of the ELARC.

6. From year two and beyond, describe the progress reported by other constituencies in meeting the recommendations made in last year's campus report.

Vice Chancellors, Deans, SPBC, Faculty Senate, Academic Staff Assembly, & WSG:

The Vice Chancellors for Academic and Student Affairs jointly review the annual campus report from the ELARC with the Deans, SPBC, Faculty Senate, ASA, and WSG or their designated representatives. Vice Chancellors then (jointly) provide feedback and recommendations related to items in the report back to the ELARC by March 1. Feedback can include other assessment results that should be considered by the ELARC. Deans, SPBC, Faculty Senate, ASA, and WSG are also encouraged to provide individual feedback to the ELARC (due March 1) reflecting their unique recommendations, concerns, or guidance.

Essential Learning & Assessment Review Committee:

The ELARC discusses feedback and recommendations from the Vice Chancellors, Deans, SPBC, Faculty Senate, ASA, and WSG, revises the annual campus report as needed, and submits the annual campus report, due April 1, to all constituencies.

This completes an annual cycle of data collection, review, campus recommendations for action, and progress checking for previous recommended actions.

Relationship to Curriculum:

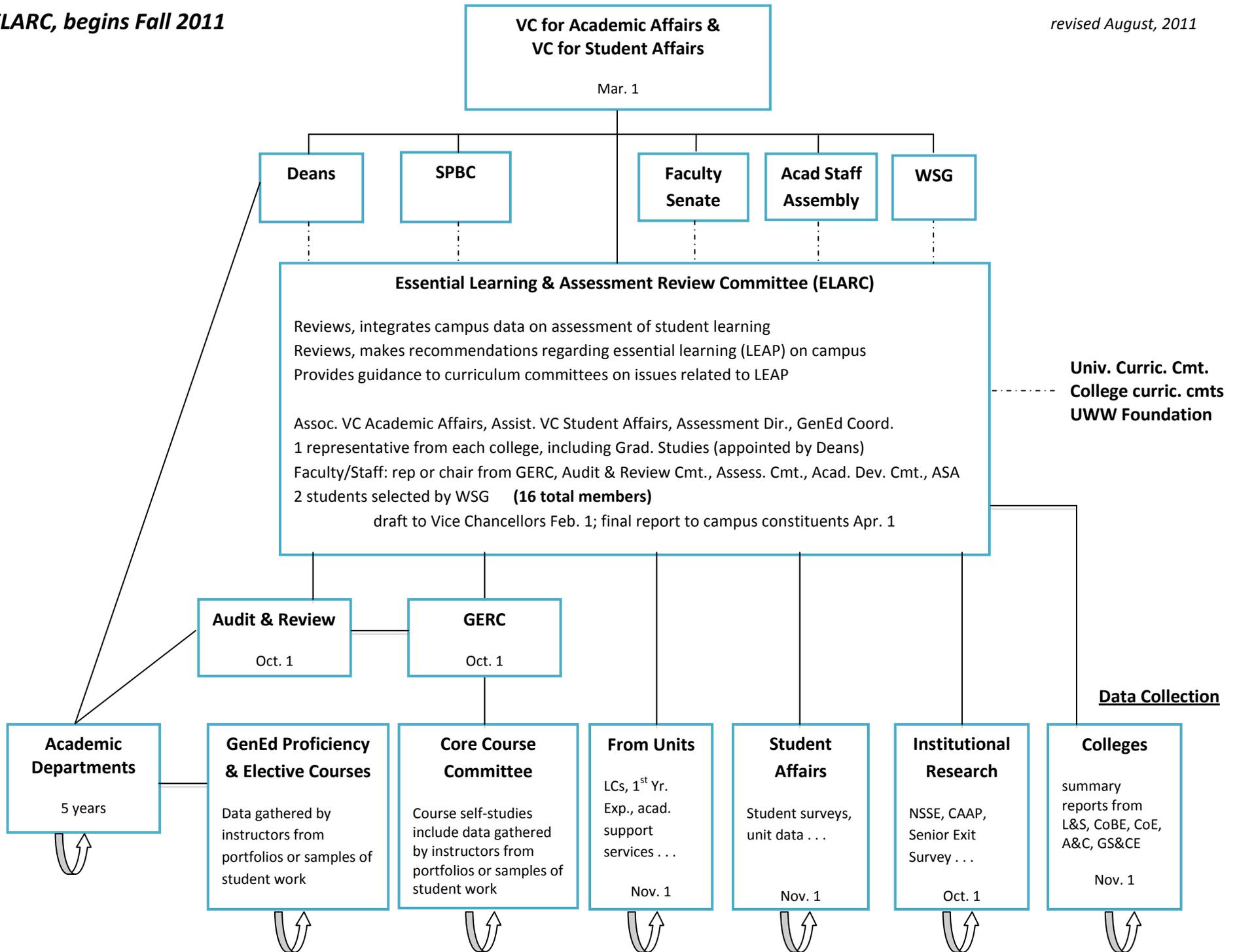
The ELARC copies its annual campus report to the UCC, GERC, and College curriculum committees. Curricular actions should be informed by assessment data and campus recommendations and action plans that are based on assessment. Curricular committees should send reports of their issues, concerns, and questions about the improvement of student learning and the curriculum to the ELARC for consideration during the annual cycle of assessment review.

Essential Learning & Assessment Review Committee Annual Schedule of Meetings

Mtg	Date	Main Agenda Item	To/From
1	Sep	Organizational meeting	
	Oct. 1	Annual assessment reports due from:	Audit & Review, GERC, IR
2	Oct	Discuss annual reports from:	Audit & Review, GERC, IR
	Nov. 1	Annual assessment reports due from:	Colleges, Student Affairs, other units
3	Nov	Discuss annual reports from:	Colleges, Student Affairs, other units
4	Dec	Discuss campus assessment data	
5	Jan	Sketch/distill salient items for action & draft annual campus assessment report	
6	Jan	Discuss & revise campus report	
	Feb. 1	Campus assessment report sent to:	Vice Chancellor level
	Mar. 1	Feedback/recommendations due from:	Vice Chancellor level
7	Mar	Discuss feedback/recommendations from VC level. Revise annual campus assessment report as needed.	
8	Apr. 1	Annual campus assessment report sent to:	All campus constituents
9	May	Review, plan, & wrap up	

Other agenda items appear as available:

- To/From UCC: course actions, questions, suggestions (LEAP, etc.)
- From IR: results from individual campus surveys (e.g., NSSE, Senior Exit)
- Reports, recommendations, requests from Deans, SPBC, Faculty Senate, ASA, etc.



