

Chapter 1

Adding or Replacing Faculty and Staff

Criteria for Allocating Faculty Resources

As the college works to deal with faculty vacancies, it is critical that we are able to articulate our highest priority needs. First, by setting forth the conditions for allocating scarce personnel resources, we allow departments and programs an opportunity to assess the credibility and extent of their needs. Second, by setting benchmark criteria, we build a rational basis for long-term planning. And third, a clear presentation of our needs allows the University and its larger community to understand how well we manage our resources.

The criteria which follow are not checklists, nor are they inclusive. Every department in the College has its own needs; no single set of criteria can serve all units or programs. Nonetheless, the criteria do suggest the basic arguments which support continuing or adding to staffing resources and the conditions under which the request for allocating faculty resources is justified.

First is an argument based on numbers. It could be argued that an additional faculty member is needed because the ratio of SCH to FTE is disproportionately high, or the number of majors per FTE is too high for effective advising. Within the broad category of numbers is also the argument that the pedagogical approach requires section sizes smaller than average.

Second is the argument based on the presence of a scandalous curricular gap: the department curriculum suffers from a majority gap because a certain set of needed expertise is absent in the faculty. In the absence of other factors, in order for this argument to be compelling the gap must be so large as to threaten the very integrity of the program. Alternatively, the department could argue that a smaller curricular gap, when taken into account with other factors, justifies the allocation of new resources.

Third is an argument based on the expansion of the discipline. In effect, the unit or program could argue that additional faculty resources are needed to keep up with a growing or newly created body of knowledge. An effective argument will also demonstrate that the new area of learning is a stable part of the discipline and likely to endure.

None of these arguments is inherently more compelling or more important than the other. There are also other considerations which may contribute to the strength of a program's arguments:

Diversity: The position will assist students in becoming effective citizens by diversifying the curriculum or faculty with respect to race, gender, ethnicity, or sexual orientation.

Interdisciplinary Efforts: The position would assist students in integrating knowledge from a variety of fields.

Writing Across the Curriculum: The position will allow or strengthen the College's efforts to expose students to writing in their discipline and improve their writing skills.

Critical Thinking: The position will significantly advance the College's goal of enhancing the critical thinking skills of students.

Finally, it is crucial that a department or program, which requests additional faculty resources also discusses related advantages. For instance, will the position increase student access to general education courses? Will students have more options within the major? Will it support, enhance, or encourage scholarly activity within the unit? Will the allocation permit interdisciplinary efforts with other programs or departments?

A joint statement by the Dean and COLS Faculty Committee, 21 October, 1992

Requests for New Academic Positions

Because it is unlikely the College will receive significant numbers of new instructional positions, we have established a process that will assure the continued evolution and strengthening of the curriculum and the educational experiences we offer students. Each vacancy that occurs will be carefully evaluated to determine whether it needs to be filled and, if so, in what form. At the same time, it is vital that, in making these decisions, all who are involved have a knowledge of the College's unmet curricular needs. A responsive, responsible allocation of teaching resources not only helps the College maintain and increase its instructional quality, but provides us with the opportunity to make the strongest possible budgetary case for the resources we need.

- I. Requests for new academic positions:
(please use the form which follows this document)
 - A. Each year, the Dean will solicit requests for new academic positions. These requests can be for either tenure-track or academic staff positions. Each request will be submitted to the Dean on a single form to facilitate comparisons across disciplines. Interdisciplinary requests and requests jointly submitted by pairs of departments will be encouraged.
 - B. All requests, along with any divisional recommendations, will be forwarded to the Faculty Committee. The Committee will place each request in one of the following three categories and provide a rationale for its actions:
 1. **Highest priority:** the position is, on curricular and/or enrollment grounds, critical to the College. Additionally, the position is considered to be more important than a significant number of positions currently staffed in the College.
 2. **Second priority:** the position is, on curricular and/or enrollment grounds, an attractive addition to the curriculum of the College. It is not, however, viewed as more important than a significant number of positions currently staffed in the College.
 3. **Undesirable:** the position should not be filled because it is not congruent with the mission of the College.
 - C. Unless filled, a request that is placed in either of the first two categories will retain its ranking for three years. During that time, departments will submit to the Dean yearly updates to their requests. Once, annually, a department may request a re-ranking of proposals assigned **Second Priority**. After three years, all unfilled positions will be removed from the list; at that time a department may submit a fully updated request for ranking by the Faculty Committee.

