

SUPPLEMENTARY
ADMINISTRATIVE GUIDELINES FOR UW SYSTEM
IMPLEMENTATION OF REGENT POLICIES ON
INTEGRATION OF THE EXTENSION FUNCTION

5-1-89

This document has been prepared as an Administrative Guideline to assist in the implementation of Regent policy on integration between UW-Extension and UW System institutions. These guidelines deal with personnel, faculty promotion/tenure, and budgeting as they reflect particularly on non-credit programming. For-credit programs are addressed in other documents.

These guidelines incorporate the guidelines in ACIS 5.0 that remain germane. ACIS 5.1 supersedes ACIS 5.0, which will, however, remain intact for the purpose of providing historical perspective.

Other Relevant Documents:

Regent Policy, April 1982

Regent Policy, May 1985

Regent Policy, May 1988

ACIS-3

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SUPPLEMENTARY ADMINISTRATIVE GUIDELINES FOR UW SYSTEM IMPLEMENTATION OF REGENT POLICY ON INTEGRATION OF THE EXTENSION FUNCTION

The Extension System in Wisconsin

While the extension function in Wisconsin has been an important feature of public higher education since the turn of the century, at three points in the 1980's (1982, 1985, and 1988) the Board of Regents adopted policies designed to strengthen that function. A principal feature of these efforts was a decision to end what had been almost a twenty year period in which the function was carried out primarily by an institution devoted solely to that responsibility. Instead, a policy of integration of the extension function within all 26 UW System institutions was adopted. However, responsibility for the leadership required to plan and coordinate this decentralized system was retained as a responsibility of the University of Wisconsin-Extension. The purpose of these guidelines is to outline the various responsibilities within these recent policies in ways which enable this unique extension system to best respond to the changing educational needs of Wisconsin families, professions, businesses and industries, farms, and communities.

Integration of the extension function refers to the concept through which the public service mission of the UW System institutions includes a serious commitment to outreach programming by the departments, colleges, and schools of those institutions. This commitment requires that, as departments update their degree program teaching missions, they consider the educational needs of Wisconsin's adults, relate those needs where appropriate to the statewide extension plan, and conduct programming to meet those needs.

The extension function is different from the instruction and research functions of a university, frequently requiring different teaching techniques and methods of delivery. For integration to be successful, the commitment to the extension function also requires appropriate recognition in departments, colleges, and schools for those faculty and academic staff who participate in extension programming. The goal of integration is to improve and expand extension programming.

Regent policy recognizes a clear separation of powers and distinct but interrelated authority between UW-Extension and the other UW institutions. Neither can meet its obligations without the contributions and cooperation of the other.

1. For example, the University of Wisconsin-Extension has responsibility and authority for:
 - a. Development of a system-wide plan that indicates areas of needs and priorities, focuses program efforts, and coordinates extension programs carried out by county Extension offices and UW institutions throughout the state.
 - b. Provision of system-wide leadership with a planning framework and process that links the statewide long-range plan with the annual program plans of the UW institutions and Wisconsin counties and that serves as the basis for annual allocation of funds and positions by UW-Extension.
 - c. Accountability for the expenditures and outcomes of the UWS extension function, and for the collection and reporting of relevant data on the use of state and federal resources.

2. In accord with the seven criteria contained in the 1982 Regent policy,¹ the other UW institutions have responsibility and authority for:
 - a. Development of an annual institutional program plan and budget that serve as the basis of the interinstitutional agreement.
 - b. Implementation of the annual plan through responsibility for program identification, content, delivery, academic quality, and budget accountability within the context of the statewide plan.
 - c. Recruitment, appointment, promotion, and development of faculty with expertise appropriate to the extension mission.
 - d. Accessibility of a meaningful clientele and the likelihood of "minimum critical mass of resources" reflected in a meaningful proportion of each faculty appointment designated for extension activity.

Thus, the extension function of the UWS is carried out through a collaborative effort and shared authority between UW-Extension and the other UW institutions.