UNIVERSITY OF WISCONSIN SYSTEM
ESTABLISHING NEW UNIVERSITY PERSONNEL SYSTEMS

INTRODUCTION

At their March meetings, the UW Board of Regents and the Special Task Force on UW Restructuring and Operational Flexibilities are addressing the issue of UW System personnel systems and compensation, among other issues. This paper brings together the work of various UW System staff and work teams in order to:

1. Update the Board of Regents on fulfilling the requirement of the 2011-13 biennial budget (Act 32 of 2011) that authorized and directed the UW to develop personnel systems separate and distinct from the personnel system of other state agencies.
2. Provide the Special Task Force on UW Restructuring and Operational Flexibilities background on two of the six legislatively mandated topics that they are required to address:
 - a. How UW staff would transition from the state personnel system to new personnel systems.
 - b. How compensation plans for UW System employees should be determined in future biennia.

Two standalone background papers were created to help inform the Special Task Force on the two topics noted above. Those papers are included with this document as Attachments 1 and Attachment 2. Because they are stand-alone documents, they both include some information found in this document, as well as supplemental information that may be helpful.

BACKGROUND

The 2011-13 biennial budget (2011 Wisconsin Act 32) created Wis. Stat. § 36.115 (see Attachment 1), authorizing and directing the development of personnel systems separate and distinct from the personnel system under Chapter 230 of the Wisconsin Statutes for all University of Wisconsin-Madison employees and separately a personnel system for the balance of all University of Wisconsin System employees. Ultimately, both personnel systems require Joint Committee on Employment Relations (JCOER) approval before being implemented. The statute directs that the new personnel systems be implemented on July 1, 2013.

There are approximately 28,100 unclassified employees across the University of Wisconsin System (approximately 13,000 academic staff, 1,300 limited appointees, 7,000 graduate assistants, and 6,800 faculty). The Board of Regents has authority and administrative responsibility for the unclassified personnel system under Chapter 36 of the Wisconsin Statutes. There are approximately 12,300 classified employees across the University of Wisconsin System. The Office of State Employment Relations (OSER) has authority and administrative responsibility for the classified personnel system under Chapter 230. Act 32 gives authority and administrative responsibility for the new university personnel systems to the UW-Madison

Chancellor for all University of Wisconsin-Madison employees and separately to the Board of Regents for all employees for the balance of the University of Wisconsin System.

Act 32 also provides specific direction in Wis. Stat. § 36.115(6) on the protections and rights of classified employees with permanent status on June 30, 2013 and those who have not yet achieved permanent status as of June 30, 2013. Included in these protections specifically are those relating to demotion, suspension, discharge, layoff, or reduction in base pay as well as reinstatement privileges to the state classified personnel system. As for unclassified staff, Act 32 did not make any changes to the protections available through Chapter 36 and the resulting administrative code.

It is prudent that these two personnel systems be developed in a collaborative manner. The personnel systems for UW-Madison and for the balance of the UW System need to be developed such that they can be served by the extant enterprise resource planning computer support system, are compatible one with the other, and provide the protections and privileges to current employees as of June 30, 2013, as directed by Wis. Stat. § 36.115.

Although the statute requires that JCOER approve the personnel systems before they may be implemented, it does not state exactly what it is that JCOER needs to review and approve. It would not be efficient for JCOER members to review details such as each individual employee's job description and rate of pay. Instead, it would be more administratively feasible for the UW System and UW-Madison to present to JCOER for approval:

- The overall framework of employee roles and appointment types,
- Competitive compensation and benefits structure and philosophy, and
- Civil service protections and employee rights.

Regent policy will be developed to address the implementation of each of these areas in preparation for and in anticipation of JCOER approval so that we will be prepared for the July 1, 2013 implementation.

Act 32 of 2011 also created a Special Task Force on UW Restructuring and Operational Flexibilities. Two topics of the six under consideration by this Legislative task force relate to UW System personnel systems and will be taken up at their March 7, 2012 meeting. Attachments 1 and 2 and this Executive Summary have been provided to the Legislative task force. The attachments provide background, issues, and questions on these two topics: "How System employees and those System employees assigned to the University of Wisconsin-Madison would transition from the state personnel system to the new personnel systems." and "How compensation plans for System employees should be determined in future biennia." This Executive Summary provides recommended answers and solutions to the questions raised by these two topics for consideration by the Board of Regents and Legislative Special Task Force.

SCOPE

A framework for the new personnel systems will emerge as existing policies and procedures are reviewed and sorted into two categories. Policies that have worked well will remain unchanged. Policies that have not worked well will be changed or discarded. Moreover,

newly developed policies that have been identified as desirable improvements or changes will be incorporated into the new personnel systems. The result will be personnel systems that meet the diverse and unique needs of UW System universities, colleges, and extension.

The new personnel systems will simplify titling structures, protect existing employee rights, establish a compensation structure(s) that will best allow each institution in the UW System to recruit and retain the most diverse, the best, and most qualified employees, and result in the employees of UW System identifying themselves first and foremost as UW employees and valued members of one of the UW System universities, colleges, or extension. To accomplish this, a framework for the new personnel systems is needed that is based on organizational principles that are simple, consistent, and coherent.

ORGANIZING PRINCIPLES

A personnel system can be defined as the activities and methods that enable the attraction, development, and retention of talent focused on the mission of the University. Included in the system are human resource strategies and planning for staffing, compensation, training, performance management, diversity, and legal compliance.

In considering the development of new personnel systems for the UW System and the policies and procedures needed to implement the new systems, simplicity, consistency, and coherence will be used as organizing principles.

Simplicity – Simplicity promotes efficient and effective policies and procedures

Consistency – Consistency provides for fairness of policies and procedures.

Coherence – Coherence governs over simplicity and consistency so that one does not overtake the other in the development of new personnel systems. With coherence different aspects of the new systems will work together toward fulfilling the purposes of a personnel system as defined above.

The framework of the new personnel systems will address policies and procedures in the hiring processes, titling structures, salary structures, fringe benefits structures, performance management practices, employment relations practices, staff development opportunities, recruitment processes, and retention strategies. Within and across each of these areas, due consideration will be given to simplicity, consistency, and coherence. The coherence of the personnel system is paramount. We will not, for example, sacrifice the integrity of diversity goals for the sake of the simplification of the hiring process.

FRAMEWORK

The overall framework will provide for a definition of employee roles and employment types, competitive compensation and benefits structure and philosophy, and civil service protections and employee rights. The following outlines the existing framework rules and policies and comments on how future rules and policies will be established/changed, if at all. This will be presented using our current terminology of unclassified and classified staff.

I. Definitions

Unclassified Staff

Unclassified staff include faculty, academic staff, limited appointees, student assistants and employees-in-training. Each of these is discussed separately.

