

University of Wisconsin-Madison  
Secretary of the Faculty  
133 Bascom Hall

**FACULTY SENATE MEETING AGENDA  
MATERIALS  
for**

**1 May 2017**

*The University Committee encourages senators to discuss  
the agenda with their departmental faculty prior to meeting.*



**WISCONSIN**  
UNIVERSITY OF WISCONSIN-MADISON

**FACULTY SENATE AGENDAS, MINUTES, RECORDINGS,  
TRANSCRIPTIONS AND FACULTY DOCUMENTS, INCLUDING FACULTY  
POLICIES AND PROCEDURES, ARE AVAILABLE:**

*[secfac.wisc.edu/Faculty-Senate.htm](http://secfac.wisc.edu/Faculty-Senate.htm)*



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**FACULTY SENATE MEETING**  
**Monday, 1 May 2017 - 3:30 p.m.**  
**272 Bascom Hall**

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**A G E N D A**

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1. Memorial Resolutions for:

Seymour Abrahamson (Fac doc 2678)  
John Berbee (Fac doc 2679)  
Robert Cole (Fac doc 2680)  
Jack Ferver (Fac doc 2681)  
Hugh Iltis (Fac doc 2682)

2. Announcements/Information Items

Forward Together: A New Era for Diversity and Inclusion.

3. Question period.

4. Minutes of April 3 meeting. (*consent*).

5. Officer Education Committee Annual Report for 2016-2017. (Fac doc 2683)

6. Advisory Committee for the Office of Equity and Diversity Annual Report for 2015-2016.  
(Fac doc 2684)

7. Committee on Faculty Rights and Responsibilities Annual Report for 2012-2016. (Fac doc 2685)

8. Report of Elections to UW-Madison Faculty Committees for 2017-2018. (Fac doc 2686)

9. Institutional Review Board (IRB) Study Report. (*Fac doc 2687 forthcoming*)

10. Proposal to Merge the Department of Urban and Regional Planning with the Department of Landscape Architecture. (Fac doc 2688)

11. Proposal to Change the Name of the Department of Zoology to Integrative Biology. (Fac doc 2689)

12. Resolution in Support of Transgender Students, Faculty, and Staff. (Fac doc 2690) (*vote*)

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## Memorial Resolution of the Faculty of the University of Wisconsin-Madison On the Death of Professor Emeritus Seymour Abrahamson

Professor Emeritus Seymour Abrahamson died in Madison on Saturday, July 23, 2016 at the age of 88. Born in New York City on Nov. 28, 1927, Seymour joined the UW-Madison faculty in 1961. Seymour taught courses in Zoology and Genetics. He was recognized by his students as an outstanding teacher. Seymour was especially proud of his contributions to Introductory Zoology (Zoo 101/2). His ability to administer the large team involved in teaching that course, combined with his ability to communicate effectively with the vast number of students who passed through these gateway classes brought him satisfaction. Seymour also took great pleasure in teaching the Undergraduate Honors course in the Zoology Department.

Seymour's research interests were in the genetic effects of radiation and of chemicals, both by direct experimentation and by studying and analyzing data. Seymour's careful work on the effects of ionizing radiation on chromosomes in germ cells in *Drosophila* made major contributions to our understanding of how radiation results in stable, heritable changes in DNA, and what environmental conditions sensitize cells for DNA damage. A major intellectual influence for Seymour was his Ph.D. advisor at the University of Indiana, Herman J. Muller, the Nobel Laureate who first demonstrated, using *Drosophila*, that radiation is mutagenic, a discovery that opened up a new era in genetics. Seymour counted the distinguished population geneticist Dr. James F. Crow among his closest friends and greatest mentors at UW-Madison.

Seymour's work extended beyond *Drosophila*, however. He also made significant contributions to understanding how radiation damages human DNA. Seymour lectured widely across the United States, Europe and Asia, publishing over 100 articles and book chapters in peer-reviewed scientific journals dealing with health, physics and radiation. Seymour's expertise in environmental mutagenesis — and especially in radiation mutagenesis — placed him among an elite group of scientists who were consulted when emergencies arose concerning public health. He was, for example, one of the expert consultants called to action in 1979 when the Three Mile Island nuclear accident occurred. Seymour was long affiliated with the Hiroshima-based Radiation Effects Research Foundation (RERF) (formerly known as the Atomic Bomb Casualty Commission), a joint project of the Japanese and U.S. Governments, where he helped oversee and publish studies on the effects of the atomic bombs on human survivors. He lived and worked in Hiroshima and Nagasaki, Japan, for seven years, and served as Director and Chief of Research for RERF from 1986 to 1988 (and again in a leadership capacity from 1995 to 1996). In recognition of his contributions to science and the Japanese people, Dr. Abrahamson received a distinguished service award from the Emperor of Japan.

Seymour was the recipient of many honors, was a member of numerous professional societies, and served on numerous professional boards and committees on the state, national and international stage. He participated on the editorial boards of several professional publications, and served as Editor-in-Chief of *Environmental Mutagenesis* from 1979 to 1984. His service included work for the National Academy of Sciences, the National Council on Radiation Protection, the Nuclear Regulatory Commission, the Environmental Protection Agency, Brookhaven National Laboratory, Argonne National Laboratory, and the Institute of Regulatory Sciences. Seymour was particularly proud of his wide-ranging committee work in service to the people of the State of Wisconsin and its University.

Seymour's career was distinguished, but few may be aware of the obstacles that Seymour overcame en route to such a remarkable life. Midway through his career Seymour was involved in a car accident that put him in the hospital with a serious leg injury that would leave him permanently disabled. Such an obstacle may have been too much for lesser men, but not for Seymour. While in his hospital bed, days after his accident, Seymour reviewed a PhD student's thesis. When it came time for the student's thesis defense, Seymour hosted the meeting in his hospital room. Such passion for his work, including students, was a hallmark of Seymour's career.

Seymour served twice as Chair of the Zoology Department. As Department Chair, Seymour was tireless in supporting his faculty. Besides keeping up with the progress of individual projects, he would also give each faculty member a backrub. Seymour was a man with both head and heart.

Seymour's passion for people and learning was lifelong. After retirement, Seymour remained committed to keeping abreast of new developments in biological research and the environment. He was a stalwart of the Zoology Evolution Reading Group for many years.

Seymour was a remarkable colleague, but he was part of an equally remarkable family. Seymour is survived by his wife and life partner, Shirley Abrahamson, long-time Chief Justice and current Justice of the Supreme Court of Wisconsin; son, Daniel and daughter-in-law, Tsan; grandson, Moses Jonah; and nephews and great-nieces and great-nephews, all of whom he cherished.

Seymour's *joie-de-vivre* and his playful sense of discovery will be deeply missed. We are privileged and grateful to have had Seymour as a friend and colleague.

#### MEMORIAL COMMITTEE

Millard Susman, Rayla Temin, Antony Stretton, and Jeff Hardin (chair of Zoology)

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**Memorial Resolution of the Faculty of the University of Wisconsin-Madison  
On the Death of Professor Emeritus John Berbee**

Professor Emeritus John Gerard “Jack” Berbee died on December 14, 2016 in Madison. Jack was born on October 12, 1925 in Hamilton, Ontario, Canada. During WWII he served in the Royal Canadian Air Force and had just completed his training to deploy overseas when the war ended. Jack received his Bachelor’s degree from the University of Toronto in 1949 and Master’s degree in forestry from Yale University in 1950. Jack’s graduate studies continued in the Department of Plant Pathology at the University of Wisconsin-Madison and involved prevention of damping-off diseases of conifer seedlings. After receiving his Ph.D. in 1954, he joined the Canadian Science Service, stationed in New Brunswick. In 1957 Jack rejoined the Department of Plant Pathology as an assistant professor to become a member of the expanding group engaged in study of tree diseases. He also became a member of the UW-Madison Department of Forestry when it was established in 1962. After more than three decades of dedicated service to our university, Jack retired in 1989.

Jack’s program contributed both to the development of forest pathology as a science and to application of knowledge in the practice of forestry. He maintained active research on forest nursery seedling diseases caused by soil-borne fungi, thereby contributing greatly to reforestation and restoration of productive forests in a region still affected by the great cutover of the early 1900s. Additional early interests in highly productive, intensively managed clonal poplar plantations led Jack into the nascent field of forest tree virology. He and his students were among the first to isolate and characterize a series of poplar viruses and demonstrate effects on their host trees. Jack utilized tissue culture methods to remove viruses from clonal material for production of virus-free clones with superior characteristics.

As part of a partnership between the College of Agricultural and Life Sciences and the U.S. Agency for International Development, Jack and his family traveled to Nigeria. There they spent three years, with Jack teaching in the Department of Plant Sciences, University of Ife, Ile-Ife. There he studied viruses of cassava, an important food crop in many tropical countries. Time in Nigeria was followed by a study leave at Oxford.

Jack was a long-time teacher of forestry undergraduates with his Department of Entomology colleague Dan Benjamin. Their course, “Insects and Diseases in Forest Management,” or “Bugs and Crud” (as it was known to the students), provided learning opportunities in the classroom, laboratory, and field. Through this course Jack succeeded in his teaching goal, to facilitate a “change in behavior” of students who would go on to be the practitioners of forest pathology and manage our nation’s forests. Graduate students mentored by Jack, and others on whose thesis committees he served, have succeeded in private practice, government, and academic positions. Students of Jack are still actively building the science and practice of plant pathology and developing tree and forest health management policies in the United States other countries.

Jack was professionally active as a member of the American Phytopathological Society and Society of American Foresters, and in our community as a member of the West Madison Rotary Club. In retirement with his wife, Flora, Jack tended a legendary backyard garden and was a helpful fixture in the Indian Hills neighborhood where they lived for so many decades. The pair traveled the country in a Volkswagen camper van, always experiencing nature, trees, and forests with an enthusiasm Jack had always so generously shared.

MEMORIAL COMMITTEE: Professors Glen Stanosz, Ann MacGuidwin, and Patricia McManus

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**Memorial Resolution of the Faculty of the University of Wisconsin-Madison  
On the Death of Professor Emeritus Robert F. Cole**

Robert F. Cole, Emeritus Professor of Music died peacefully in his sleep on December 23, 2016. He was 93 years old.