The May 1988 Board of Regents' Resolution on Extension Integration included several policy recommendations to strengthen the integrated extension structure by formalizing the responsibilities and authority of UW-Extension. These guidelines incorporate the intent of that most recent policy statement along with those of the 1982 and 1985 statements.

¹ ACIS 5.0, Appendix A, p. 4

I. Planning and Coordination Responsibilities

UW-Extension has been assigned the leadership responsibility for statewide program coordination and planning of the extension function. The Chancellors of the other UW institutions will work with the Chancellor of UW-Extension in developing and maintaining a coordinated, statewide extension plan.

- A. At each UW institution the Chancellor has the responsibility for all aspects of integration and, with the Chancellor of UW-Extension, for approving annual program plans defined in the interinstitutional agreements and monitoring the extension efforts during the year. Prior to the end of each year, the UW-Extension Chancellor and the Chancellors or their designee will review the achievements of the agreed-upon programs. Such reviews provide part of the context for the next interinstitutional agreement and provide an indication of the effectiveness of integration.
- B. Programming and staffing for extension in any specific field will be developed only with a UW institution that has an assigned mission in that field. An institution's mission for noncredit programs of continuing education in classroom or through educational media or for participation in the organized state network of technical assistance in technology transfer, is defined by its mission statement and its approved degree programs and program entitlements as authorized by the Board of Regents.

II. Responsibility for Extension Activities

- A. In performing the general extension functions, each institution will have the responsibility for program identification, content, implementation, academic quality and accountability within the context of Section I. All cooperative extension programs are developed through statewide planning process, and are submitted to the Dean/Director of Cooperative Extension for approval and subsequently to USDA.
- B. There are two basic forms of extension activities. The first encompasses those activities which are part of the inter- institutional agreement. The second falls outside of the interinstitutional agreement because of budgetary or programmatic factors.
 - 1. Category 1 Programs - UW-Extension has institutional responsibilities to direct the planning and coordination of extension programs and activities for which resources are allocated to it by UWS. It exercises budgetary control over these resources through the interinstitutional agreement which codifies the agreement reached between a UW institution and UW-Extension on a mutually agreed to program plan and commits an annual allocation of resources from UW-Extension to that institution to support it.

UW-Extension retains final authority and control over these FTE and dollars.

2. Category 2 Programs - Regent policy also encourages institutional initiatives in noncredit programming. For these extension programs and activities supported by the residential institutions, UW-Extension is assigned the responsibility by the UWS in the areas of coordination, review for mission compatibility, and fiscal accountability. The residential institutions retain final authority over the FTE and dollars associated with these programs.
- C. Every institution shall designate an office or officer authorized to represent the institution in all matters related to UWS extension function programs and activities as described in both Category 1 and Category 2 above. Assignment of this responsibility to a single office or officer is designed to improve communication between administrative units that have institution-wide responsibility for the extension function.
 - D. Each Chancellor has responsibility for extension program implementation and for the budget associated with those programs at his/her University. Unless major changes in program plans are contemplated, the campus Chancellor or the designee shall be authorized to approve any adjustments within the functions to which resources are assigned in order to facilitate effective programming during the year. Major changes in program plans require review and approval by both Chancellors or their designees. Major changes in cooperative extension program plans also require review and approval by the Director of the Cooperative Extension Service and the administrator of Extension Services, USDA.
 - E. The following criteria define those UWS extension activities, programs in both Category 1 and Category 2, which are part of the annual program planning, coordination, and review process initiated and led by UW-Extension.
 1. Programs and activities that address a need and theme identified in the UW-Extension statewide plan.
 2. Programs and activities that either are of a recurring nature or have the potential for sustained repetition for a specific client group.
 3. Programs and activities that meet a short term need that is pervasive and whose impact extends beyond the institution's service area.
 4. Programs and activities of the types described above are usually intended for adult audiences who are not full-time students. However, youth programs whose knowledge base is clearly identified with science, arts or the humanities, or which are part of a learning experience for teachers and other professionals may be included.