Faculty

Current Rules and Policies

Chapter 36 of the Wisconsin Statutes provides the definition of faculty and outlines the faculty responsibilities in a shared governance environment including responsibility for faculty personnel matters. Faculty is defined as those staff holding the rank of professor, associate professor, assistant professor or instructor. Chapters UWS 3 through 8 of Wisconsin Administrative Code provide the framework upon which faculty personnel rules are developed, including faculty appointments, procedures for dismissal for cause, layoff and termination for reasons of fiscal emergency, complaints and grievances; dismissal of faculty in special cases, and code of ethics. Faculty personnel rules and procedures developed pursuant to chs. UWS 3 through 8 by the faculty of each institution and approved by the Chancellor are forwarded to the Board of Regents for its approval. Once approved, these policies and procedures shall be in force and effect as rules of the Board.

Future Rules and Policies

The existing faculty policies and procedures need not change as part of the development of the new university personnel systems, unless such need for change is identified by stakeholders and established working groups and brought forward through the faculty shared governance process.

Academic Staff

Current Rules and Policies

Chapter 36 of the Wisconsin Statutes provides the definition of academic staff and outlines the academic staff responsibilities in a shared governance environment including responsibility for academic staff personnel matters. Academic staff is defined as professional and administrative personnel, other than faculty and classified staff, with duties and types of appointments that are primarily associated with higher education institutions or their administration. Wis. Stat. § 36.15(2) authorizes the Board of Regents to make academic staff appointments subject to certain oversight by OSER as detailed in s. 36.09(1)(i). Chapter UWS Chapters 8 through 13 of the Wisconsin Administrative Code provides the framework upon which academic staff personnel rules are developed including academic staff appointments, procedures for dismissal for cause, layoff for reasons of budget or program, fiscal emergency, and complaints and grievances. Academic staff personnel rules and procedures developed by the academic staff of each institution pursuant to chs. UWS 8 through 13 are in full force and effect when approved by the Chancellor and forwarded to the Board.

Future Rules and Policies

The existing academic staff policies and procedures will remain the same unless such need for change is identified by stakeholders and established working groups and brought forward through the academic staff governance process. It is important to note that Act 32 repealed s. 36.09(1)(i), effective July 1, 2013. The repeal of s. 36.09(1)(i) will give the Board the authority to make academic staff appointments as provided in s. 36.15(2) without OSER oversight.

Limited Appointees

Current Rules and Policies

Chapter 36 of the Wisconsin Statutes and Chapter UWS 15 of the Wisconsin Administrative Code define limited appointments as those appointments that serve at the pleasure of the appointing authority. The statutes and code require specific positions be designated as limited appointees (e.g., President, Chancellor, etc.) and also give the Board, the President, and the Chancellor the authority to designate other positions as limited. Termination of a limited appointment is not a dismissal and is not otherwise appealable. Chapter UWS 8, Unclassified Staff Code of Ethics applies to limited appointees.

Future Rules and Policies

The rules for limited appointees will remain the same unless some need for change is identified.

Student Assistants and Employees-in-Training

Current Rules and Policies

Chapter 36 of the Wisconsin Statutes and Chapter UWS 16 of the Wisconsin Administrative Code states that the Board of Regents may authorize appointments of student assistants and employees-in-training such as residents, interns, post-doctoral fellows or trainees or associates. Appointments made pursuant to this section shall not be subject to the provisions of ss. 36.13 and 36.15, Stats., and chs. UWS 1 to 15.

Policies and procedures for such appointments shall be determined as appropriate by the president or the chancellor of each institution after consultation with appropriate faculty and with appropriate student assistants and employees-in-training. Teaching and project assistants at UW-Madison and UW-Milwaukee have been represented by unions in the past, although they currently have not certified a bargaining representative.

Future Rules and Policies

The policies and procedures for student assistants and employees-in-training at each UW institution need not change as part of the development of the new university personnel systems, unless such need for change is identified by stakeholders and established working groups. Each institution would determine the appropriate process for reviewing and initiating any such changes.

Classified Staff

Current Rules and Policies

Classified staff now consist of employees subject to and exempt from the Fair Labor Standards Act (FLSA). The compensation plan approved by JCOER, effective January 1, 2012, encompasses the terms of employment for all classified staff. Both FLSA exempt and non-exempt classified employees are covered by the civil service provisions contained in Chapter 230 and applicable chapters of the Wisconsin Administrative Code. OSER is charged with administering all aspects of the classified service. OSER delegates some decision making to UW System and other agencies, but OSER retains final authority.

Future Rules and Policies

On July 1, 2013, Chapter 230 civil service provisions will no longer apply to any UW System employees; therefore, much of the work in developing a new personnel system will involve developing policies and procedures applicable to the employees currently categorized as classified staff. Going from the current state to the future state for these employees will require an exhaustive review of existing policies and procedures. This review will require an examination of the provisions contained in Chapter 230, of the regulations that interpret those provisions, and of the terms contained in the compensation plan that applies to all classified employees. Many aspects of the current state personnel system will likely remain; however, the following are some areas that need to be addressed for possible change as we consider the unique needs of higher education and our UW System institutions:

- Transfer, specifically how and if an employee may be able to transfer across and between the UW System, UW-Madison and other State agencies.
- Flexibility in compensation, including recognition of work experience outside of state or university service in establishing compensation and benefits for new hires.
- Code of Ethics (Act 32 directed that one code of ethics be established that covers all university employees.)

Before changes are made in the above or other yet-to-be identified areas, classified staff advisory committees at each UW System institution will be consulted. In addition, opportunities for comment will be sought from all university staff.

II. Competitive Compensation and Benefits

Pay Plan and Base Adjustments - Unclassified Staff

Current Pay Plan and Base Adjustments

The Board of Regents' unclassified pay plan requests must be submitted to OSER and then approved by JCOER. (§ 230.12(3)(e)). Per s. 36.09(1)(j) *Wis. Stats.*, the use of base funds for salary adjustments outside of the approved pay plan is allowed for four specific reasons to: (1) correct salary inequities, (2) fund job reclassifications, (3) fund promotions, and/or (4)

recognize competitive factors. Exceptional performance is not an approved reason to use base funds to adjust salaries.

The Section 9152 of the 2011-13 biennial budget authorized the Board of Regents and UW-Madison chancellor to provide supplemental pay plans for all its employees. These supplemental pay plans are in addition to any approved pay plan under § 230.12(3)(e).

The Board of Regents has established guidelines for the distribution of pay plan funding. The Board of Regents has directed each Chancellor to use a suitable evaluation system to assess performance and to distribute pay plan increases on a merit basis. Chancellors also have the option to distribute 10% of the pay plan to address compression or other retention issues. The UW System is already prioritizing and determining, by institution, how to distribute funds to deal with meritorious performance, equity, market, compression, and retention. This process works well but has been constrained by limited or no pay plan funding.