Born in Erie, Pennsylvania, Professor Cole attended the prestigious Curtis Institute of Music in Philadelphia, where the faculty was composed of many members of the Philadelphia Orchestra as well as other distinguished musicians. After a stint with the Coast Guard Band in World War II, he joined the Philadelphia Orchestra flute section in 1949 and played beside his teacher, William Kincaid. He performed on many Philadelphia Orchestra recordings under maestro Eugene Ormandy and also recorded a television series as a member of the Philadelphia Woodwind Quintet, principal wind players of the Philadelphia Orchestra. In particular, the quintet's recordings of the Sextet by Frances Poulenc with the composer playing piano and Samuel Barber's *Summer Music* are among the most significant recordings for quintet and represent the highest level of woodwind artistry.

During the 1960's several top professional orchestral players left their positions to join music faculties at major universities, and Professor Cole was among them. In 1962 he joined the University of Wisconsin-Madison School of Music to teach flute, chamber music and perform in the faculty woodwind quintet. He was instrumental in expanding the wind area of the School of Music to include renowned specialists in horn (John Barrows), clarinet (Glenn Bowen), and Richard Lottridge (bassoon). With the hiring of Professor Lottridge in 1965, the Wingra Quintet was established as faculty ensemble in residence in the School of Music (along with the Pro Arte String Quartet and later the Wisconsin Brass Quintet). The quintet's outreach mission, based on the Wisconsin Idea, enabled them to tour extensively within the state of Wisconsin and beyond. At one point, Professor Bowen estimated that the Wingra quintet had performed and taught students in no less than 90 percent of the counties of Wisconsin. The Wingra Quintet gained national recognition, and in a review of their Carnegie Recital Hall concert in 1980, New York Times music critic Peter G. Davis stated, "The performances were so smoothly integrated and technically polished that one was scarcely aware of the skilled discipline that motivated them... the performances were consistently sophisticated, sensitive, and thoroughly vital." The Wingra Quintet also produced several recordings and Professor Cole was flutist in two of these recordings (Nielsen, *Quintet*, and Janacek, *Youth Suite*).

Professor Cole brought the incomparable Philadelphia tradition of woodwind playing to his teaching, and many of his students are performing in orchestras and teaching in major schools of music. He played many seasons with the Madison Symphony Orchestra and taught at several music festivals around the country. He was a founding member of the National Flute Association, a society of more than 10,000 members, and served a term as president of that organization. He was recognized by the Association, and was presented a lifetime award for his meritorious contributions to the society. Professor Cole was noted for the beautiful, rich tone quality he produced from his (Powell) golden flute and his consummate musicianship.

In 1988 he retired from the University of Wisconsin and moved to the Montello (WI) area where he was active in farming on the sheep farm of his daughter Kathy and son-in-law Larry. Robert and his wife of more than 60 years, Doris, enjoyed traveling. After retirement they purchased a

motor home and enjoyed visiting the US national parks. Two of their children, Gordon and John, followed in Robert's footsteps as professional musicians. Gordon taught flute at the University of Kentucky, Lexington, and Gordon's wife, Khristine, graduated from UW-Madison where she studied flute with Robert. Their son, Nathan, attended the Curtis Institute of Music as a violinist and has performed with the St. Paul Chamber Orchestra, the Chicago Symphony Orchestra, and is currently a member of the Los Angeles Philharmonic. Son John attended the Indiana University School of Music and retired as librarian of the US Army's West Point Band after a long career.

Robert resided in Oakwood Village in Madison for thirteen years before his death and was a member of Kiwanis Club, Toastmasters International, and the Good Shepherd Lutheran Church. Robert was preceded in death by Doris and their son John. He is survived by his son, Gordon (Khristine) Cole of Lexington, KY, daughter Kathleen (Lawrence) Becker of Montello, WI, and seven grandchildren, Nathan Cole, Lauren Cole Brown, Ryan Becker, Ben Becker, Rachel Ginsberg, Ben Ziegler, and Amy Ziegler Bergs.

#### MEMORIAL COMMITTEE

Marc Fink, Emeritus Professor of Music, co-chair

Richard Lottridge, Emeritus Professor of Music, co chair

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**Memorial Resolution of the Faculty of the University of Wisconsin-Madison  
On the Death of Professor Emeritus Jack C. Ferver**

Professor Emeritus Jack Calvin Ferver, passed away on January 2, 2017. He was born on October 16, 1920, in Waterford, Ohio and grew up in Greenfield, Pennsylvania along with two sisters, Janet and Mable.

Jack Ferver's college career at Grove City College in Pennsylvania was interrupted after two years when he enlisted in the Army Air Corps' pilot training program. In 1943 he became a pilot and flew for four years. He was discharged from the Army Air Corp at the rank of Captain.

In 1948 he completed his undergraduate degree in Agricultural Education at the University of Maryland and was employed at what is now Michigan State University. He worked at MSU for 13 years, mostly as a County 4-H Club Agent, during which time he completed his master's degree in 1952. In 1961 he earned his doctorate degree at the University of Wisconsin-Madison. For his Ph.D. dissertation he conducted an analysis of the behavior of County Extension Directors as Coordinators of Community Development Programs.

Professor Ferver became a faculty member in the School of Education's Department of Continuing and Vocational Education at the University of Wisconsin-Madison in 1964. In addition to his teaching, his work included developing programs for Wisconsin field offices for the Extension Division. He also played an important role in the development of the Extension's programs in Performing Arts and Women's Education. Additionally he advised universities and government extension programs in Taiwan and Okinawa. During his time on the faculty he served as founding President of the Wisconsin Adult Education Association, served as President of the American Association of Adult and Continuing Education, and was inducted into the International Adult and Continuing Education Hall of Fame. He retired in 1986 as Emeritus Professor.

After retiring from the University of Wisconsin he continued his writing and published three books on the religion of Humanism and Spirituality.

Jack and his wife Dorothy, who passed in 2013, had five children, Scott Skare (Elise), Stacy Skare (Teresa), Cindy Ferver (JJ), Kent Ferver, and Jack W. Ferver (Jeremy), six grandchildren and five great-grandchildren.

A Memorial Service and Celebration of Life was held on January 21, 2017 at Park Hall, in Sauk City, Wisconsin

MEMORIAL COMMITTEE  
Jim Escalante, Peter Goff

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**Memorial Resolution of the Faculty of the University of Wisconsin-Madison  
On the Death of Professor Emeritus Hugh Hellmut Iltis**

Hugh Hellmut Iltis passed away peacefully at his home within the UW Arboretum on December 19, 2016 at the age of 91. Widely regarded as one of the most influential botanists of his generation, he continued to study plants and fight for environmental conservation to the end of his rich life. He joined the Botany faculty at the University of Wisconsin–Madison in 1955 as a plant taxonomist and curator of the UW-Madison (WIS) Herbarium. He served as a professor and Director of the Herbarium until retiring in 1993.

Hugh Iltis was born April 7, 1925 in Brno, Czechoslovakia. His father, a biologist and biographer of Gregor Mendel, was targeted by the Nazis as an outspoken Jewish intellectual. He and then his family fled through Europe and eventually gained entrance to the United States with the help of Albert Einstein settling in Fredericksburg, Virginia. Hugh trained at the University of Tennessee and Washington University in St. Louis where he earned his PhD in 1952. During World War II, he enlisted in the U.S. Army and served in Europe until 1946 first as a medic and then in Army Intelligence, interrogating captured German officers for the Nuremberg trials. He was married three times, and is survived by four sons: Frank, Michael, David, and John.

Iltis worked tirelessly to build the already respected University of Wisconsin Herbarium into the exceptional institution it is today. He and his students crisscrossed the state to collect thousands of specimens, documenting distributions of plant species across the Upper Midwest. He also led and oversaw innumerable expeditions to Mexico and Central and South America. On the altiplano of southern Peru he discovered two undescribed species of wild tomato, one of which provided genetic material to greatly improve commercial varieties. Iltis was also the world authority on the caper (*Capparaceae*) and spider-flower (*Cleomaceae*) families. However, he is best known for his role in helping to discover perennial teosinte, a wild diploid relative of modern maize, and elucidating the morphological changes that transformed such an unpromising wild grass into one of the most important crops in the world. He often finished lectures by admonishing his students to “be a good ancestor” and to leave the world a better place than they found it. When asked in a public lecture “what good is nature,” he retorted “what good are you?”

Hugh’s courses in plant geography, taxonomy, grass systematics, and lectures on ‘Man’s Need for Nature’ were wildly popular. He trained 37 graduate students. He established particularly strong relationships with botanists from Mexico and Latin America bringing many to study at UW–Madison (often providing free board and lodgings for weeks to months at his home). His work with colleagues at the University of Guadalajara led to the creation of the 345,000-acre Sierra de Manantlán Biosphere Reserve in Jalisco, Mexico. He also co-founded the Wisconsin Chapter of The Nature Conservancy, working to preserve iconic natural areas in southern Wisconsin and helped to establish Hawaii’s Natural Areas Law. He also helped lead the fight to outlaw the use of DDT in Wisconsin, the first state to ban this pesticide. He and his late wife, Sharyn Wisniewski, left a gift to the UW-Madison Department of Botany to support graduate student fieldwork in the area of plant systematics.

On Earth Day, 2017 Dr. Iltis was inducted into the Wisconsin Conservation Hall of Fame -- one of many honors bestowed upon him in recognition of his illustrious career. Iltis received the Sol Feinstone Environmental Award (1990), National Wildlife Federation of Merit Award (1992), and Society for Conservation Biology Service Award (1994). Fellow botanists honored Hugh Iltis by naming one genus and 19 species of plants after him. Other accolades include the Asa Gray Award (American Society of Plant Taxonomists) in 1994, a special Merit Award (American Society of Botany) in 1996, the Luce Maria Villareal de Puga Medal from the University of Guadalajara in 1994, and an honorary degree from there in 2007. Hugh Iltis practiced what he preached and will not be forgotten.

**MEMORIAL COMMITTEE**

Kenneth Cameron, Theodore Cochrane, Kenneth Sytsma, and Donald Waller

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**FACULTY SENATE  
MINUTES  
03 April 2017**

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Chancellor Rebecca Blank called the meeting to order at 3:32 p.m. with 140 voting members present (110 needed for quorum). Memorial resolutions were offered for Professor Emeritus Harald Næss (Faculty Document 2674) and Professor Emerita Dorothy Pringle (Faculty Document 2675). Chancellor Blank presided over the presentation of the 2016-2017 Hilldale Awards. The recipients are: Arts and Humanities Division: Henry John Drewal (Art History and Afro-American Studies), Biological Sciences Division: Kenneth Raffa (Entomology), Physical Sciences Division: John W. Valley (Geoscience), Social Sciences Division: David Weimer (Political Science and Robert M. La Follette School of Public Affairs).