5. Finally, identical programs and activities, found in some or all of the UW institutions, should be treated in a consistent manner, either as part of the annual program planning and review process or excluded.
- F. Programs that meet at least one of the following criteria are not considered as UWS extension function activities and are therefore not under the jurisdiction of UW-Extension.
1. Offerings which supplement credit-bearing programs, intended for regularly enrolled students. Examples are noncredit lectures, and internships and field experiences related to either credit courses and/or to a degree program.
 2. Programs intended exclusively for UW System employees. In-service training is an example.
 3. Activities which are intended for students and which receive funding primarily from student allocations.
 4. Clinical services.
 5. Programs using only the institution's facilities or meal services.
 6. Activities in which the principal objective is recreation, entertainment, or youth sports.
 7. Programs for which the content and/or budget are determined by a sponsoring organization outside the UW System.
 8. Programs for which the budgetary and programming responsibility lie with UW System Administration.
 9. Ad hoc, one-time offerings of less than six instructional hours.
 10. Programs offered as a requirement of either a grant or extramural funding under one of these two conditions: (1) Primary purpose is research but the conditions of the grant or extramural award include a requirement that a demonstration/extension component be offered for professional peers; (2) Primary purpose of either the grant or extramural funding is to support an academic degree program whose entitlement is system-wide.
 11. Other activities as agreed upon by UW-Extension and the residential institution(s).

III. Personnel: Classifications

- A. All faculty and instructional academic staff with budgeted extension appointments in the UW System institutions is offered a collaborative appointment with faculty/academic staff standing within the UW-Extension. Collaborative appointment is the term used to accomplish the purpose of joint appointment for the special circumstances of the extension function in Wisconsin. And those with collaborative appointments are considered as faculty/staff of UW-Extension in the special sense and for the purposes described in this section.
- B. A collaborative appointment with Faculty/Academic Staff Standing in UW-Extension is at the institutional level within UW-Extension. Department-level membership for purposes of tenure and/or governance remains at the resident UW institution.
- C. The resident institutions have the responsibility to define the total duties of their faculty and academic staff holding collaborative appointments in ways that are consistent with the interinstitutional agreements which they have developed in concert with UW-Extension.
- D. While UW institutions retain responsibility for personnel matters related to the extension function, UW-Extension, through its deans, and following recognized interinstitutional protocols may provide advice and counsel on such issues as performance review, salary adjustments, and promotion decisions for persons with extension responsibilities for Category I programs, as described in II, B (1).
- E. A newly created Statewide Extension Council will be the institutionalized channel for all faculty and instructional academic staff with extension responsibilities to provide advice and counsel to the UW-Extension Chancellor on overall direction, policy and priorities for extension education system-wide; on the operation of UW-Extension structures and processes devoted to leadership and coordination of extension education; and on budgetary matters, including UW-Extension decisions related to resource growth and decline; as well as any other matters deemed to be important by the membership that are consistent with governance responsibilities at the residential institutions.
- F. The Council will be composed of three types of faculty and instructional academic staff: those holding appointments in UW-Extension and the Wisconsin counties, those holding collaborative or integrated appointments between UW-Extension and the other UW institutions, and those who hold single UW-Extension appointments. The Council will serve as a common institutional bond for those involved in the system-wide extension function on the campuses and in the counties.
- G. The organization and operation of the Council is determined by its members, in concert with the Chancellor of UW-Extension. Each institution will be represented.

H. The internal faculty governance structure for faculty having their tenure home in UW-Extension, including those holding appointments in UW-Extension and the counties, will be determined by the affected faculty, in concert with the Chancellor of UW-Extension.

IV. Personnel: Appointment Process

A. At the time of integration, each UW System institution reviewed its personnel policies and procedures to give greater assurance that the contributions of the faculty and academic staff involved in the extension function are appropriately recognized.

B. Should a vacancy occur in an integrated position, either by death, resignation, retirement or reassignment, a decision on continuation of the particular extension function being performed will be made following discussion between the two Chancellors involved or their designees. Participants in such discussions must recognize that in an integrated department, changes in any extension position may have an impact on how teaching and research commitments are met. At the same time, no functions or positions can be allocated to an institution in perpetuity; analysis of each position vacancy will be one of few ways to achieve budget and personnel flexibility to meet changing needs.