II. Vacant positions (*please use the form which follows this document*)

- A. The department will have the right to request the return of any position that comes vacant through retirement, resignation or death.
- B. Any position coming vacant through the department's non-renewal of a probationary faculty member will normally be returned to the home department without review.
- C. The department will have the right to request that the position be returned in its current configuration or to request a redefinition of the position.
- D. If the lateness of the retirement, resignation or death does not allow a timely decision to return a tenure-track position and permit a full recruiting cycle, the position will usually be returned to the department as an One-Year-Only (OYO) academic staff allocation, pending a decision on a request to have the tenure-track position restored.

III. Relationship between requests for return of positions and new positions

- A. Whenever a position becomes vacant (see II.B above), the Dean will review relevant information, including the unit's most recent program review, and decide whether:
 - 1. The need for the return of the position is sufficiently compelling to justify it being returned to the department immediately in the form requested.
 - 2. The request needs further review.
- B. If the Dean decides the request needs further review, it will be sent to the Faculty Committee for its recommendation.
- C. The Faculty Committee will review all necessary data and recommend:
 - 1. The position should be assigned to one of the College's highest priority needs, as defined by its annual consideration of requests for new academic positions (see I, above). The College Committee may pass more than one such recommendation for reallocation, but in all cases it must state its reasons.
 - 2. If no recommendation for reallocation is made, it will be understood that its recommendation is to return the position to the department in which the vacancy occurred.
- D. Upon receiving the recommendation(s) of the Faculty Committee, the Dean will make a final decision about the vacancy.

Endorsed by the Faculty Committee on 23 September, 1992

FORM: Request for a New Academic Position

Due: _____

Department or Program _____ Date _____

Area of Specialization of Position _____

Tenure track
Full Time

Academic staff
Part Time

____ Specify Percentage FTE

Please answer all of the following questions. A meeting will be scheduled for a representative of the department/program to answer questions from the Faculty Committee about the information provided.

- Fully describe the position including area(s) of specialization and courses to be taught. Include documentation to show that the specialty is consistent with department long term plans. Such documentation could include department program reviews or other department planning or policy documents.
- Discuss the advantages of adding this position. Address the impact on the departmental major and on other majors in which the courses give credit, the effect of prerequisites for courses in other departments, the impact on general education requirements, and the impact on the BA/BS requirements.
- Discuss the consequences of not adding this position. Address the impact on the departmental major and other majors in which the courses give credit, the effect of prerequisites for courses in other departments, the impact on general education requirements, and the impact on BA/BS requirements.
- Describe current and projected faculty and academic staff workloads in the department. Include a table of classes taught in the last five years, with instructors' names and specialties, and enrollments. If low enrollment courses are regularly offered, provide a rationale for this scheduling.
- What additional resources, e.g. library holdings, permanent equipment, changes in S & E budget lines, office, studio, and/or office space, will be necessary to support this position?
- Discuss whether anyone currently on the faculty within the department/program has, or with modest retraining could acquire, the expertise necessary to cover the proposed curricular area. Similarly, discuss whether anyone in a related department/program could cover a portion of this curricular area.
- Outline, to the best of your ability, the projected retirements in your department/program and discuss how they might have an impact on this request.
- If more than one request for a new academic position has been submitted, rank them and provide a rationale for your ranking.

- Does this document represent the consensus view of the department/program?
If not, indicate areas of divergent opinion.