Chancellor Blank announced the opening of faculty elections to committees and encouraged everyone to vote. She also provided updates on the federal and state budget processes, lobbying and informational events with the state legislature and across the state, the upcoming audit of campuses' relations with foundations, and possible concealed carry legislation. Blank also welcomed the new dean of the Wisconsin School of Business and two new Regents, one of whom is a Madison alum. She concluded by noting that our campus post-tenure review policy would be considered by the Board of Regents later in the week. There were no questions or comments. The minutes of the meeting of March 6, 2017, were approved with amendment.

Associate Professor Alan Rubel (School of Library and Information Studies) presented a proposal to change the name of the School of Library and Information Studies to the Information School (Faculty Document 2676). There were several questions and comments, one seeking clarification of the use of the term "information" and the others in support of the proposal.

Professor Chad Goldberg (Sociology, District 71) moved adoption of a resolution calling for fair and equitable pay for Faculty Assistants (Faculty Document 2677). The motion was seconded. Several people including faculty members, Faculty Assistants, and one graduate student, spoke to the motion. Prof. Goldberg called the question. The motion to call the question passed by voice vote. The resolution passed by voice vote.

The meeting was adjourned at 5:02 p.m.



Steven K. Smith  
Secretary of the Faculty

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## **Officer Education Committee Annual Report for 2016-2017**

Military education at the University of Wisconsin-Madison dates from 1866 when the University became a Land Grant institution under the Morrill Land Grant Act of 1862. The Act required the teaching of “military science,” however, for many years it involved little more than a required drilling exercise for all male students. The National Defense Act of 1916 established the Reserve Officer Training Corp (ROTC) and a formal program of instruction augmented practice on the field. In 1923, military training became optional at the University.

During World War II the University of Wisconsin continued its commitment to providing well-trained servicemen and women for the America’s Armed Forces. In 1942, Regent President A. J. Glover, in his annual message to the University Alumni, bragged that twelve hundred sailors were enrolled in the radio code and communications school; 480 ‘Women Accepted for Volunteer Emergency Service’ (WAVES) were being trained as radio operators; an Institute of Correspondence Education for Army and Navy personnel was in operation and 2,600 students were enrolled in ROTC. For many decades the Old Red Gym served as the home for ROTC programs. Beginning in the early 1960’s ROTC classes, and eventually the headquarters for all three units, were moved to other temporary facilities around campus. The temporary homes for ROTC Programs have changed numerous times over the years, even though the Army and Navy were assured by campus as early as the late 1940’s that they would soon have new permanent headquarters.

The University of Wisconsin – Madison has continued to meet its Land Grant obligation. Indeed, this is one of a few universities that offers students the opportunity to earn a commission in any of the three armed services. We host three departments: Military Science, Naval Science which includes the Marines and Aerospace Studies. The Regents’ contracts with the services provide that each program has full departmental status and enjoys privileges comparable to those of other academic departments on campus. Faculty status is granted to the Commanding officers in the programs [Faculty Policies and Procedures (FPP) 1.02.-1.03.].

**The Officer Education Committee** [FPP 6.47] consists of the following members: The provost; eight faculty members, one of whom serves as the director of Officer Education Programs; and the commanders of the Officer Education Programs who are ex officio and nonvoting, in addition to four consultants.

Its primary charge is to recommend policy relating to Officer Education Programs. The academic components of the Officer Education Program (OEP) operate under the supervision of the Officer Education Committee (OEC). Members of the committee are chosen from a wide range of departments and disciplines. The Committee on Committees is delegated to make the faculty appointments to the OEC. In addition to their other functions, the OEC examines, for approval, the qualifications of all officers nominated for service on campus. The committee personally interviews and recommends action on nominations of persons to serve as unit commanders, each of whom holds the title professor of military science (FPP 1.03.B.1.). Two former professors of military science are currently on University staff. Kris Ackerbauer is the Assistant Director of the Physical Plant, and John Bechtol is the Assistant Dean of Student Affairs for Veteran Services. Both serve as consultants to the OEC and the ROTC programs.

The combined programs receive more than \$3.3 million each year in federal funds, which are used for student scholarships, salaries of officers, enlisted personnel and civilian support staff, and for supplies. The University of Wisconsin's 2016-17 budget (101) contribution of \$199,463 includes funding for administrative support for each of the services and for the Officer Education Program (directed by Professor James Johannes, School of Business), miscellaneous support, and for use of an off-campus rifle range.

All classes offered in the three departments conform to university and campus rules, including the laws, policies, and regulations for equity and diversity. Courses offered by the ROTC programs are open to all UW-Madison students. A number of non-ROTC students interested in courses such as navigation or military history, or who are considering the possibility of seeking a commission, take courses in the three programs. Some ultimately enroll in the commissioning program, while others do not.

The military services have established standards for commissioning, and all students who choose to pursue commissions sign contracts before entering the final two years of the program. They receive monthly stipends, the amount depending on their year in college. Subsequent to graduation, commissioned officer graduates are obligated to serve various periods of time on active duty or in the reserves.

**Navy-Marine Corps:** The Department of Naval Science and Naval Reserve Officers' Training Corps (NROTC) program, located at 1620 University Avenue, operates under the leadership of Captain Christopher Murdoch. Naval ROTC continues its primary focus on preparing midshipmen for active duty service as officers in the Navy and Marine Corps. Naval ROTC is staffed by five active-duty Navy and Marine Corps officers, one senior non-commissioned officer, two federal civilian employees, and one University of Wisconsin classified employee.

- Naval ROTC commissioned 29 (21 Navy, 8 Marine) officers for active duty service during the period covered by this report. All officers are commissioned into the unrestricted line of the Navy or into the Marine Corps—this program does not produce officers for reserve service. Naval officers are assigned into the aviation, submarine, surface, or special warfare communities. Program size remains at approximately 70 midshipmen.
- As reported on the January 2016 annual Equal Opportunity Survey, 19% of midshipmen were female, 7% identified themselves as minority, and 7% declined to report.
- During the week before the start of classes, Naval ROTC conducts Student Orientation Week at Ft. McCoy, WI for the entire battalion. All returning and prospective midshipmen complete training designed to prepare them for service as Navy or Marine Corps officers.
- Early in the fall semester each year, Wisconsin Naval ROTC hosts a drill meet with several other university NROTC teams competing. Wisconsin placed overall first in 2014 and second in 2015. Each spring the midshipmen travel to an away drill meet—in 2015 to Colorado and to Villanova in 2016.
- Naval ROTC midshipmen participate as a battalion in three major service events each year—one each in support of the university, the broader community, and veterans. Blood drives each semester and clean-up of the Lakeshore Preserve are typical. In April 2015, Naval ROTC hosted 50 Vietnam-era veterans for a breakfast and presentation of the Vietnam service pin as part of the National Commemoration. Many veterans in

attendance had never been thanked for their service. Additionally, midshipmen participate in hundreds of service events each year, as individuals or in smaller groups, including polar plunge, Habitat for Humanity, color guard and many others.

- In October 2014 the Navigation classroom at the naval armory received a major renovation with the installation of the Mariner Skills Simulator computer lab. During the summers of 2015 and 2016, the classrooms, offices and drill deck in the naval armory were renovated. Additionally, security was improved through installation of cameras and card access systems. The Alumni Association facilitated renovation of our Wall of Honor honoring alumni of Naval ROTC who sacrificed all.
- Naval ROTC hosts a formal military ball each semester. The Fall 2015 event was held jointly with Army and Air Force ROTC at the Monona Terrace Convention Center. Springs balls welcome families and feature presentation of performance awards.
- Naval ROTC sends 3-5 midshipmen to the Notre Dame Leadership Conference each spring.
- In Spring 2016, midshipman Alexander Fox was awarded the prestigious Herfurth award from the University.
- Each summer, midshipmen participate in training at bases, on ships, and in squadrons throughout the Fleet. Of note, in 2016 two midshipmen were assigned to squadrons embarked on deployed aircraft carriers and one aboard a Japanese warship. Marine midshipmen complete Officer Candidate School during the summer before their senior year.
- Naval ROTC hosted several distinguished guests during the period of this report, including the Vice Chief of Naval Operations, Commander, Naval Service Training Command, and Deputy Commander, Navy Recruiting Command. Throughout the year, Naval ROTC hosts representatives from the five warfare communities, as well as distinguished speakers who interact with and mentor the midshipmen.
- Scholarship and other payments to the University and midshipmen in the program was approximately \$1.2 million during the past academic year.
- Naval ROTC welcomes campus leadership and departments, including athletics and admissions, to display a much greater degree of support for the Naval ROTC program. This support could take the form of attendance at any of the many events held each semester, increased visibility in campus media, interaction with the midshipmen, or other recognition of Wisconsin students who are preparing to take the commissioning oath in defense of the country.

**Army:** The Department of Military Science (AROTC) operates under the supervision of LTC Katie J. Blue, Professor of Military Science. Their headquarters is located at 1910 Linden Drive. The Badger Battalion is the largest of the three ROTC entities, with current staffing set at four officers, two noncommissioned officers, three Department of Army Civilians, one contractor, and one University Services Associate. It receives supplementary support from the Wisconsin National Guard with two additional officers and four noncommissioned officers. Personnel are spread out over three campuses: UW-Madison, UW-Whitewater, and Maranatha Baptist University.

- On the UW-Madison Campus 116 students are enrolled in AROTC (Army Reserve Officer Training Corps) classes (AROTC 100 and 200 level courses), of which many are UW student-athletes [football, basketball, men's and women's hockey, rowing, etc.]; the remaining 75 are either contracted, non-contracted, or participating in AROTC program

classes. AROTC includes students from other nearby colleges: 3 cadets from Edgewood College; 29 Cadets from UW-Whitewater and 17 Cadets from Maranatha Baptist University in Watertown. In total from all campuses 95 Cadets are actively pursuing a commission and currently contracted with the program and 28 Cadets are seeking to contract. The remaining students are “participating students” who complete the Military Science classes as an academic student, but are not formally enlisted or pursuant to the program. AROTC expects to commission 20 cadets this academic year and recently commissioned 2 in December 2016. Currently 15% of AROTC students are women, and minorities make up 10% of AROTC’s contracted population.