C. Faculty and Instructional Academic Staff Searches

The following procedures allow UW- Extension administrators a consultative role in decisions on faculty searches, salary increases, promotion and finance.

1. When a UW-Extension budgeted position vacancy occurs, UW-Extension will have a formal role with the UW institution in determining whether the position will be refilled; defining the extension responsibilities, percentage of appointment, and levels and sources of funding; as well as advising on the selection of the appointee.
2. UW-Extension controls the authority to recruit for all 104/143/144 faculty and instructional academic staff positions; and therefore, there is agreement about the type of person being sought by both parties prior to the search.
3. UW-Extension Deans will indicate at the time of position authorization those positions for which they wish the opportunity to offer consultation prior to final selection. The extent of the consultative role by the UW-Extension dean shall be determined by discussion between the resident dean and the UW-Extension dean. Consultation can include one or more of the following options.
 - a. representation on the search and screen committee
 - b. interviewing the final candidates

c. discussion between the deans of the final candidates

Any comments offered by the UW-Extension dean in the exercise of either option b. or c. shall be in writing to be shared with the department committee prior to the final selection.

E. Faculty Promotion and Tenure

1. The executive committee of the academic departments of the residential institutions are responsible for taking the initial step in seeking promotion and tenure.
2. At the time the appropriate residential Dean takes steps to seek the advice of the divisional committee, that Dean shall also offer the opportunity for the appropriate UW-Extension Dean to offer advice in writing.
3. This process recognizes that tenure and promotion decisions remain within the authority of the residential institutions to which the positions are assigned.

F. Probationary Faculty and Instructional Academic Staff Review

For probationary faculty and instructional academic staff not holding indefinite appointments, the UW-Extension deans, during the annual program planning review, may provide an assessment of the member's performance for the preceding academic year. Any such assessment must be in writing.

G. Salary Increases

Faculty and instructional academic staff salary increases are recommended each year to the institution Dean by the executive committee of the academic departments. If a UW-Extension Dean wishes to make a recommendation on salary increases, that Dean shall communicate those comments in writing to the institutional Dean during the annual salary administration process.

V. Personnel: Faculty Standing and Authority

A. Faculty standing in UW-Extension empowers both the integrated faculty member and the institution.

- 1 At the institutional level, faculty and instructional academic staff with collaborative appointments are stakeholders in decisions on overall direction of the UWS extension function, the operation of UW-Extension structures and processes devoted to leadership and coordination of extension programs, the accountability and review functions assigned to UW-Extension, and budgetary matters, including decisions related to resource growth, decline, and reallocation.

2. On the divisional level, faculty and instructional academic staff holding collaborative appointments have a stake in Cooperative Extension and General Extension decisions about allocation of resources, how to respond quickly to unanticipated needs, evaluation of faculty and instructional academic staff performance of the extension function, and other divisional matters. These decisions can affect faculty/staff responsibility and commitment to plan and deliver high quality educational programs in cooperation with their colleagues in other disciplines and institutions.
- B. Faculty standing within UW-Extension offers a common institutional bond linking the widely dispersed and sometimes isolated faculty and staff with extension responsibilities across all UW institutions and between the campuses and counties. This identification links the institutions and faculty/staff together in a federation that recognizes the system-wide character of the extension function.
- C. Faculty standing also formalizes UW-Extension authority to engage faculty in activities required to carry out its roles and responsibilities in program planning, coordination, review, accountability, and personnel matters. Collaborative appointment is consistent with the foregoing rationales for faculty/staff standing within UW-Extension and for shared authority between UW-Extension and the other institutions. It also is consistent with the unique collaborative model of the extension function in the UW System.