Pay Plan and Base Adjustments - Classified Staff

Current Pay Plan and Base Adjustments:

OSER seeks input from the UW System on the needs it would like addressed in the nonrepresented classified staff pay plan then develops and submits to JCOER a compensation plan request for both represented and nonrepresented classified employees. The compensation plan also includes the authority to provide compensation adjustments for merit, pay equity, and retention. OSER must approve any such requests for compensation adjustments.

Pay Plan and Base Adjustments - All University Employees

Future Pay Plan and Base Adjustments

With additional flexibilities and provided resources are available, the Board of Regents will be able to establish a competitive compensation structure that will allow UW institutions to attract and retain quality staff, that will provide the flexibility needed to reward meritorious performance, and that will achieve equitable salary relationships. It is not now known whether unions will recertify and seek to bargain over pay. If any unions are recertified, negotiations will be restricted to bargaining over total base wages. (See § 111.91(3)(a)).

The 2011-13 biennial budget did not change the role of OSER and JCOER in pay plan approvals. Pay plan requests from the Board of Regents and the UW-Madison chancellor must be submitted to OSER and then approved by JCOER. (§ 230.12(3)(e)). Section 230.12(3)(e) still provides:

The proposal [for adjusting compensation] shall be based upon the competitive ability of the board of regents to recruit and retain qualified faculty and academic staff, data collected as to rates of pay for comparable work in other public services, universities and commercial and industrial establishments, recommendations of the board of regents and any special studies carried on as to the need for any changes in compensation and employee benefits to cover each year of the biennium. The proposal shall also take proper account of prevailing pay rates, costs and standards of living and the state's employment policies. The proposal for such pay adjustments may contain

recommendations for across-the-board pay adjustments, merit or other adjustments and employee benefit improvements.

Changes are needed to provide for a one-step budget and pay plan funding approval process by the legislature. Statutory change including funding for pay plan salary increases and flexibility to use base funds to recognize meritorious performance is needed to accomplish the changes needed to maintain a high quality diverse workforce.

Need for Competitive Compensation

- 1) Recruitment challenges with faculty and staff because of lack of competitive salaries.
- 2) Retention challenges with faculty and staff because of stagnant salaries.
- 3) Regional, national, and international market competition for faculty, staff, and academic and administrative leaders.

UW System's need for institution-specific competitive compensation was most recently highlighted through the work of the 2010 Competitive University Workforce Commission (CUWC). President Reilly established and charged the CUWC to measure current compensation levels for the purpose of identifying where the UW is not competitive with peer institutions. The findings of the CUWC revealed significant and varied gaps in compensation with existing peer institutions and the need to look further to use more institution specific peer comparisons to better understand the full nature of the competitive challenges. The recommended changes of including pay plan funding in the budget request and the authority to use base funding for recognition of meritorious performance will provide the UW System with the additional tools needed to address the findings of the CUWC. The CUWC report is available at the following URL: http://www.wisconsin.edu/assets/sites/growth_agenda/docs/2011-13/CUWC-final-report.pdf.

Proposed Solutions

- 1.) Annual pay plan adjustments:
 - a) Cost of living increases for solid performance should be across the board increases.
 - b) Increases that exceed the cost of living should be strictly merit based.
 - c) Funding for adjusting compensation should be included in biennial budget.
 - d) Pay plan will be approved by the Board of Regents without going to OSER and JCOER.
- 2.) Salary Adjustments beyond the annual pay plan will be of two types and will be paid for using institutional resources:
 - a) Base salary adjustments based on competitive factors, equity, promotions, change in duties, and to recognize meritorious performance.
 - b) Lump sum payments (non-base building) may be made for signing/recruitment bonuses, meritorious performance, competitive factors, equity, and temporary change in duties.
- 3.) Supplemental pay plans would not be needed with the changes noted in #1 and #2 above.

Funding to support adjustments to base pay and one-time payments should be included as part of the biennial budget. The amount requested from the state compensation reserve to

support salary adjustments for all employees should be at a level to cover, on average, the projected cost of living increases over the biennium. Chancellors would be delegated the authority to determine salary adjustments for all employees. Such adjustments would include annual base adjustments to recognize solid performance and meritorious performance. In addition, Chancellors would have the authority to use base funds, tuition, program revenue, and extramural support as appropriate to provide additional salary adjustments or lump sum payments to respond to market needs, salary inequities, promotions/change in duties, extraordinary work load, and performance that could not be fully recognized with pay plan funding.

Represented employees, who may be provided with cost of living wage adjustments as a result of collective bargaining, may also be eligible for competitive factor adjustments to address market considerations at individual UW institutions.

Benefits for all University Employees

Current Benefits

UW employees receive benefits pursuant to statutory provisions, administrative rules, Board of Regents policies, and UW System policies. Summaries of benefits for classified and unclassified employees may be found on the UW System website (www.wisconsin.edu/hr/benefits/).

Some of the benefits received by classified and unclassified employees differ. Pursuant to s. 230.35(2) and s. ER 18.03(2), classified employees earn .0625 hours of sick leave credits for each hour in pay status up to 5 hours biweekly. Unclassified employees receive sick leave benefits pursuant to rules promulgated by the Board of Regents. Under Chapter UWS 19, they receive an initial 22 day allocation of sick days, and after 18 months of service receive one day per month or six days per semester (pro-rated for part-time employment). Vacation benefits also differ. Classified employees' vacation hours increase with increased years of service. (s. 230.35(1)). Unclassified employees on 12-month contracts receive 22 vacation days per year (pro-rated for part-time employment) regardless of their years of service (unclassified employees on 9-month contracts are not eligible for vacation).

Future Benefits

Benefits will continue to be received pursuant to the existing statutory provisions, administrative rules, and UW System policies. The establishment of new personnel systems provides an opportunity for discussion of benefits that currently are or will be under the authority of the Board of Regents to consider if changes are needed and or are desirable. Such considerations need not be completed before the new personnel systems are implemented.

Biennial state budgets will continue to have an impact on some employee benefit levels. One effect of 2011 Wisconsin Act 10 (the 2009-11 Budget Repair Bill) is that employee benefits are prohibited subjects of bargaining for most state employees; therefore, there will be no bargaining related to the benefits of classified UW employees, and employee benefits will no longer be included in collective bargaining agreements.