- Scholarship payments to the university total \$586,399 with a total of \$1,058,260 federal dollars being paid which includes tuition, stipends, book allowances, and training.
- The UW-Madison program was named number one program in a Brigade of 42 Universities in FY 2016 based on Administration, Training and Operations, Logistics, and Recruiting. Additionally, the program was number one overall in the category of Logistics.
- Over the summer, cadets participated in a multitude of summer training and internship opportunities. 27 Cadets attended Advanced Camp and 9 Cadets attended Basic Camp at Fort Knox, KY. Each is a period of 28 training days. UW-Madison AROTC Cadets have been recognized throughout the previous academic year for exceeding the Cadet Command Advanced Camp national averages for Physical Fitness and overall performance. During the school year, cadets attend two field training exercises and competed in what is considered the “Varsity” sport of Army ROTC, Ranger Challenge. 11 Cadets completed a summer internship abroad for the Cultural and Understanding Language Program in Colombia, Madagascar, Honduras, Estonia, Rwanda, Chile, and Panama. Two Cadets participated in Project GO. 10 Cadets participated in the German Armed Forces Proficiency Badge and 16 Cadets traveled to White Sands, New Mexico, to participate in the Bataan Memorial Death March – a 26.2 mile march to remember the U.S. and Filipino soldiers who surrendered to Japanese forces during WWII and were forced to march 65 miles in the Philippines.
- The program has made great strides to extend the sphere of influence of the AROTC unit on campus and within the community; improving upon mutually beneficial relationships with both the University Athletic and Academic Departments alike. Some of the more notable contributions and involvements include the following: spearheading the Lakeshore Cleanup Project in appreciation for land use and community outreach, establishing an Army ROTC Alumni Association inducting four new Hall of Fame members, recognizing the first two national ROTC Hall of Fame Inductees, continued support and integration with the End Violence on Campus (EVOCC) organization, continuing to promote diversification through dedicated Cadre supported recruitment efforts.
- The Hilldale Fund continues to sponsor a “Staff Ride” for graduating Cadets. Last years’ Staff Ride was focused on Vietnam which allowed an opportunity for discussion of the events which transpired on campus. All three ROTC programs are Vietnam 50th Commemorative Partners – a federally funded program recognizing Vietnam Era Veterans that served between 1 November 1965 and 1 May 1975.

**Air Force:** The Department of Aerospace Studies (Air Force Reserve Officer Training Corps or AFROTC) -Detachment 925 - operates under the supervision of Lt Col Gregory Goar, UW-Madison '93, and is located at 1433 Monroe Street across from the Camp Randall Memorial Sports Center. The Air Force unit consists of three officers, two Non-Commissioned Officers (NCOs), and one University of Wisconsin classified employee (administrative assistant). Detachment 925 continues to set the standard in developing the best Air Force officer candidates, nationwide! We are focused on recruiting, retaining and cultivating a diverse population of high-achieving, college-aged students with a passion to serve their country. This is accomplished by actively engaging high school and undergraduate students through recruiting events and one-on-one informational sessions, providing an avenue for enjoyable and challenging group events, focused on cadet esprit de corps and resiliency, and by providing an exceptional learning environment through classroom studies, leadership opportunities and physical training. As of fall 2016, the total cadet enrollment was 70 students including; 2 from Maranatha Baptist University, 6 from UW-Whitewater and 2 from Madison College, all who commute to participate in the UW-Madison program.

- The commissioning class projected for academic year 2016-17 is 14 cadets. Funding, including scholarships, textbooks and a stipend currently being provided to 49 cadets (70% of enrollment), totals about \$916,500, annually.
- Physical fitness and academic excellence continue to be hallmarks of Detachment 925. We are currently ranked #3 of 145 detachments nationwide, measured by our Physical Fitness Assessment average, and are continuing to return to the top. Academically, our detachment ranks in the top 40 nationally, with a combined cumulative grade point average of 3.28. Overall, the program was named the #1 medium-sized detachment in the Northwest Region for the last academic year!
- Currently, over 28% of our cadets are female, which is above the Active Duty Air Force demographic. While the Air Force places a high emphasis on recruiting for diversity, our unit continues to reflect the typical composition of Wisconsin's communities. Efforts are being made to improve recruitment among minority groups.
- This summer will prove exceptionally challenging to many of our cadets, as 13 cadets look forward to field training, and 3 of our cadets will study foreign cultures, either domestically or abroad, through the Project Global Officer program - a collaborative effort between host universities and the Department of Defense.

**Concerns and Recommendations:** The primary concern for the ROTC detachments at UW-Madison is physical space and access to campus facilities for mandatory training requirements. The Naval program will need to relocate for the planned construction of the new Wisconsin Energy Institute building. Program growth in scope and education technology requirements also presents serious physical space challenges. New dedicated share space for all ROTC detachments will assure the national competitiveness of the UW-Madison ROTC program and continues the campus commitment to officer education. A plan for a new joint ROTC facility on Lot 16 is in the concept stage for consideration in the 2015-17 campus biennial budget. ROTC detachments at UW-Madison desire to be better integrated into the campus community and their significant accomplishments be recognized in University communications similarly to the accomplishments of other campus units. These concerns have been conveyed to University leadership.

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**Advisory Committee for the Office for Equity and Diversity Annual Report for 2015-2016**

Committee members: Parameswaran Ramanathan (chair), Catherine Stephens, Steffen Lempp, Thomas Browne, Steven Kosciuk, Pilar Ossorio, Kyung-Sum Kim, Tim Shedd, Audrey Tluczek, Stephanie Diaz de Leo, Veronia Sundal, Trenton Yadro, Nicole Galicia, Eduardo Munaiz.

- The committee had meetings on September 18, 2015, October 16, 2015, November 18, 2015, February 19, 2016, and April 15, 2016.
- At its September 18, 2015 meeting, the committee heard reports from Director of the Office for the Equity and Diversity. He reported that campus has created a new Office of Compliance and some of responsibilities may move to this new office. At that time, Ray Taffora was serving as Acting Director of the Office of Compliance. The committee discussed the issue of Conflict of Interest issues raised by this appointment. As Director of Office of Compliance he will be leading an office that will responsible for investigating compliance violations and as Chief Legal Officer for the campus, he will also be responsible for defending the University if such issues are not resolved internally. Although this dual role is not a violation of law, it raises several troubling issues. With Cathy Treuba's appointment as the Director of Office of Compliance the issue has become as less important. Nevertheless, the campus should be vigilant about the chain command from Office of Compliance to reduce perceptions of conflict to the maximum extent possible.
- At its October 16, 2015, meeting Vice Provost Patrick Sims discussed the ongoing initiatives in his office. Since the Office of Equity and Diversity (OED) is under the purview of Vice Provost Sims, we discussed, at great length, the changing responsibilities of this office.
  - o OED's responsibilities have been expanding since its founding in 1984.
  - o Some of the current functions of OED include: Affirmative Action, Applicant Tracking, Accommodations Specialists, Compliance related to HiPPA, Title IX, FERPA, Open Records, ADA, Complaint Investigator, Outreach through Consultations, Graduate Assistant Equity Workshop, SACS, etc.
  - o Vice Provost Sims initiated an internal review of OED in February 2015 and the review was complete in Summer 2015.
  - o Vice Provost Sims is looking to revamp OED structure in light of the new Office of Compliance.
- At its November 18. 2015 meeting, OED staff member Veronica Sundal described challenges of the Applicant Tracking and Employee Tracking.
  - o Both of these activities are currently a manual process. However, a new software called PageUp is being considered. It may contain features to make Applicant Tracking more automated.
  - o When it comes to faculty hiring, departments often use their own approach without relying of UW-Madison software. For example, all Mathematics departments in the US using a single site (mathjob.org) where potential candidates enter their applications. Unless that site contains the information needed for Applicant Tracking, manual process will be required to track Mathematics applicant. Similar challenge with many other departments.

o Employee Tracking involves tracking terminations, promotions, salary progression, etc. However, in many cases, we do not have electronic documentation of why employee raises were given. This information is needed for us to comply with the Equal Pay directive from the Obama administration.

- At the end of its November 18, 2015 meeting and from the OED internal review report, the Advisory committee felt that OED did not have adequate staff to meet all its responsibilities. The committee wrote a letter to Vice Provost Sims and Provost Sarah Mangelsdorf highlighting lack of adequate staff at OED. Thus far, the Advisory Committee has not received a response from either Vice Provost Sims or Provost Sarah Mangelsdorf.
- At its February 19, 2016 meeting, the committee met with Tonya Schmidt. She talked about the Tonight program and the process currently used in sexual assault investigations. In 2015, there were 24 sexual assault investigations that resulted in 8 hearings in front of a sanctions panel.
- At its April 15, 2016 meeting, the committee met with David Blom. He is the campus Title IX coordinator in the Office of Compliance.
  - o He suggested that the campus should encourage Graduate Student Associations to take responsibility to conduct sexual harassment and climate surveys.
  - o The Advisory Committee may want to contact all department chairs and unit directors to see whether climate surveys have been done recently.

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## Committee on Faculty Rights and Responsibilities Annual Report for 2012-2016

### I. Functions

The functions of the committee are to serve as the review committee for nonrenewal appeals pursuant to *Faculty Policies and Procedures (FPP)* 7.10.; to serve as the hearing committee for appeals in discipline and dismissal cases in accordance with the provisions of *FPP* Chapter 9; and to serve as the hearing committee in cases of layoff due to financial emergency pursuant to *FPP* Chapter 10.

### II. Committee Activities

#### 2012-13 Committee Activities

The 2012-13 Committee on Faculty Rights and Responsibilities (CFRR) met once to consider an appeal of a nonrenewal decision, filed in April 2013. In this case, due to insufficient evidence, the CFRR dismissed (by a vote of 6 yes and 3 no) the assertion that required procedures were not followed. A motion to endorse the assertion that unfounded, arbitrary, or irrelevant assumptions of fact were made failed by a vote of 4 yes and 5 no. Therefore, by unanimous vote, the committee dismissed the appeal, without prejudice. The appellant refiled the appeal in June 2013; that resubmission is included below in the committee activities for 2013-14.

#### 2013-14 Committee Activities

The 2013-14 Committee on Faculty Rights and Responsibilities (CFRR) met once to consider the resubmission of an appeal dismissed without prejudice during the prior year. The CFRR concluded that this claim related specifically to treatment of a tenure clock extension request, and therefore was outside the procedural remedies available to the CFRR as provided by UWS 3.08 and FPP 7.10. In August 2013, the CFRR unanimously recommended that the chancellor request that the University Committee review the tenure clock extension request and reconsider whether an extension was appropriate. The CFRR further recommended, by a vote of 6 yes and 2 no, that in the event the University Committee determined that an extension was appropriate, that the probationary faculty member be evaluated for tenure by an ad hoc de novo tenure committee appointed by the University Committee per FPP 7.10.C.

(The University Committee did approve the extension request upon review in September 2013 and in October 2013 appointed a de novo review committee. In March 2014, the de novo committee recommended promotion; in May 2014, the divisional committee also recommended promotion and promotion was granted by the Board of Regents in June 2014.)