VI. Budgetary Policy

- A. A program and budget process has been implemented whereby funds will be allocated from UW-Extension to institutions based on annual interinstitutional agreements reached between the Chancellor of UW-Extension and the Chancellor of each institution involved. Interinstitutional agreements may include three types of commitments: (1) annual commitments to faculty and staff for short-term projects and activities and their program support to implement agreed-upon programs, (2) continuing fiscal support for tenured and probationary faculty (and their program support) with specific long-term assignments to extension activities, and (3) longer term commitments which might support continuing education activities not permanently identified with specific individuals. Allocations based on these long- and short-term commitments are administered through the UW institutions' faculty and administrative structures.
- B. All allocated resources from UW-Extension must be expended by the institution in support of the extension function. Program revenue generated in excess of the projections contained in the interinstitutional agreements should, whenever possible, be expended for extension activities at that university. Likewise, all deficits which occur will be that university's responsibility. Surpluses and deficits are expected to balance out over a rolling three-year period. Chancellors must have some flexibility in this regard, similar to their current responsibilities for the instructional budget, recognizing that their stewardship in extension will be accounted for as part of the annual reviews.

- C. When unanticipated state or federal budget reductions are imposed, the Chancellor of UW-Extension will communicate the magnitude of the reduction in percent and dollars to the other Chancellors concerned. Each university will then have the responsibility for internally managing the reduction of funds allocated to it and of providing the Chancellor of UW-Extension with a report on how the reductions have been handled.
- D. Programs that meet criteria outlined in Section II.E shall be part of the annual program planning, coordination and review process initiated by UW-Extension.
 - 1. Category 1 Program plans for which annual allocation is requested shall follow the program planning and budget guidelines issued by UW-Extension. Programs and budgets approved as part of the interinstitutional agreement proposal shall be reflected in the UW-Extension section in the Red Book.
 - 2. Category 2 Programs whose fiscal basis is the institution's budget shall be reviewed with UW-Extension as part of the annual program planning, coordination and review process. UW-Extension and the institutions shall agree on information required to meet the needs for the planning, coordination, and review of these programs. These programs shall be reviewed for mission compatibility and fiscal accountability by UW-Extension. The budgets for Category 2 programs shall be incorporated as part of the residential institutional sections of the Red Book.
- E. All biennial budget proposals submitted by UW institutions to UWS to support outreach, continuing education, extension, or public service programs and activities shall be reviewed by UW-Extension.
- F. Planning for either Category 1 or Category 2 programs should take into consideration programmatic and resource recommendations of appropriate multi-institution planning groups.
- G. UW-Extension will not provide resources for Category 2 programs.
- H. A relatively few programs which are part of the interinstitutional agreement process at the time this is written will be governed by the exclusion criteria listed in II.F above. Resources currently allocated by UW-Extension to support these programs will revert to UW-Extension for reallocation.
- I. A protocol on communications developed and agreed to between UW-Extension and each UW institution shall be used as the primary and preferred procedure for resolving differences that may emerge in the application of these guidelines. If the protocol procedure is not successful, the procedure outlined in Section X.B. shall be followed.

VII. Data Reporting and Monitoring: Institutional Data Requirements

Institutional data requirements that fall within the coordination, planning and budgetary control of the interinstitutional agreement (Category 1 noncredit programs) and for independent extension activities (Category 2 noncredit programs)

A. Student Data - For all Category 1 and Category 2 programs

1. Minimum individual student data elements collected at time of registration shall include name, student identification number, home and/or work address, zip code, and when appropriate the ETN location and CEUs.
2. Individuals cannot be obligated to provide the following information, but efforts should be made on a voluntary basis to collect the following data either at the time of registration or as part of the evaluation process: sex, race, and the appropriate category for age, income, educational level (and possibly occupational status).
3. Student data shall be retained by the institution for at least one year.

B. Program Data

1. For all Category 1 programs
 - a. Minimum program data elements collected and maintained shall include program identification, program title, UDDS, name of instructor, instructor affiliation, program fiscal year, number of instructional hours, total enrollment, program fee broken down by instructional fee/meals and lodging, place of program offering (city and county), type of program delivery.
 - b. Total CEUs, when appropriate.
 - c. These program data shall be retained by the institution for at least one year.
2. For all Category 2 programs
 - a. Minimum program data elements collected and maintained shall include program title, name of unit offering the program, total enrollment, place of program offering.
 - b. These program data shall be retained by the institution for at least one year.