Wisconsin Retirement System and associated benefits will remain in place for eligible employees. Following is a partial list of these benefits:

- Wisconsin Retirement System pension plan
- State Group Health Insurance Program
- State Group Life Insurance Program
- Employee Reimbursement Account Program
- Income Continuation Insurance Program
- Deferred Compensation Plans
- Accumulated Sick Leave Conversion and Supplemental Health Insurance Conversion Credit Programs

Just as there will be a thorough review of the Chapter 230 civil service provisions that affect classified employees, there will be an examination of the benefit provisions contained in collective bargaining agreements. Some of these provisions may be retained in the new policies and procedures.

III. Civil Service Protections and Employee Rights

Wis. Stat. § 36.115 (See Attachment 1) brings the most changes for those university employees currently categorized as classified. Under existing law, civil service protections for classified employees are contained in Chapter 230, and these protections are administered by OSER. But effective July 1, 2013, civil service protections will be included in the new university personnel systems, and they will no longer be administered by OSER.

All UW System employees have long been hired and employed under a civil service system. A civil service system generally means employment in government with such positions filled on merit as a result of competitive examinations or screening. Employment in civil service brings with it certain rights regarding job security; namely, that in most civil service appointments discipline or termination can only occur when there is just cause and after due process has been provided.

Under Wis. Stat. § 36.115 the new personnel systems must include the following components for all employees:

- A civil service system
- A grievance procedure that addresses employee terminations and that provides that the grievant has the right to a hearing before an impartial hearing officer
- Provisions that address employee discipline and workplace safety

Unclassified Staff

Current Protections and Rights

The civil service rights of unclassified employees are set forth in Chapters UWS 2 through 8 of the Wisconsin Administrative Code which provide a framework for the establishment of institutional personnel policies and procedures including recruiting procedures

and grievance procedures that allow employees to contest actions which affect their job security or conditions of employment.

Future Protections and Rights

Existing rules, policies, and procedures for faculty and academic staff will not change as a result of the development of new personnel systems unless a need for change is identified by stakeholders and established working groups. If a need for change is identified, there will be ample opportunity for shared governance organizations to participate in the discussions relating to any proposed changes.

Classified Staff

Current Protections and Rights

The civil service protections and rights of classified employees are now set forth in Chapter 230 of the Wisconsin Statutes. UW System and UW-Madison have delegated authority for some aspects of the classified personnel system, but OSER maintains the authority to administer the system. If classified employees are represented by a union, those employees are now in a statewide bargaining unit, and OSER bargains with the unions.

Future Protections and Rights

Wis. Stat § 36.115(6) contains a grandfather clause providing current employees (i.e. “employees holding positions in the classified or unclassified service of the civil service system under ch. 230 on June 30, 2013”) with rights that subsequent employees will not necessarily have. Under section 36.115(6) UW System employees who have rights under Chapter 230 on June 30, 2013, will retain the rights set forth in sections 230.34 (1) (a) and 230.44 (1) (c). Under Wis. Stat. § 230.34(1)(a) a classified staff employee with permanent status in class “may be removed, suspended without pay, discharged, reduced in base pay or demoted only for just cause.” Under Wis. Stat. § 230.44(1)(c) these employees “may appeal a demotion, suspension, discharge, layoff, or reduction in base pay to the commission [i.e. to the Wisconsin Employment Relations Commission], if the appeal alleges that the decision was not based on just cause.” The new personnel systems will protect these and other rights originating from Chapter 230 in methods and structures discussed and recommended by stakeholders and established working groups.

STATUTORY CHANGES

Certain statutory provisions may interfere with the legislature’s intent for the new personnel systems to be independently administered by UW System and UW-Madison. The following inconsistencies have been identified thus far:

- **DISCRETIONARY MERIT PAY:** Existing authority for providing discretionary merit pay for employees will no longer be available to any University employees once separate and distinct personnel systems are in place under Wis. Stat. § 36.115. Such authority will need to be added to existing Board of Regents authority under Wis. Stat. § 36.09(1)(j)

which currently states as follows:... “The board may not increase the salaries of employees under this paragraph unless the salary increase conforms to the proposal as approved under [s. 230.12 \(3\) \(e\)](#) or the board authorizes the salary increase to correct salary inequities under [par. \(h\)](#), to fund job reclassifications or promotions, or to recognize competitive factors.”

- **EMPLOYEE RIGHTS:** Wis. Stat. § 36.115 brings changes for those university employees currently categorized as classified. Certain civil service protections for classified employees are provided in Chapter 230, Wis. Stat. and are administered by OSER. In order for the same civil service protections to apply to university employees in the new university personnel systems, the protections will need to be moved from Chapter 230 to Chapter 36, Wis. Stats.
- **LABOR RELATIONS:** As Chapter 111 is currently written, the Office of State Employment Relations (OSER) and the Wisconsin Employment Relations Commission (WERC) would retain jurisdiction and responsibility over UW-Madison’s and UW System’s labor relations policies, practices, and regulations. Labor relations laws that cover UW System and UW Madison employees should be moved to Chapter 36.
- **RETIREMENT SYSTEM:** Employees in each new university personnel system will remain a part of the Wisconsin Retirement System (WRS). However, it may be that laws which govern the WRS have not yet been amended as necessary to authorize the Department of Employee Trust Funds (ETF) to continue to administer benefit programs on behalf of UW System employees.

CONCLUSION

UW Staff and work teams are making significant progress in creating new personnel systems, separate from the state personnel system, for all UW employees. These systems are being designed to be simple, consistent, and coherent at their core, and to better reflect the unique personnel needs of the UW System. Limited “Clean-up” statutory language is needed to fix drafting oversights that occurred as part of the massive budgetary bill drafting process in order for these systems to operate efficiently and as legislatively intended.

While these new personnel systems will help the UW System operate more efficiently, the Competitive University Workforce Commission noted that they will do little to help the UW address the national and international competition that it faces for faculty and staff unless the Board of Regents has authority to set compensation levels for UW employees. New legislation would also be required in order to achieve this important need.

**Special Legislative Task Force on UW Restructuring and Operational Flexibilities
Background and Issues Paper for Topic #2
Prepared by UW System Administration**

“How system employees and those system employees assigned to the University of Wisconsin-Madison would transition from the state personnel system to the new personnel systems.”

Background

The 2011-13 biennial budget (Act 32 of 2011) created s. 36.115 (see below), authorizing and directing the development of personnel systems separate and distinct from the personnel system under ch. 230 for all University of Wisconsin-Madison employees and separately a personnel system for the balance of all University of Wisconsin System employees. Ultimately both personnel systems require Joint Committee on Employment Relations (JCOER) approval before being implemented. The statute directs that the new personnel systems be implemented on July 1, 2013.