The 2013-14 CFRR also met two times to consider one other appeal of a nonrenewal decision. In this appeal, the committee found that the documentation submitted showed evidence supporting allegations of violations of UWS 3.08(1)(c)(1), that required procedures were not followed, but that no material prejudice resulted. The committee also found that the appellant failed to meet the burden of proof to support allegations of violations of UWS 3.08(1)(c)(2-3), with material prejudice to the appellant, that available data bearing materially on the quality of performance were not considered or that unfounded, arbitrary, or irrelevant assumptions of fact were made about work or conduct. By a vote of 6 yes and 1 no, the committee dismissed the appeal, with prejudice.

## 2014-15 Committee Activities

The 2014-15 Committee on Faculty Rights and Responsibilities (CFRR) met six times to consider two appeals of nonrenewal decisions. The committee also met once (March 2015) concerning a faculty dismissal case that was ultimately heard by the 2015-16 CFRR.

The first nonrenewal appeal was originally filed in January 2015 as a complaint to the University Committee, which referred the case to the CFRR. In February 2015, the CFRR issued a revised timeline for the appellant to request a statement of reasons and reconsideration from the department, and instructing the appellant on how to submit an appeal to CFRR after that, if appropriate. The revised appeal was filed in May 2015 and in June 2015 the committee unanimously concluded that the department failed to properly apply standards, failed to comply with procedural requirements resulting in material prejudice to the tenure case, and failed to cure its errors during reconsideration. The CFRR found that it would serve no useful purpose to remand the case back to the department and requested that the University Committee appoint an ad hoc de novo review committee in accordance with FPP 7.10.C.

(The University Committee appointed an ad hoc de novo review committee for this case in August 2015. In April 2016, the de novo committee voted 0 yes and 5 no to recommend advancing the case to the dean for consideration for tenure. The appellant requested reconsideration of the ad hoc committee's decision in May 2016. The ad hoc committee unanimously upheld its prior decision not to recommend tenure.)

The second nonrenewal case was submitted in March 2015. Following deliberation and consideration of additional materials, the CFRR found in May 2015 (by a vote of 6 yes, 0 no, and 2 abstentions) that the appellant had not met the burden to prove improper consideration of qualifications and therefore denied the appeal. In July 2015, the chancellor remanded the case to the CFRR, asking the committee to consider additional materials from the appellant. As part of its review in response to the remand, the CFRR asked the appellant's departmental executive committee to also consider additional information and report to the CFRR whether this information would change any member's vote. In September 2015, the department chair reported that no member of the executive committee wished to change their vote. Based on this information and its own deliberations, the CFRR reported to the chancellor that (by a vote of 5 yes and 2 no) the committee stood by its earlier decision to deny the appeal.

(In September 2015, the chancellor informed the appellant, upon review of the totality of circumstances, that there were no procedural errors in the process, the nonrenewal decision was not arbitrary, and there was no failure to consider relevant data about performance. The chancellor thus concluded that the CFRR correctly held that appellant had not met the burden of proving that the nonrenewal decision was based on any of the factors in UWS 3.06 and she upheld the CFRR's decision in this matter. In April 2016, the appellant filed a grievance against the CFRR with the University Committee per FPP 8.15, alleging violation of rights and discriminatory treatment, and requesting as remedy that the University Committee appoint an ad hoc review committee to conduct a de novo review of the tenure record. In July 2016, the University Committee found that there had been a procedural error in the CFRR's consideration of the case, but that that error had no material impact on the CFRR's decision. Thus, the University Committee upheld the CFRR decision and denied the grievance.)

## **2015-16 Committee Activities**

The 2015-16 Committee on Faculty Rights and Responsibilities (CFRR) met four times to consider two appeals of nonrenewal decisions. The committee also met once to consider a faculty dismissal case, prior to hearings held over a three-day period as described below. The CFRR chair and the Secretary of the Faculty had several separate meetings with that faculty member and university counsel in preparation for the hearings.

The first nonrenewal appeal was filed in December 2015. In March 2016, the CFRR unanimously found that the allegations in the appeal were valid and may have substantially affected the tenure/renewal decision; that the nonrenewal decision was based to a significant degree upon impermissible factors and/or improper procedure with material prejudice to the appellant; and that remanding the case back to the department would serve no useful purpose. The CFRR therefore requested that the UC appoint an ad hoc de novo review committee per FPP 7.10.C.

(The University Committee appointed an ad hoc de novo review committee for this case in April 2016. In May 2016, the de novo committee unanimously voted to recommend advancing the case to the dean for consideration for tenure. In Fall 2016, the divisional committee also recommended promotion and this individual is on the promotion list to be approved by the Board of Regents in June 2017.)

The second nonrenewal case was submitted in July 2015, but returned by the CFRR, which was unable to determine its validity due to several missing items and conflicting information. Following resubmission in September 2015, the CFRR ruled by majority vote that the information provided did not support the allegations and therefore dismissed the appeal with prejudice.

An appeal of the provost's recommendation for a faculty dismissal resulted in a hearing held on Friday, Saturday, and Sunday, May 6-8, 2016. The hearings were conducted by the committee, with two substitutions to replace members with conflicts, pursuant to FPP and UWS. The dismissal recommendation included five allegations, on four of which the hearing panel found that the provost established a clear and convincing case (by votes of 8-0, 7-1, 8-0, and 6-1-1) and on one of which that the provost had failed to establish clear and convincing evidence. The hearing panel also found that: the first substantiated allegation (by a vote of 5-3) did not, standing alone, provide a basis for termination, but did (by unanimous vote) constitute misconduct subject to appropriate sanction; the second substantiated allegation (by a vote of 2-6) did not, standing alone, establish sufficient grounds for dismissal, but did (by unanimous vote) warrant the imposition of disciplinary sanctions less severe than dismissal; the third substantiated allegation (by unanimous vote) did not, by itself, establish a ground for dismissal, but did (by unanimous vote) constitute conduct that warrants the imposition of a sanction short of dismissal; and the fourth substantiated allegation (by unanimous vote) did not, standing alone, constitute grounds for dismissal, but did (by a vote of 8-0) warrant the imposition of a sanction less than dismissal. Finally, the committee considered the question of whether the four substantiated allegations, taken together, established a case for dismissal. By a unanimous vote of 8-0, the committee concluded that the provost had established, by clear and convincing evidence, a case of dismissal for cause and therefore the committee recommended dismissal.

(Per FPP 9.09.B., a finding of just cause for the imposition of discipline or dismissal requires a majority vote with not more than two dissenting votes.)

### III. Committee on Faculty Rights and Responsibilities Membership

#### 2012-13 Committee Membership

Jean Bahr (Geoscience)  
Dominique Brossard (Life Sciences Communication)  
Thomas Givnish (Botany)  
Irwin Goldman (Horticulture)  
Mary Layoun (Comparative Literature)  
Douglas Maynard (Sociology)  
Patricia McManus (Plant Pathology)  
Thatcher Root (Chemical and Biological Engineering) Chair  
Kirsten Wolf (Scandinavian Studies)

#### 2013-14 Committee Membership

Jean Bahr (Geoscience)  
Susan Coppersmith (Physics)  
Thomas Givnish (Botany) Chair  
Irwin Goldman (Horticulture)  
Nancy Kendall (Educational Policy Studies)  
Caroline Levine (English)  
Douglas Maynard (Sociology)  
Patricia McManus (Plant Pathology)  
Kirsten Wolf (Scandinavian Studies)

#### 2014-15 Committee Membership

J Michael Collins (Consumer Science)  
Susan Lederer (Medical History and Bioethics)  
Howard Schweber (Political Science) Chair  
Susan Coppersmith (Physics)  
Nancy Kendall (Educational Policy Studies)  
Caroline Levine (English)  
Douglas Maynard (Sociology)  
Patricia McManus (Plant Pathology)  
Kirsten Wolf (Scandinavian Studies)

#### 2015-16 Committee Membership

Jean Bahr (Geoscience)  
Corinna Burger (Neurology)  
Susan Coppersmith (Physics)  
Irwin Goldman (Horticulture)  
Caroline Levine (English)  
Jennie Reed (Chemical and Biological Engineering)  
Howard Schweber (Political Science) Chair  
David Vanness (Population Health Sciences)  
Jin-Wen Yu (Dance)

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**Report of Elections to UW-Madison Faculty Committees for 2017-2018**

Presented by the Committee on Committees and the Divisional Committees

**Commission on Faculty Compensation and Economic Benefits**

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Incoming members, 3 year termsRandolph Ashton – Biomedical Engineering (2<sup>nd</sup> term)  
Eric Sandgren – Pathobiological Sciences  
Jessica Weeks – Political Science (2<sup>nd</sup> term)Continuing membersRandolph Ashton – Biomedical Engineering  
Amir Assadi – Mathematics  
Daniel Grabois – Music  
Bruce Thomadsen – Medical Physics  
Jessica Weeks – Political Science  
Jason Yackee – Law**Committee on Faculty Rights and Responsibilities**

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Incoming members, 3 year termsSusan Lederer – History of Medicine (2<sup>nd</sup> term)  
Mary Halloran – Zoology  
Adam Nelson – Educational Policy StudiesContinuing membersCorinna Burger – Neurology  
Irwin Goldman – Horticulture  
Susan Lederer – History of Medicine  
Gloria Mari-Beffa – Mathematics  
Steven Nadler -- Philosophy  
Pilar Ossorio – Law  
Jennie Reed – Chemical & Biological Engineering**Library Committee**

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Incoming faculty members, 4 year termsLeema Berland – Curriculum & Instruction  
Alessandro Senes -- BiochemistryContinuing faculty membersCecile Ane – Botany  
Yang Bai – Physics  
Sabine Gross – German, Nordic, Slavic  
Eneida Mendonca – Biostatistics & Medical  
Informatics  
Catherine Arnott Smith – Library & Information  
Studies Sarah Thal - History**University Committee**

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Incoming members, 3 year termsSteve Ventura – Soil Science  
Terry Warfield -- BusinessContinuing membersRick Amasino – Biochemistry  
Barbara Bowers - Nursing  
Ruth Litovsky – Communication Sciences & Disorders  
Anja Wanner – English**Committee on Committees**

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Incoming elected member, 4 year term

John Yin – Chemical Engineering

Continuing membersNaomi Chesler – Biomedical Engineering  
Ivy Corfis – Spanish & Portuguese  
Ron Gangnon – Population Health Sciences  
Noah Weeth Feinstein – Curriculum & Instruction  
Morton Ann Gernsbacher -- Psychology  
Michael Gould – Oncology  
Laura McClure – Classics