Signature of Chair

FORM: Return of a Vacant Position

Department or Program _____ Date _____

Name of Person Vacating Position _____

Tenure track

Academic staff

Issues to Be Addressed in Requesting the Return of a Vacant Position:

- Fully describe the position including areas of specialization and courses to be taught. If the position is being redefined, state the changes and provide a rationale.
- Discuss the consequence of **not** retaining the position. Address the effects on major and minor programs, general education offerings, programs in other departments and the BA/BS requirement, as applicable.
- What additional resources (if any) may be required to support this position?
- Summarize the staffing pattern in the department over the past five years. Include areas of specialization and courses offered by each member of the faculty and academic staff. Is there anyone else in the department or in another who could teach these courses with modest retraining?
- Does this request represent a department consensus? If not, where do opinions diverge?

The Ethics of Recruitment and Appointment

The standards which follow are directed at both administrators and faculty members in the belief they will promote candor and effective communication in the selection and hiring processes. These are not rules which fit every situation (for example, Wisconsin state law governs the release of names of candidates and specifies conditions under which this must be done) but they do provide a foundation for appropriate practices.

- **Announcing a faculty position**

Before a position is announced, there must be agreement by all parties involved in the selection process as to rank, eligibility for tenure, how the position relates to the unit's current and future needs, what will be expected from the individual appointed in terms of degree, experience and future professional work (teaching, scholarship, service), and resources which will be provided to help the person appointed meet professional expectations.

When a search is announced, the institution should be engaged in an open process of recruitment for the position. Position announcements should be distributed widely so that potential candidates are made aware of the opportunity. The procedure established for reviewing applications and selecting finalists should conform to the announced criteria and the institution's commitment to an open, objective search.

Position announcements should be clear on rank, length of appointment, whether the position offers or leads to tenure, whether it is contingent on funding or other conditions such as pursuing grants, what teaching and research expectations are, and what credentials and experience are required. If a candidate requests information about reappointment, tenure and promotion, these should be made available.

Candidates should have at least 30 days from the first appearance of the announcement to submit applications.

- **Confidentiality, interviews and the final decision**

References, including those not listed by the candidate, may be contacted but this should be done discreetly. If the name of a candidate must be released, he or she should be given the opportunity to withdraw from the search.

All communications with candidates should be consistent with information in the position announcement. Affirmation Action requirements must be observed.

Abstracted from a statement adopted by the Council of Colleges of Arts and Sciences, November 1992 and AAUP in June 1993.

When candidates request general information about the search, it should be provided.

The decision on who should be offered the position must be consistent with the published criteria. If the selection of a finalist has to be based on significantly different criteria, a new search should be initiated.

- **Offering employment***

Offers of positions are made by the Dean, after consultation with the department. A formal letter from the dean will indicate terms of the appointment (rank, salary, start-up costs, length of appointment, special conditions, deadline for response, etc.).

Offers to individuals who are under continuing contract to another educational institution will **ordinarily** not be made after May 1, consistent with AAUP ethical guidelines which indicate a faculty member's obligation to resign a continuing position no later than May 15.

If a candidate's acceptance is conditional, this should be indicated in writing and must formally be accepted before the contract takes effect.

* This does not apply to Academic Staff hiring.

Hiring Procedure for Faculty and Academic Staff

Also see Handbook, UWO 2.2

- ❖ Confirm position allocation with Dean's Office
 - Prepare position announcement
 - Use University Position Announcement form (provide Dean's Office with two copies)[≈]

- ❖ Advertise

The Dean's Office will pay for and coordinate the placement of advertisements

 - For full-time faculty and academic staff
 - Advertise in appropriate professional journals and elsewhere as stated in the department's affirmative action plan.

 - For part-time academic staff
 - Provide an abbreviated advertisement for publication in area newspapers.

 - The advertisement should indicate:
 - Department name
 - Specialty area sought
 - Position Title
 - Faculty: tenure track and rank
 - Academic Staff
 - Continuing or
 - Ad hoc (OYO or OSO)
 - Degree requirements (also experience required, if applicable)
 - Beginning Date
 - Assignment description & expectations, as appropriate
 - Specific course(s)
 - Special duties
 - Professional & scholarly expectations
 - Pursuit of extramural funds
 - Academic Year or annual appointment
 - Salary (almost always "competitive based on rank and experience")
 - Needed from the applicant:
 - A letter of application and resume
 - Current letters of recommendation (at least 3)
 - Official Transcripts
 - Closing Dates[≡]
 - Where to send applications
 - Name of department
 - Full Address
 - Affirmative Action/equal opportunity statement

[≈] The Dean's office will review, endorse, and forward for control by Affirmative Action Officer and Position Control Officer. The completed form will be returned to the Department.