There are approximately 28,100 unclassified employees across the University of Wisconsin System (approximately 13,000 academic staff, 1,300 limited appointees, 7,000 graduate assistants, and 6,800 faculty). The Board of Regents has authority and administrative responsibility for the unclassified personnel system under Chapter 36. There are approximately 12,300 classified employees across the University of Wisconsin System. The Office of State Employment Relations has authority and administrative responsibility for the classified personnel system under Chapter 230. Act 32 gives authority and administrative responsibility for the new university personnel systems to the UW-Madison Chancellor for all University of Wisconsin-Madison employees and separately to the Board of Regents for all employees for the balance of the University of Wisconsin System.

Act 32 also provides specific direction in s. 36.115(6) on the protections and rights of classified employees with permanent status on June 30, 2013 and those who have not yet achieved permanent status as of June 30, 2013. Included in these protections specifically are those relating to demotion, suspension, discharge, layoff, or reduction in base pay as well as reinstatement privileges to the state classified personnel system. As for unclassified staff, Act 32 did not make any changes to the protections available through ch. 36 and the resulting administrative code.

It is prudent that these two personnel systems (structures) be developed in a collaborative manner. The personnel systems for UW-Madison and for the balance of the UW System need to be developed such that they can be served by the extant enterprise resource planning computer support system, are compatible one with the other, and provide the protections and privileges to current employees as of June 30, 2013, as directed by statute.

Issues/Questions

It may be premature to address the question posed in the statute in that the transition to the new personnel systems will be defined as the new personnel systems are developed. The

University Personnel System Task Force established by President Reilly and co-chaired by Chancellor Shields and Vice Chancellor Bazzell will discover issues and answer questions regarding the structure of the new personnel systems and transition into them within the context of the direction provide in s. 36.115. In addition, while not specifically stated in Act 32, the working assumption is that UW System employees will continue to be covered by the state retirement and health care benefits programs.

Another area that might have been anticipated for Legislative Task Force consideration is other benefits, such as sick leave, vacation, and personal holidays which are paid for by the employer, and optional benefits such as life insurance, optional defined contribution retirement plan, and supplemental retirement programs which are paid for by the employee.

Wis. Stat. § 36.115 Personnel Systems

- (1) In this section, "chancellor" means the chancellor of the University of Wisconsin-Madison.
- (2) The board shall develop a personnel system that is separate and distinct from the personnel system under ch. 230 for all system employees except system employees assigned to the University of Wisconsin-Madison.
- (3) The chancellor shall develop a personnel system that is separate and distinct from the personnel system under ch. 230 for all system employees assigned to the University of Wisconsin-Madison.
- (3m) The board shall set the salary ranges for all of the following positions:
- (ae) Each of the vice chancellors who is serving as deputy at the University of Wisconsin System campuses at Eau Claire, Green Bay, La Crosse, Oshkosh, Parkside, Platteville, River Falls, Stevens Point, Stout, Superior, and Whitewater and each of the vice chancellors who is serving as deputy at the University of Wisconsin Colleges and the University of Wisconsin-Extension.
- (am) The vice presidents of the University of Wisconsin System.
- (ar) The chancellors at the University of Wisconsin System campuses at Eau Claire, Green Bay, La Crosse, Oshkosh, Parkside, Platteville, River Falls, Stevens Point, Stout, Superior, and Whitewater and the chancellors of the University of Wisconsin Colleges and the University of Wisconsin-Extension.
- (b) The vice chancellor who is serving as deputy at the University of Wisconsin-Milwaukee.
- (bm) The senior vice presidents of the University of Wisconsin System.
- (c) The vice chancellor who is serving as deputy at the University of Wisconsin-Madison.
- (d) The chancellor at the University of Wisconsin-Milwaukee.
- (e) The chancellor at the University of Wisconsin-Madison.
- (f) The president of the University of Wisconsin System.
- (g) The associate and assistant vice presidents, vice chancellors not identified in pars. (ae), (b), or (c), assistant chancellors, associate and assistant vice chancellors, and administrative directors and associate directors of physical plant, general operations and services, and auxiliary enterprises activities or their equivalent, of each University of Wisconsin institution, the University of Wisconsin-Extension, and the University of Wisconsin System administration.
- (4) The personnel systems developed under subs. (2) and (3) shall include a civil service system, a grievance procedure that addresses employee terminations, and provisions that address employee discipline and workplace safety. The grievance procedure shall include all of the following elements:
- (a) A written document specifying the process that a grievant and an employer must follow.
- (b) A hearing before an impartial hearing officer.

(c) An appeal process in which the highest level of appeal is the board.

(5) (a) The personnel systems developed under subs. (2) and (3) shall be implemented on July 1, 2013.

(b) The board may not implement the personnel system developed under sub. (2) unless it has been approved by the joint committee on employment relations.

(c) The chancellor may not implement the personnel system developed under sub. (3) unless it has been approved by the joint committee on employment relations.

(6) All system employees holding positions in the classified or unclassified service of the civil service system under ch. 230 on June 30, 2013, shall be included in the personnel systems developed under subs. (2) and (3). System employees holding positions in the classified service on June 30, 2013, who have achieved permanent status in class on that date, shall retain, while serving in the positions in the system, those protections afforded employees in the classified service under ss. 230.34 (1) (a) and 230.44 (1) (c) relating to demotion, suspension, discharge, layoff, or reduction in base pay. Such employees shall also have reinstatement privileges to the classified service as provided under s. 230.31 (1). System employees holding positions in the classified service on June 30, 2013, who have not achieved permanent status in class on that date are eligible to receive the protections, privileges, and rights preserved under this subsection if they successfully complete service equivalent to the probationary period required in the classified service for the positions which they hold on that date.

**Special Legislative Task Force on UW Restructuring and Operational Flexibilities
Background and Issues Paper for Topic #4
Prepared by UW System Administration**

“How compensation plans for system employees should be determined in future biennia.”