**Arts & Humanities Divisional Executive Committee**

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Incoming members, 3 year terms

Nevine El-Nossery – French & Italian  
Rania Huntington – Asian Languages & Cultures  
Marcelo Pellegrini – Spanish & Portuguese  
Mike Vandenheuvel – Classical and Near Eastern Studies

Continuing members

Robert Glenn Howard -- Communication Arts  
Florence Hsia -- History of Science  
Amaud Johnson -- English  
B. Venkat Mani -- German  
Tony Michels -- History  
Katrina Daly Thompson, chair -- African Languages & Literature  
Les Thimmig -- School of Music  
Peter Vranas – Philosophy

**Biological Sciences Divisional Executive Committee**

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Incoming members, 3 year terms

Caitilyn Allen -- Plant Pathology  
Randy Jackson -- Agronomy  
John Orrock -- Zoology  
Richard Gourse -- Bacteriology

Continuing members

David Baum -- Botany  
Paul Campagnola -- Biomedical Engineering  
Timothy Gomez -- Neuroscience  
Claudio Gratton, co-chair -- Entomology  
John Kuo, co-chair -- Neurological Surgery  
Susan Thibeault -- Surgery  
David Wassarman, co-vice chair -- Genetics  
Jyoti Watters, co-vice chair -- Comparative Biosciences

**Physical Sciences Divisional Executive Committee**

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Incoming members, 3 year terms

John Berry -- Chemistry  
Hongrui Jiang -- Electrical and Computer Engineering  
David Lynn -- Chemical and Biological Engineering  
Krishnan Suresh -- Mechanical Engineering

Membership 2017-2018

Robert Anex, vice chair -- Biological Systems Engineering  
Andrea Arpaci-Dusseau -- Computer Sciences  
Laurel Goodwin, chair -- Geoscience  
Matthew Hitchman – Atmospheric and Oceanic Sciences  
David Noyce -- Civil & Environmental Engineering  
Snezana Stanimirovic -- Astronomy  
Izabela Szlufarska -- Materials Science & Engineering  
Stefan Westerhoff -- Physics

**Social Sciences Divisional Executive Committee**

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Incoming members, 3 year terms

Steven Deller -- Agricultural & Applied Economics  
Bruce Hansen -- Economics  
Andrea Mason -- Kinesiology  
Mark Rickenbach -- Forest & Wildlife Ecology

Continuing members

Marcy Carlson – Sociology  
Jason Fletcher -- La Follette School of Public Affairs  
Erica Halverson -- Curriculum & Instruction  
Kristine Kwekkeboom -- Nursing  
Maryellen MacDonald, vice chair -- Psychology  
Mitchell Nathan -- Educational Psychology  
Lauren Papp -- School of Human Ecology  
Timothy Riddiough – Wisconsin School of Business

**University Research Council**

Incoming members, 3 year terms

Mario Ortiz-Robles -- English, Arts & Humanities  
Tim Donohue -- Bacteriology, Biological Sciences  
Christopher Kucharik -- Agronomy, Physical Sciences  
Sciences  
Dorothy Farrar Edwards -- Kinesiology, Social Sciences

Continuing members

Elliott Sober -- Philosophy, Arts & Humanities  
Paul Ahlquist -- Oncology, Biological Sciences  
Miron Livny -- Computer Sciences, Physical  
Carol Ryff, Institute on Aging, Social Sciences

**Graduate Faculty Executive Committee**

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Arts & Humanities

Incoming member, 4 year term

Christopher Livanos -- Comparative Literature

Continuing members

Christa Olson -- English  
Patricia Rosenmeyer -- CANES  
Kristen Wolf -- Scandinavian Studies

Biological Sciences

Incoming member, 4 year term

Lara Collier -- Pharmacy

Continuing members

Caroline Alexander -- Oncology  
Nicole Perna -- Genetics  
Monica Turner -- Zoology

Physical Sciences

Incoming member, 4 year term

Yu Hu, Electrical & Computer Engineering

Continuing members

Michael Graham -- Chemical & Biological Engineering  
Steffen Lempp -- Mathematics  
John Pfothauer -- Mechanical Engineering

Social Sciences

Incoming member -- 4 year term

Earlise Ward, Nursing

Continuing members

Kristin Eschenfelder -- Library & Information Studies  
Mary Louise Gomez -- Curriculum & Instruction  
Tracy Schroepfer -- School of Social Work  
Stephanie Tai -- Law School

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## **Proposal to Merge the Department of Urban and Regional Planning with the Department of Landscape Architecture**

The Department of Urban and Regional Planning (L&S and CALS) and the Department of Landscape Architecture (CALS) request to restructure into a single new Department of Planning and Landscape Architecture in the College of Letters and Science, effective July 1, 2017.

The new Department of Planning and Landscape Architecture will bring together dispersed resources to generate new knowledge and provide academic programs around urban and regional sustainability to improve the livability, economic vitality, and health of communities and their surrounding natural environments. Locating the new department in a single college creates administrative efficiencies and provides a solid foundation for long-term planning.

The two departments currently include 17 tenure-track faculty, seven instructional and research academic staff, and five administrative support staff positions. The new department would continue accredited academic programs in Landscape Architecture (BSLA) and Urban and Regional Planning (MS URPL). The existing PhD program will also continue, along with revised non-accredited undergraduate and graduate programs consistent with a broader multi-disciplinary focus.

Both departments have long histories on campus: Courses in City Planning were first offered on campus as early as 1911, and URPL had its official inception as a department in 1962; the first landscape classes were offered at UW-Madison in 1888.

Major benefits of a merger include the integration of two complementary disciplines to create new areas that return both fields to their early origins in public health, welfare, and ecological improvement by integrating planning, design, community development, and public policy around the disparate needs of people in urban, suburban, exurban, and rural areas. Of additional interest is the enhancement of existing ecological design and restoration/conservation curricula through integration of policy and planning processes, particularly in urban areas.

A merger would increase the capacity to manage graduate programs (URPL's MS and PhD; LA's MSLA) and undergraduate programs (BSLA and the BS major) through a combined administrative structure and course integration.

Informal discussions (since the 1970s) led to formal meetings and the Executive Committee of the Department of Urban and Regional Planning and the Executive Committee of the Department of Landscape Architecture each voted unanimously to approve this proposed plan for restructuring on October 28, 2016. Non-tenured faculty and other voting members of each department also voted unanimously to approve the proposed plan. The plan was approved at the L&S APC meeting on December 6, 2016, and the CALS APC meeting on December 20, 2016. The University Academic Planning Council discussed the name change on April 20, 2017, and unanimously approved it.



**Office of the Vice Chancellor for  
Research and Graduate Education**  
UNIVERSITY OF WISCONSIN-MADISON

## **UW-MADISON IRB SURVEY RESULTS**

Review of PI experiences with human subjects regulatory mechanisms and recommendations for improvements.

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## Executive Summary

Nationally, there has been a dramatic increase in the time researchers must spend on administrative tasks and compliance, which in turn limits the amount of time available to conduct the research itself. The Office of the Vice Chancellor for Research and Graduate Education (OVCRGE) strives to identify strategies that will reduce administrative and research burden, while upholding the protection of human subjects, research accountability, and compliance with federal regulations.

### Methods:

The OVCRGE conducted an online survey from August 29, 2016 through September 25, 2016 to obtain feedback from faculty about their experiences with human subjects regulatory mechanisms. The survey included users of the Education and Social/Behavioral Science (ED/SBS) IRB and the Health Sciences (HS) IRBs, and the data in this report reflect the perceptions and experiences of UW-Madison human subjects researchers who completed the survey.

Jan Greenberg, Associate Vice Chancellor for Research for the Social Sciences, and Ryan Moze, Assistant Director of the Office of Research Policy, led the survey drafting process. They reviewed IRB surveys administered at peer institutions, a survey administered by the HS IRB, and a survey administered by the Research Animal Resource Center (RARC). Based on this initial work, they drafted the survey with the assistance of Norman Drinkwater, the Associate Vice Chancellor for Research for the Biological Sciences.

Greenberg and Moze then sought feedback from Marsha Mailick, Vice Chancellor for Research and Graduate Education; Dan Uhlrich, (then) Associate Vice Chancellor for Research Policy; Susan Ellis Weismer, Deputy Institutional Official for Education and Social Behavioral Research; Marc Drezner, Deputy Institutional Official for Health Sciences Research; and members of the University Committee. Greenberg and Moze also met with Lillian Larson, Director of the ED/SBS IRB, and Nichelle Cobb, Director of the HS IRB, to obtain feedback and discuss the survey methodology. Based on their feedback, the survey was revised and returned to those who were consulted for additional review.

The University of Wisconsin Survey Center assisted with the wording and formatting of survey questions and programmed the survey in Qualtrics to facilitate survey administration and data analysis. A copy of the survey is provided (Appendix A).

The survey was administered to 1,257 principal investigators (PIs) or their designated staff responsible for IRB protocols. All faculty and permanent staff PIs who had an active IRB protocol within the last two years were eligible to participate. Of the 1,257, 17 had left the UW-Madison. A total of 590 responses were received (455 faculty, 125 academic staff, five postdoctoral fellows, and five doctoral students). The overall response rate was 47.6%. Of the 590 respondents, 18 had not submitted a protocol in the past two years and thus, were not eligible. This report also excludes postdoctoral fellows and graduate students. The final sample consisted of 562 respondents. The survey consisted of

multiple choice and open-ended questions. Analysis of qualitative data involved coding over 97,000 words of text.

### **Major findings:**

Survey results indicate that UW-Madison PIs hold IRB staff in high regard and value their expertise, experience, and guidance. Overall, PIs feel respected by the staff and expressed appreciation for the staff's willingness to help them resolve problems. However, almost 50% of the respondents indicated that they had given up or almost given up pursuing a research project out of frustration of getting it through the IRB process. Primary concerns identified included:

- Complexity of the ARROW system
- Length of the IRB approval process
- Inconsistency in the review process
- High user fees
- Over-regulation of minimal risk studies
- A perception that IRBs are more concerned with avoiding institutional liability than properly assessing the risk to human subjects
- A perception that IRBs extend beyond the protection of human subjects to regulating scientific approaches
- A perception that UW-Madison has instituted layers of scrutiny beyond what is required by federal regulation

### **Recommendations:**

1. One of the major frustrations is in the use of ARROW. In response, the Office of the VCRGE has developed an "ARROW Optimization Plan". This plan involves the ARROW team (i.e., the information technology group within the Office of the VCRGE) focusing additional development time specifically on improvements to the user experience, leading to improvements in transparency, usability, efficiency, and reduced duplication. As part of this effort, the ARROW team will conduct an upgrade of ARROW that will improve site navigation. In addition, efforts will continue to look for opportunities to streamline the application for minimal risks studies. This optimization plan is underway and will be ongoing in quality improvements efforts for ARROW. During this process, the ARROW team will seek consultation from the IRB Directors and their staff, the office of the UW-Madison Legal Affairs, and researchers across campus.