[≡] All searches must have a closing date. Review of credentials can begin prior to the closing date **if** all applications and candidates are given equal treatment.

Evaluation of Credentials Before Preparing Affirmative Action Form

Department search and screen committees should carefully and objectively evaluate the credentials of all candidates who have met the application deadline before preparing the Affirmative Action Form. In many circumstances, departments may wish to obtain additional information from a number of candidates and/or their references.

Departments are encouraged to conduct telephone interviews with their top candidates and their references before completing the Affirmative Action form. This should help in ranking these individuals into Tier 1 or Tier 2 (or below). Although candidates contacted for telephone interviews may be told that they are in the top group of candidates and that the telephone interviews are being conducted to narrow the list before individuals are selected for on-campus interviews, **in absolutely no circumstance is a Department to inform a candidate that his or her name is being recommended to the Dean's Office for an on-campus interview.**

Preparation of Affirmative Action Form

Before invitations for on-campus interviews can be made to candidates, the Affirmative Action Form must be completed by the Department, signed by the chair of the Departmental Search Committee and the Department Chair, forwarded to the COLS Dean's Office for the Dean's signature, and approved by the University's Affirmative Action Office. The Dean's Office will carefully review the Affirmative Action document and candidate files and may suggest that the Department revise the Affirmative Action Form before it is signed by the Dean and forwarded to the Affirmative Action Office. **Only after the Affirmative Action Office has notified the Department of its approval may the Department invite a Tier 1 candidate to campus for an interview.**

In evaluating the candidates and preparing the Affirmative Action form, all departments should follow these guidelines:

1. Departments should normally select their top two candidates to be ranked in the top grouping, Tier 1. Should one candidate be far stronger than all other candidates, that single individual can be placed in Tier 1 with the other qualified candidates whom the department would be willing to interview being placed in Tier 2. Should only one candidate be considered worthy of interviewing, the Department can place just one candidate in Tier 1 and no candidates in Tier 2. If there are no Tier 2 candidates, should the single individual in Tier 1 decline an interview or be deemed inappropriate for the position following the interview, the search will be considered failed and no additional interviewing for the position will occur.
2. All individuals whom the Department would consider interviewing for the position should the Tier 1 candidate(s) decline an interview or be deemed unacceptable for the position following the interview should be ranked into Tier 2. These persons must be listed in **alphabetical order**, with no indication of qualitative ranking, on the Affirmative Action form, and interviews with these individuals can only be scheduled after the Department receives specific approval from the Dean's Office for the individual to be invited for an on-campus interview.

3. The Dean's signature on the Affirmative Action Form indicates approval to interview the Tier 1 candidates, which can only take place after the Affirmative Action Office also gives its signature. The Dean may consult with the Department and request that the form be revised before the Dean will affix his/her signature on the form. While additional Affirmative Action Office approval is not necessary to continue interviewing into the Tier 2 candidates, **specific approval by the Dean is required**. Should a Department seek to interview a Tier 2 candidate, it needs to consult with the Dean's Office to obtain that additional approval. Approval of Tier 2 candidates is contingent upon an acceptable review in the Dean's Office.
4. Individuals who meet the minimum qualifications for the advertised position, but whom the Department is not interested in interviewing, even if better qualified candidates declined an interview or the position, should be placed in Tier 3, again in alphabetical order. No interviews will be scheduled with Tier 3 candidates under any circumstance, and should all Tier 1 and Tier 2 candidates be eliminated, the search will be considered failed.
5. Departments must forward to the COLS Dean's Office the complete application files for **all** of its Tier 1 and Tier 2 candidates, and **all** of the protected applicants in the other tiers at the time it submits its Affirmative Action Form. The complete application file includes: a signed letter of application; a curriculum vitae, three current letters of recommendation (one of which must come from someone, not necessarily the immediate supervisor, at the candidate's current place of employment if the candidate has an academic or professional position), transcripts for both undergraduate and graduate degrees, plus any other information that the Department has received from the candidate.