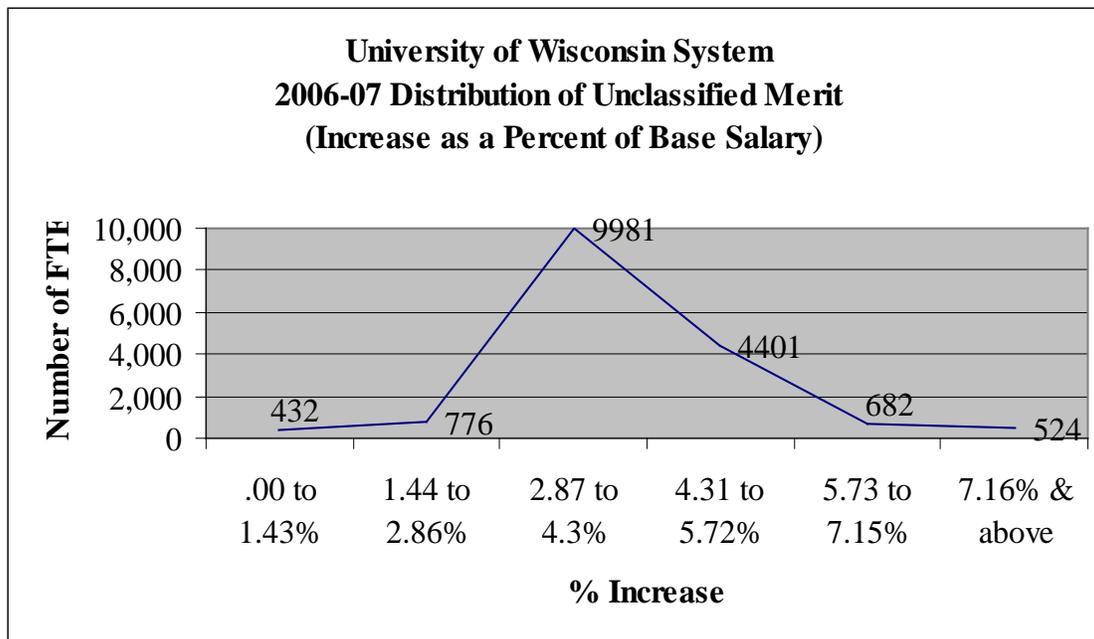
Background on General Pay plans and Base Salary Adjustments

Unclassified Staff (Faculty, Academic Staff, and Limited Appointees)

The Board of Regents has established guidelines for the distribution of pay plan funding. The Board of Regents has directed each chancellor to use a suitable evaluation system to assess performance and to distribute pay plan increases on a merit basis. For example, with a 2% increase in July and an additional 2.25% in April, as was the case in 2006-07, the institutions were to distribute at least 1/3 to employees who were deemed to have satisfactory performance, 1/3 on the basis of merit/market, and the other third could be composed of some portion of these two or other areas that the campus deems high priority. In addition, chancellors have the option to distribute 10% of the pay plan to address compression or other retention issues.

This is different from the way that the state agencies distribute pay plan. If there is a 2% increase in July with a 2.25% increase in April (as was the case in 2006-07) any non-represented employee with satisfactory performance received those increases.

The University is already prioritizing and determining, by institution, how to distribute funds to deal with meritorious performance, equity, labor market information*, compression, and retention. This process works well but has been constrained by limited or no pay plan funding. The following chart shows how the 2006-07 unclassified pay plan was distributed.



*For 2011-13, the Board of Regents approved guidelines that excluded market determinations for the distribution of pay plan funds and allowed distribution only for meritorious and solid performance.

Any Board of Regents' unclassified pay plan requests must be submitted to the Office of State Employment Relations (OSER), and then approved by JCOER (Wis. Stat. § 230.12(3)(e)). Per Wis. Stat. § 36.09(1)(j), the use of base funds for salary adjustments outside of the approved pay plan is allowed for four specific reasons to: (1) correct salary inequities, (2) fund job reclassifications, (3) fund promotions, and/or (4) recognize competitive factors. Exceptional performance is not an approved reason to use base funds to adjust salaries. Institutions have developed, through faculty and academic staff governance, policies on the distribution of reallocated base funds. Typically pay plans have been funded 65% from the State compensation reserve and 35% from tuition. However, there have been times when more was required to be funded from tuition.

Classified Staff

OSER seeks input from the UW System on the needs it would like addressed in the nonrepresented classified staff pay plan and then develops and submits to JCOER a compensation plan request for both represented and nonrepresented classified employees. The compensation plan also includes the authority to provide compensation adjustments for merit, pay equity, and retention. OSER must approve any such requests for compensation adjustments.

Modifications based on Wisconsin Act 32

Effective July 1, 2013, the Board of Regents must submit to the Office of State Employment Relations (OSER) its proposal for adjusting compensation for all employees. Currently the Board only submits recommendations for adjusting the compensation of unclassified staff to the director of OSER. This change is required by Act 32, which amended Wis. Stat. § 230.12(3)(e)1 (See Attachment A). Under the new law, the Board of Regents and the Chancellor of the University of Wisconsin-Madison submit separate recommendations. OSER then submits a proposal for adjusting compensation to JCOER for approval. Act 32 also authorizes the Board of Regents, effective July 1, 2013, to set the salary ranges for UW System Vice Presidents, non-doctoral Vice Chancellor/Provosts, and for academic staff and limited appointees. Act 32, section 9152 (Attachment B), also authorizes supplemental pay plans for the 2011-2013 biennium for the University of Wisconsin-Madison and separately for the balance of the University of Wisconsin System. The supplemental pay plans would be self-funded and require Joint Committee on Employment Relations (JCOER) approval.

Issues/Questions

The Task Force needs to address the supplemental pay plan authority which has only been granted for the 2011-13 biennium, the base pay plan authority as amended in § 230.12(3)(e)1, and a change to § 36.09(1)(j) (Attachment C).

Need for Competitive Compensation

- 1) Recruitment challenges with faculty and staff because of lack of competitive salaries.
- 2) Retention challenges with faculty and staff because of stagnant salaries.
- 3) Regional, national, and international market competition for faculty, staff, and academic and administrative leaders.

The UW System's need for institution specific competitive compensation was most recently highlighted through the work of the Competitive University Workforce Commission (CUWC). President Reilly established and charged the CUWC in early 2010 to measure current compensation levels for the purpose of identifying where the UW is not competitive with peer institutions. The Commission was also asked to make recommendations on how best to close any competitive gap in compensation it identifies. The findings of the CUWC revealed significant and varied gaps in compensation with existing peer institutions and the final report recommended the use of more institution specific peer comparisons to better understand the full nature of the competitive challenges faced collectively and as individual institutions.

Beginning July 1, 2013 the Board of Regents will be bargaining with unions representing current classified employees. Act 32 limits bargaining to wages only and places a cap on wage increases to the cost of living increase.

Compensation Philosophy Statements: University of Minnesota, University of Illinois, and University of Michigan

The following summaries of compensation philosophies at neighboring higher education institutions are provided to show the important role that equity, market, and recognition of productivity and performance of employees play in their compensation strategies. UW System institutions do not have the flexibility to use all available resources to employ similarly effective compensation strategies.

University of Minnesota

The University's compensation philosophy is reflected through the following guidelines:

- Ensure internal equity amongst University classifications
- Achieve and maintain appropriate labor market competitive salary levels
- Provide flexibility to address collegiate or unit needs while maintaining parameters established for the entire institution
- Recognize and reward

Labor market information is critical to ensure fair compensation and in order to attract and retain University employees. It also provides management at the University with meaningful information to assist in the effective allocation of resources. Department management within its budgeted fiscal resources ultimately decides upon compensation practices and philosophies.