2. The OVCRGE has begun a process of benchmarking UW-Madison policies and practices against those of its peer institutions, which will include a review of federal human subjects regulations and interpretation of these federal regulations on campus. The OVCRGE will analyze these benchmarking data, develop a plan to reduce the burden on human subjects researchers, and will consult with the Directors of the HS and ED/SBS IRBs and the office of the UW-Madison Legal Affairs in this process.

3. The survey generated many ideas from respondents for improving IRB processes: developing templates with suggested language for protocols, exploring a centrally-funded

IRB and eliminating IRB fees for non-industry sponsored and non-VA protocols, learning from the RARC's service-oriented culture, creating an ombudsman, and streamlining the application for minimal risk studies. The OVCRGE appointed a committee of faculty and academic staff researchers to review the findings of this report and the benchmarking data, and generate a prioritized list of recommendations to improve the efficiency and user-friendliness of the IRB process. In conducting its work, the committee will seek consultation from the relevant stakeholders (e.g., IRB staff, the Office of Legal Affairs, faculty researchers, permanent PIs).

4. One of the main problems identified by respondents was the apparent lack of uniformity in the criteria applied to reviewing protocols. Many respondents reported that they often received inconsistent and often contradictory comments from different reviewers. To achieve greater uniformity in protocol review, the OVCRGE will use the benchmarking process above to determine how peer institutions strive to achieve consistency, and then develop a recommendation and an action step.

5. PIs expressed frustration with the length of time from submission of an IRB protocol to approval. The OVCRGE will use available data to better understand what factors contribute to the length of the IRB review process to help identify opportunities to reduce the time between the submission of a proposal and the approval of the protocol.

6. The OVCRGE will develop a short IRB survey to receive ongoing feedback. The survey will be administered automatically to an investigator each time the investigator receives notification that his/her IRB protocol has been approved. Many peer institutions have implemented such a survey and found it helpful in obtaining "real time" feedback from users.

This is an ambitious plan that will likely require additional campus resources. It also may require changes in UW-Madison campus policies regarding IRB processes and procedures. The Office of the VCRGE recognizes any effort to implement changes that improve the efficiency and user-friendliness of IRBs must simultaneously support the IRB's primary role of ensuring compliance with federal regulations. As the OVCRGE moves forward in implementing these recommendations, it will work closely with the Directors of the ED/SBS and HS IRBs and the office of the UW-Madison Legal Affairs to ensure that administrative efficiencies and changes do not hamper the IRBs ability to carry out their regulatory responsibility.

## **Introduction and Background**

For the past several years, members of the University Committee, in part, in response to reports from the faculty, had growing concerns about IRB policies and procedures. After discussion with Vice Chancellor for Research and Graduate Education, Marsha Mailick, the University Committee requested that the Office of the VCRGE (OVCRGE) conduct a survey of IRB users. The survey included users of the Education and Social/Behavioral Science (ED/SBS) IRB and the Health Sciences (HS) IRBs. The purpose of the survey was to begin a process of obtaining feedback from faculty and research staff about their experiences with the human subjects regulatory mechanisms. Thus, the data in this report reflect the perceptions and experiences of UW-Madison researchers who completed the survey.

The OVCRGE recognizes that many of the IRB challenges faced at UW-Madison are not unique; some of the issues raised in this report are concerns heard from faculty on campuses across the country. Other issues raised in the report arise from campus-wide policies that the IRB staff and committee are required to implement. With this in mind, the OVCRGE's goal in conducting this survey was to hear from active users of the IRBs about their experiences. These data along with other data (e.g., ongoing data collected as part of the ARROW system, benchmarking data on the practices and policies of peer institutions, and consultation with the IRB staff and the office of the UW-Madison Legal Affairs) will be used to identify whether there are any current practices and university-wide policies that could be modified to improve the experience of PIs with the IRB human subjects process without in any way violating federal policy or jeopardizing UW-Madison's accreditation status, which the campus is committed to maintaining.

### **Process for Developing and Administering the Survey**

Jan Greenberg, Associate Vice Chancellor for Research (AVCR) for Social Sciences, and Ryan Moze, Assistant Director of the Office of Research Policy, took the lead in drafting the survey. As a first step, they scanned the web to locate IRB surveys administered at peer institutions. They also reviewed a past survey administered by the HS IRB and a current survey developed and administered by the Research Animal Resource Center (RARC). Based on this initial work, they drafted the survey with the assistance of Norman Drinkwater, Associate Vice Chancellor for Research for the Biological Sciences.

Greenberg and Moze then sought feedback from Marsha Mailick, Vice Chancellor for Research and Graduate Education; Dan Uhlrich, (then) Associate Vice Chancellor for Research Policy; Susan Ellis Weismer, Deputy Institutional Official for Education and Social Behavioral Research; Marc Drezner, Deputy Institutional Official for Health Sciences Research; and members of the University Committee. On March 23, 2016, Greenberg and Moze met with Lillian Larson, Director of the ED/SBS IRB, and Nichelle Cobb, Director of the HS IRB, to obtain feedback and discuss the survey methodology. Also in attendance were Uhlrich and Moze.

After receiving feedback from all of these individuals, the survey was extensively revised and sent back to the same people for additional review. One recommendation that

emanated from this process was that the survey should be reviewed by the University of Wisconsin Survey Center to benefit from their expertise in the wording and formatting of questions, and to program the survey in Qualtrics to facilitate survey administration and data analysis. During the summer of 2016, the OVCRGE worked closely with John Stevenson, Associate Director of the University of Wisconsin Survey Center, to finalize the survey and program it in Qualtrics. A copy of the survey can be found in Appendix A.

The survey was administered between August 29, 2016 and September 25, 2016. All faculty and permanent staff PIs who had an active IRB protocol within the last two years were eligible to participate. Faculty members and permanent PIs who delegated IRB tasks to a member of their research team were asked to forward the staff member's name to the Office of the VCRGE. The staff member was sent the survey link. Initially, 1,157 faculty and permanent PIs met the sampling criteria (i.e., had an active protocol within the past two years). Of these, 17 had left UW-Madison. We requested the participation of approximately 100 additional research staff because they had been delegated responsibility for submitting IRB protocols. We received a total of 590 responses (from 455 faculty, 125 academic staff, five postdoctoral fellows, and five doctoral students). The overall response rate was 47.6% (590/1240). Of the 590 respondents, 18 had not submitted a protocol in the past two years and thus were not eligible. For purposes of this report, we excluded postdoctoral fellows and graduate students. The final sample consisted of 562 respondents.

The respondents represent a group of active researchers who have frequent interaction with the university's IRBs. Their utilization of the IRBs was as follows:

- 490 had completed two or more IRB protocols over the past two years
- 271 submitted protocols to the ED/SBS IRB only
- 192 submitted protocols to the HS (including minimal risk) IRBs only
- 92 had submitted protocols to both the ED/SBS and HS IRBs
- 7 respondents did not indicate which IRB they used

Therefore, of the 562 respondents, 284 (51%) had submitted protocols to one of the two HS IRBs, and 363 (65%) had submitted a protocol to the ED/SBS IRB.

The survey consisted of a set of multiple choice questions as well as open-ended questions, from which qualitative data were obtained. AVCR Jan Greenberg was the only individual with access to the file linking respondent names with responses. All identifiers were stripped from the file prior to analysis. Greenberg analyzed responses to the multiple-choice questions. The Wisconsin Survey Research Center coded the qualitative data in NVIVO. The analysis of these qualitative data involved coding over 97,000 words of text. A highly trained PhD qualitative researcher with over 15 years of experience coding such data completed the qualitative coding. In addition, the Survey Center conducted independent checks of the data to ensure the reliability of the coding. Initially there were over 500 individual codes. These data were grouped together into larger themes for this report.

This report presents the quantitative data and uses the qualitative comments to provide descriptive detail. The qualitative quotes are reported verbatim, with the exception of deleting identifying information such as the name of a specific protocol. Greenberg

received permission from each PI quoted here to use his/her comment in this report. Quotes were selected to be representative of the themes identified by the Wisconsin Survey Center.

Since only a few minor differences were found between responses from those who reported using only the ED/SBS IRB and those using the HS IRBs, the results for the entire sample of 562 respondents are reported except for the question on the pre-review process because pre-review has only recently been implemented by the ED/SBS IRB. Appendix B presents the raw data tables that generated the figures contained in this report.

The report concludes with suggestions for improving the process of applying for and obtaining IRB approval, and a brief discussion of the OVCRGE's plans for taking the next steps for improving the IRB experience on campus.

## Findings

### Ease of Using ARROW

As shown in Figure 1, only about 20% of the survey respondents indicated that ARROW was “very” or “extremely” easy to use. Approximately 40% responded that ARROW was “not at all” or only “a little” easy to use.

In the qualitative data, there were 81 positive comments about ARROW. These included:

*The switch over to ARROW was a huge improvement from WebKit. It's still a bit buggy, but having a record of correspondence and changes is extremely helpful.*

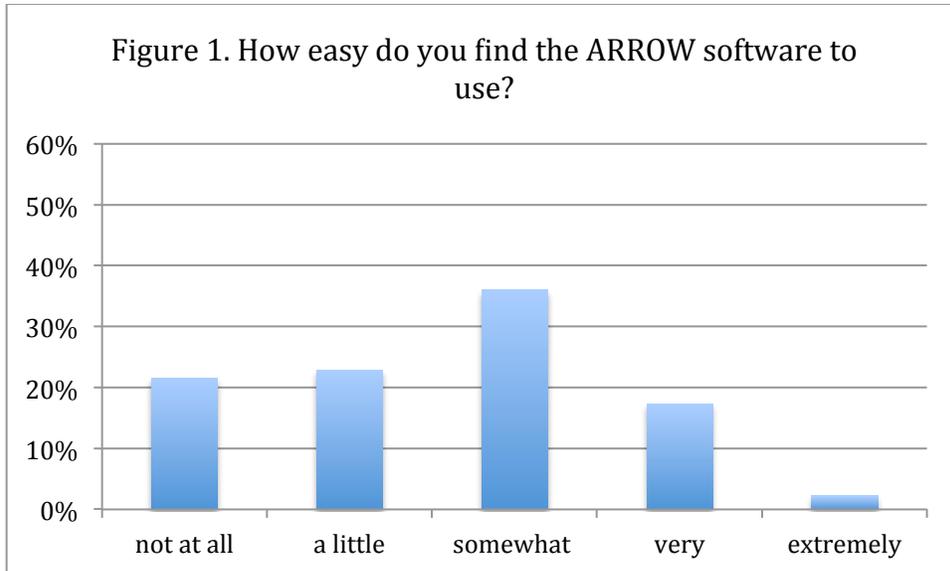
*It is easy to log in to Arrow to see the status and content of past and current applications.*

*Arrow has definitely expedited the process and made it easier to keep track of various projects.*

*The Arrow software, although sometimes murky, becomes reasonably easy to use with practice.*

*The arrow interface works very well.*

*While the Arrow system is not "intuitive" it does work and with practice becomes easier. The system works well in terms of timing of communication between IRB staff and the study team.*



However, there were twice as many (161) comments indicating that ARROW was difficult to navigate, cumbersome, repetitive, and confusing regarding protocol submission.