Scheduling of On-Campus Interviews

The scheduling of on-campus interviews can only begin after both the Dean and the Affirmative Action Office have signed the affirmative action form. It is the responsibility of the Department chair to schedule such interviews after consultation with the Dean's Office. In scheduling these candidate interviews, these guidelines should be followed:

6. Check with the Dean's secretary to determine whether the Dean will be available on the date(s) that are being considered for the interview. No on-campus interview will be scheduled without the Dean having the opportunity to have a one hour face-to-face meeting with the candidate. Provide the Dean's Office with a copy of the candidate's schedule and a copy of his/her file at least three days in advance of the visit.
7. Candidates are to meet for 30 minutes with the associate dean responsible for the Division in which the Department is located.
8. Candidates must give a public presentation of their research while on campus. Notice of that presentation should be posted on the COLS Bulletin Board at least 48 hours beforehand.

9. Because of the time needed to meet with members of the Dean's Office, to give the research presentation, and to meet with members of the Departmental Search Committee and the Department Chair, candidates should be on-campus for at least one full day for the interview. Because many Departments also will want for candidates to meet with potential colleagues from cognate departments and to meet with students, two-day interviews are the norm.
10. Departments should avoid having two candidates on campus simultaneously; however significant time periods should not separate the interviews.
11. Departments should make all hotel arrangements for their candidates, ideally placing them in facilities that have direct billing arrangements with the University. It is the responsibility of the host department to prepare and have the candidate sign a Travel Reimbursement Form before he or she leaves campus so that prompt reimbursement for travel and meal costs can be made. It is also the responsibility of the host department to arrange transportation of the candidate to and from campus.

Recommendation of Candidate Following Interview

Departments should meet shortly after the final candidate has departed campus to make their final ranking of the candidates.

12. The written recommendation of the Department, which must be submitted to the Dean's Office before the Dean will contact any candidate with a job offer, must provide the reasons for the candidate's recommendation, a comparison of the candidates interviewed, along with any suggestions in terms of time toward tenure, salary range, or other conditions of employment. The department should recommend whether a second-place candidate should be offered the position if the first choice turns it down.

NOTE: The Dean will extend the formal job offer, negotiate salary and working conditions with the candidate. **UNDER ABSOLUTELY NO CIRCUMSTANCES WILL A DEPARTMENT EXTEND A JOB OFFER TO A PROSPECTIVE FACULTY MEMBER OR NOTIFY A CANDIDATE THAT A JOB OFFER WILL BE MADE.**

When an offer is made, the department will receive a copy of the Dean's letter to the candidate stating rank, salary and any other special conditions. **Once the candidate has accepted the offer**, the department should submit an Unclassified Staff Appointment Form along with the required documents to the Dean's Office. The form is available on the COLS shared server in the "COLS All Emp" folder, unclassifiedstaffhiringform, and also from a link on the Human Resources home page. Page 4 of the form lists the documents that should accompany the form.

The contract will be issued by the Office of the Provost and Vice Chancellor.

NOTE: The Unclassified Staff Hiring Form is also used when hiring new academic staff.

Re-Hiring Part-time and Temporary Academic Staff

I. If a person has been an ad hoc academic staff member in the past and wishes to be rehired, the following must be assembled by the Chair of the department:

A. Current Student Opinion Surveys from classes taught at this University. If Testing Services is unable to provide Student Opinion Surveys from the current semester by the date that the re-hiring request is being made, those student surveys compiled during the most recent previous semester taught must be provided. The applicant must follow Department, College and University policies on the gathering of student opinions regarding teaching; and

B. ***For individuals who have taught within the College of Letters and Science for fewer than eleven semesters:*** At least one peer evaluation of the individual's teaching should be prepared during each academic year during which the person teaches, unless concerns have been formally raised about the individual's teaching*. This written peer evaluation, based upon a classroom observation, should have been conducted by either a faculty member (preferably) or a member of the continuing academic staff.