University of Illinois at Urbana-Champaign

The University of Illinois at Urbana-Champaign is committed to providing fair and competitive compensation for its academic professional employees. The campus maintains a salary minimum for academic professional employees. Beyond this minimum, individual units (colleges, divisions, schools, and/or departments) are encouraged to establish appropriate compensation for academic professional positions. Such determinations take into account many factors to be considered with respect to compensation, including (but not limited to):

- Employment market factors
- Specialized knowledge/education/skills required for the position
- Level of experience required for the position
- Scope and complexity of responsibilities required in the position, including but not limited to supervision/management
- Location of the position, if situated somewhere other than on the Urbana campus

- Productivity of the employee
- Performance of the employee

University of Michigan

The University of Michigan provides direct compensation, benefits and career-related investments that:

- Attract, retain, reward and motivate the productivity and commitment of highly qualified, diverse faculty and staff.
- Provide flexibility appropriate to the dynamic challenges facing the University and to differences across the schools, colleges and campuses.
- Help the University compete successfully for employees with the mix of disciplines and skills vital to its missions.
- Set pay in consideration of similar educational, research, and service organizations and recruiting markets while also within the University's resources.
- Are tax-effective for employees while meeting all legal, contractual, and compliance requirements.
- Are fiscally responsible.

Attachment A

SECTION 2764G. 230.12 (3) (e) 1. of the statutes is amended to read:

230.12 (3) (e) 1. The director, after receiving recommendations from the board of regents and the chancellor of the University of Wisconsin-Madison, shall submit to the joint committee on employment relations a proposal for adjusting compensation and employee benefits for University of Wisconsin System employees ~~under ss. 20.923 (4g), (5) and (6) (m) and 230.08 (2) (d) who are not included in a collective bargaining unit under subch. V or VI of ch. 111 for which a representative is certified. The proposal shall include the salary ranges and adjustments to the salary ranges for the university senior executive salary groups 1 and 2 established under s. 20.923 (4g).~~ The proposal shall be based upon the competitive ability of the board of regents to recruit and retain qualified faculty and academic staff, data collected as to rates of pay for comparable work in other public services, universities and commercial and industrial establishments, recommendations of the board of regents and any special studies carried on as to the need for any changes in compensation and employee benefits to cover each year of the biennium. The proposal shall also take proper account of prevailing pay rates, costs and standards of living and the state's employment policies. The proposal for such pay adjustments may contain recommendations for across-the-board pay adjustments, merit or other adjustments and employee benefit improvements. Paragraph (b) and sub. (1) (bf) shall apply to the process for approval of all pay adjustments for ~~such~~ University of Wisconsin System employees ~~under ss. 20.923 (4g), (5) and (6) (m) and 230.08 (2) (d).~~ The proposal as approved by the joint committee on employment relations and the governor shall be based upon a percentage of the budgeted salary base for ~~such~~ University of Wisconsin System employees ~~under ss. 20.923 (4g), (5) and (6) (m) and 230.08 (2) (d).~~ The amount included in the proposal for merit and adjustments other than across-the-board pay adjustments is available for discretionary use by the board of regents.

Attachment B

SECTION 9152. Nonstatutory provisions; University of Wisconsin System.

(1c) SUPPLEMENTAL PAY PLANS DURING 2011-13 FISCAL BIENNIUM.

(a) *Board of Regents of the University of Wisconsin System.* During the 2011-13 fiscal biennium, the Board of Regents of the University of Wisconsin System may provide supplemental pay plans for all of its employees, other than employees assigned to the University of Wisconsin-Madison. The supplemental pay plans shall be in addition to any pay plan approved under section 230.12 (3) (e) 1. of the statutes. The board shall submit the plans to the joint committee on employment relations, and the plans may be implemented only upon approval of the committee. The board may not request supplemental funding under section 20.928 of the statutes to pay the costs of these plans and the board, under section 16.42 of the statutes, may not request any funding of increases in salary and fringe benefit costs provided in these plans.

(b) *Chancellor of the University of Wisconsin-Madison.* During the 2011-13 fiscal biennium, the chancellor of the University of Wisconsin-Madison may provide supplemental pay plans for all employees assigned to the University of Wisconsin-Madison. The supplemental pay plans shall be in addition to any pay plan approved under section 230.12 (3) (e) 1. of the statutes. ~~The chancellor shall submit the plans to the Board of Regents of the University of Wisconsin System. If the board approves the plans,~~ the chancellor shall submit the plans to the joint committee on employment relations and the plans may be implemented only upon approval of the committee. The board may not request supplemental funding under section 20.928 of the statutes to pay the costs of these plans and the board, under section 16.42 of the statutes, may not request any funding of increases in salary and fringe benefit costs provided in these plans.

Attachment C

36.09(1)(j)

(j) Except where such matters are a subject of bargaining with a certified representative of a collective bargaining unit under [s. 111.91](#) or [111.998](#), the board shall establish salaries for persons not in the classified staff prior to July 1 of each year for the next fiscal year, and shall designate the effective dates for payment of the new salaries. In the first year of the biennium, payments of the salaries established for the preceding year shall be continued until the biennial budget bill is enacted. If the budget is enacted after July 1, payments shall be made following enactment of the budget to satisfy the obligations incurred on the effective dates, as designated by the board, for the new salaries, subject only to the appropriation of funds by the legislature and [s. 20.928 \(3\)](#). This paragraph does not limit the authority of the board to establish salaries for new appointments. The board may not increase the salaries of employees specified in ~~ss. 20.923 (5) and (6) (m) and 230.08 (2) (d)~~ under this paragraph unless the salary increase conforms to the proposal as approved under [s. 230.12 \(3\) \(e\)](#) or the board authorizes the salary increase to correct salary inequities under [par. \(h\)](#), to fund job reclassifications or promotions, or to recognize competitive factors. ~~The board may not increase the salary of any position identified in s. 20.923 (4g) under this paragraph unless the salary increase conforms to the proposal as approved under s. 230.12 (3) (e) or the board authorizes the salary increase to correct a salary inequity or to recognize competitive factors. The board may not increase the salary of any position identified in s. 20.923 (4g) (ae) and (am) to correct a salary inequity that results from the appointment of a person to a position identified in s. 20.923 (4g) (ae) and (am) unless the increase is approved by the office of state employment relations.~~ The granting of salary increases to recognize competitive factors does not obligate inclusion of the annualized amount of the increases in the appropriations under [s. 20.285 \(1\)](#) for subsequent fiscal bienniums. No later than October 1 of each year, the board shall report to the joint committee on finance and the secretary of administration and director of the office of state employment relations concerning the amounts of any salary increases granted to recognize competitive factors, and the institutions at which they are granted, for the 12-month period ending on the preceding June 30.