C. Fiscal Elements

1. For all Category 1 programs
 - a. Minimum fiscal data elements collected and maintained shall include UDDS, instructor Social Security number, instructor payment rate, type of appointment, fiscal year, budget broken down by activity codes and budget categories, expenditures broken down by activity codes and budget categories, revenue.
 - b. These fiscal data elements shall be retained by the institution for at least one year.
2. For all Category 2 programs
 - a. Minimum fiscal elements collected and maintained shall include budget, expenditure, revenue, and fiscal year.
 - b. These fiscal data elements shall be retained by the institution for at least one year.

D. Exclusions

Institutional programs that meet the criteria in Section II.F (page 5) are not considered part of the UWS extension function and therefore do not require collection of student, program and fiscal data for reporting as outlined above.

VIII. Data Reporting and Monitoring: Elements Required by UW-Extension

UW institutions shall provide UW-Extension with student, program, and fiscal data described below in common formats and by the due date.

A. Student Data

1. The following individual student data for Category 1 programs shall be forwarded each six months to UW-Extension: county of ETN location and CEUs.
2. The following aggregate student characteristics for Category 1 and Category 2 programs shall be forwarded each six months to UW-Extension: sex, race, age range, income and educational level.

B. Program Data

1. The following individual program data for Category 1 programs shall be forwarded

each six months to UW-Extension: program identification, program title, UDDS, program fiscal year, instructional contact hours, total CEUs, total enrollment, aggregate student characteristics, program fee broken down into instruction/housing and meals, place of program offering, and type of program delivery.

2. The following individual program data for Category 2 programs shall be forwarded annually to UW-Extension: program title, name of unit offering program, total enrollment, aggregate student characteristics, instructional fee, place of program offering.

C. Fiscal Elements

1. UW-Extension needs fiscal information for Category 1 programs on a quarterly basis for these purposes
 - a. to monitor actual spending against the proposed program plan and budget
 - b. to monitor level of ceiling authority approved for each institution
 - c. to monitor ceiling authority across the institutions, thus making it possible to change levels to meet unanticipated needs
 - d. to evaluate next year's program plan and budget by comparing it to actual performance for the current plan and budget

UW institutions shall forward to UW-Extension on a quarterly basis fiscal information by UDDS and major budget category (unclassified salaries, additional instruction, classified salaries, LTE, student help, supply and expense.)

UW institutions shall forward to UW-Extension each quarter program revenue data for each UDDS.

2. UW institutions shall provide UW-Extension with the following fiscal information for Category 2 programs on an annual basis.
 - a. Total revenue by program area/unit
 - b. Total expenditures by program area/unit

IX. Data Reporting and Monitoring: Elements Required by UW System Administration and Implementation

UW-Extension shall provide UW System Administration aggregate data on enrollments, number of course offerings by program area, location of offerings, and student characteristics on a periodic basis.

UW-Extension shall establish a data user group. Its responsibilities shall include review of formats for reporting institutional data, in order to assure compatibility among the UW institutions to collect, transmit, and store noncredit data.

X. Accountability/Review

- A. The final level of responsibility and accountability for UW System resources dedicated to the extension function is in the office of the Chancellor of UW-Extension under delegation from the UW System and the Board of Regents.
- B. Each Chancellor will include a review of his/her extension programming and resource needs as part of the annual budget/academic program meeting with the President of the University of Wisconsin System. The UW System Office of Academic Affairs will monitor the coordinated plan for extension programming, annual budgets, and biennial budget submissions, and any unresolved jurisdictional disputes will also be dealt with at the System level.
- C. Programs that meet at least one of the criteria in Section II.F. (page 5) are not considered as UWS extension function activities and are therefore not under the jurisdiction of UW-Extension. They are, of course, covered under relevant UW System academic and budgetary policies.