For individuals who have taught within the College of Letters and Sciences for at least eleven semesters, and for whom the department chair has no indications* that concerns about the individual's teaching may exist: A peer evaluation should be prepared during every other academic year, thus one peer evaluation of the individual's teaching should have been prepared within the past two academic years. This written peer evaluation, based upon a classroom observation, should have been conducted by either a faculty member (preferably) or a member of the continuing academic staff.

In all cases, both for individuals with or without eleven semesters of teaching at the College, the Department may, at its option, require peer evaluations for a broader array of classes taught, or peer evaluations at a greater frequency, than required by the College.

*In addition, department chairs and the Dean's Office may require more frequent peer evaluations should questions arise regarding an individual's teaching, his/her grading practices, or when complaints have been raised. In those cases where the department chair has received formal written student complaint or grievance about the individual's teaching or grading and where the complaint has been

found to be valid, the department must obtain peer evaluations during the next two semesters that the individual teaches.

- Endorsed by Faculty Committee 11/8/06

II. One copy of the following materials must be submitted to the Dean's Office:

- A. Current Student Opinion Surveys;
- B. Peer review of teaching, as outlined above; and
- C. Reappointment form ("Part-Time/Temporary Academic Staff Rehire Appointment"), completed and signed by the Department Chair, indicating:
 - 1. Specific courses to be taught;
 - 2. The total number of credits (or credit equivalent for individuals assigned laboratory sections) to be taught;
 - 3. The percent of time (one 3-credit course is considered 0.100 FTE; if candidate has terminal degree and is at least .500 FTE, each 3-credit course counts as .125 FTE);
 - 4. If applicable, an indication that the individual's teaching has been meritorious in the Comments section; and
 - 5. The base and actual salary lines should be left blank. This information will be provided by the Dean's Office.

NOTE: Personnel Transaction Forms can only be utilized to adjust the contract of an academic staff member who is already under contract for the semester. The PTF cannot be used to make the initial hiring of an academic staff member to a specific semester.

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If an unclassified **full-time** staff member who is currently assigned to another UW System school is being considered for employment, the Dean must first notify the appropriate Vice Chancellor or Center Dean.⁷

A formal offer may **not** be made until the vice chancellors of the home and hiring institutions have conferred.

No offer may be made after May 1 without a written agreement between the two institutions.

If the home institution has already made a salary recommendation for the year to come and if the transfer is essentially lateral (no major change in duties or rank), the salary offered by the College may not exceed that proposed by the home institution. If there is a **substantive** change in duties and responsibilities (from teaching faculty to a Deanship, from academic staff to faculty) the salary may differ.

Joint Appointments

Before creating, modifying (e.g., change in percentage split) or terminating a joint appointment between UW System campuses, the person responsible for initiating the action **must first notify** the appropriate Center Dean or Vice Chancellor at the other institution(s) in writing of his or her intention and reach an understanding with the other institutions before the action is taken.

Reimbursement for Recruiting Expenditures

⁷ The chair of the department that is recommending the candidate be interviewed should inform the Dean in advance. Ordinarily, the communication will take place between the UW Oshkosh Vice Chancellor and the Vice Chancellor or Center Dean of the institution that is involved.

The costs associated with recruiting tenure-track faculty members (e.g., postage, telephones) continue to rise, yet department budgets can rarely make provision for extensive search and screen costs. To help defray these one-time expenses, the College of Letters and Science has implemented a policy (effective September 28, 1995) that provides:

- Departments will be reimbursed \$100 for every 50 candidates applying for a tenure track position. Numbers of candidates will be rounded to the nearest 50;
- Departments will **not** be reimbursed for expenses when fewer than 25 candidates apply for a position;
- Reimbursement for national searches for OYO academic staff positions require prior approval;
- Numbers of candidates (and consequently the amount of reimbursement) will be determined from information included on Affirmative Action forms.

This policy will be reviewed periodically to determine whether modifications are needed and continuation is justified.