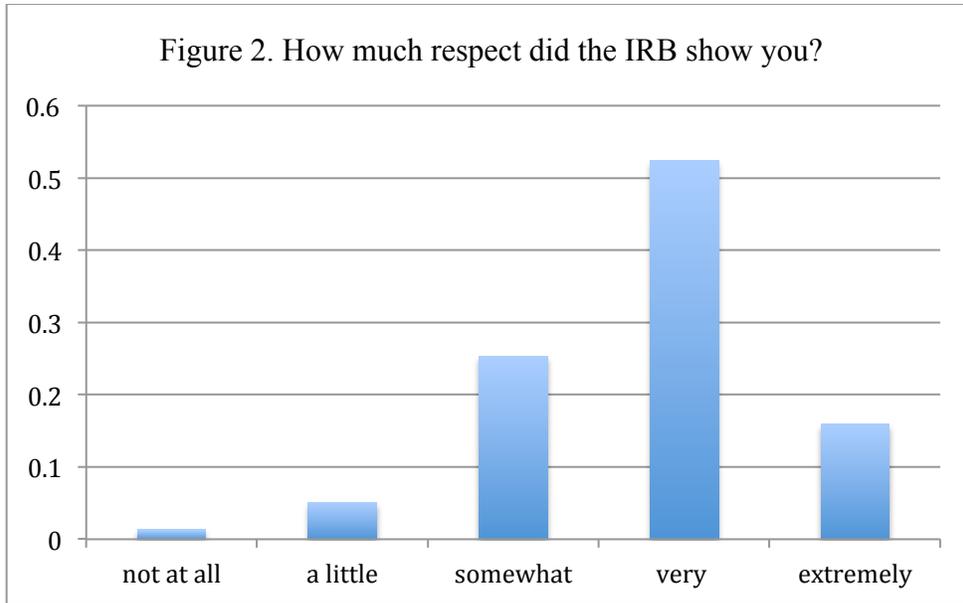
*The ARROW system has so many irrelevant questions for many of my projects. It is very frustrating how this process has so little streamlining.*

*ARROW requires entry of the same info in several places, and submission of the same info in the protocol. What a waste of my time and the reviewers. When I am asked to make revisions I have to make sure these revisions are made at every occurrence in the document. When I miss one place, the staff does not just change it but sends it back to me to correct the location or the grammar, etc. 90% of the revisions have nothing to do with patient safety.*

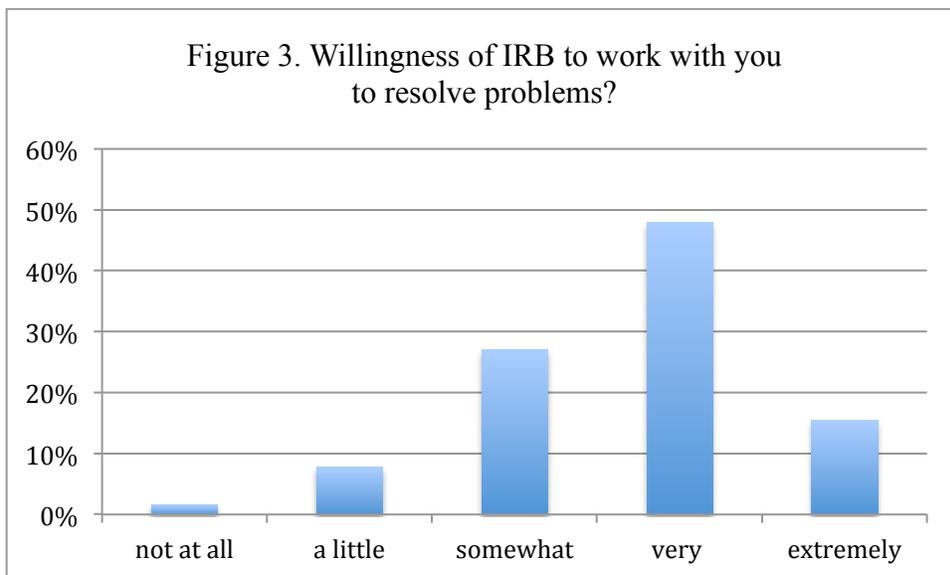
*ARROW is impossible to use - it is far too complex and the interface is never intuitive. ARROW might be ok for a professional staff person responsible that uses it regularly. As a faculty member that needs to use it once or twice a year, every use is confusing and frustrating...The complexity is the problem. I understand that the IRB has to deal with many widely differing situations - but is a BIG mistake to try to embody all possibilities into one massive piece of software that everyone has to use. There are so many nuances and branch points that it gets extremely confusing. ARROW is more confusing and difficult to work with than the US tax code.*

### **Experiences Working with the IRB Committee and IRB Staff**

As shown in Figure 2, approximately 70% of the respondents indicated that the IRB and the IRB staff were “very” or “extremely” respectful. Less than 7% responded that the staff showed them “little” or “no” respect.



In addition, as shown in Figure 3, the majority of respondents reported that the staff was “very” or “extremely” willing to work with them to resolve problems that arose in the review process. Only a few felt that the staff was unwilling to work together to resolve problems.



Almost 400 positive comments were collected related to IRB staff and 183 comments indicated that the IRBs were working well. The staff was described as dedicated, helpful, polite, and knowledgeable. Respondents recognized that the IRB staff is overburdened and try to be helpful, but is often constrained by policies.

*Staff are very helpful and knowledgeable. I never get the sense that what they are doing is working to create barriers, but to ensure a safe and ethically conducted study.*

*The staff are incredibly knowledgeable, helpful and dedicated and I know they are frustrated by their workload and many of our same issues.*

*I immensely appreciate IRB staff's willingness to work with me to meet a project deadline. This is especially important and valuable when a grant proposal is pending subject to IRB approval. Sometimes the funding agencies request a super quick turnaround that is out of the PI's control, and IRB's responsiveness and understanding in this regard has been greatly helpful for me to meet the deadline for funded work to come through. I am overall highly satisfied with our IRB staff and their professionalism. I would just recommend that you keep up the great work you are doing.*

*Several of the staff reviewers have been very responsive and helpful in laying out the expectations for the protocols, clarifying issues or questions I've had when navigating the website, and discussing possible solutions for IRB issues.*

*They are extremely good at talking through issues if you contact them with questions. Also quite responsive via email for anything tricky. The IRB has also in my experience been pretty good about not getting caught up in small details that do not pose risk, harm, or confidentiality concerns that I have run into problems with at other IRBs.*

*The staff is very helpful at anticipating some concerns ahead of time, to clarify them or update consent forms, etc., before the committee reviews the study. I believe their efforts are helpful in mitigating some of the problems with the full committee.*

*Our IRB is respectful and completes their review process in a time period that is likely consistent with the national average. IRB staff are knowledgeable and easily accessible. When I contact the IRB with questions, they get back to me fairly quickly. They are also available for phone calls and face-to-face meetings*

*I like that my research team can stop by IRB office hours, discuss potential issues and point points, and prepare protocol applications based on this discussion. This has been very very helpful.*

*Overall the staff is great. I have always been able to pick up the phone and reach someone when I have a question.*

*IRB staff are very responsive to questions I have before submitting a new protocol. Responses are always quick. I have had productive conversations in person, over the phone, and over email. These conversations always speed up the review process because I am able to address questions before submitting the application.*

But consistent with the quantitative data, not all of the survey respondents had positive interactions with the IRB committee and IRB staff. About 60 comments were received that described the relationship with the IRB as adversarial and not collaborative.

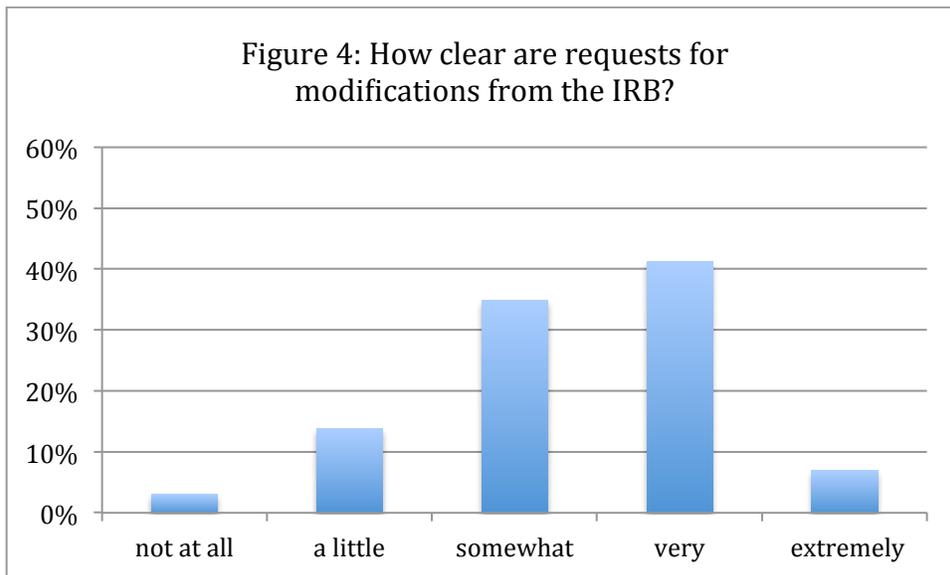
*Overall, the implementation feels like "us against them." It would be great if we could get to a place where it felt like "us working together with them to protect our human subjects.*

*I would like to see the IRB staff develop more of a culture of helping faculty and staff get their research approved rather than being more a research gatekeeper, which is how it often feels on the researcher-side of the process.*

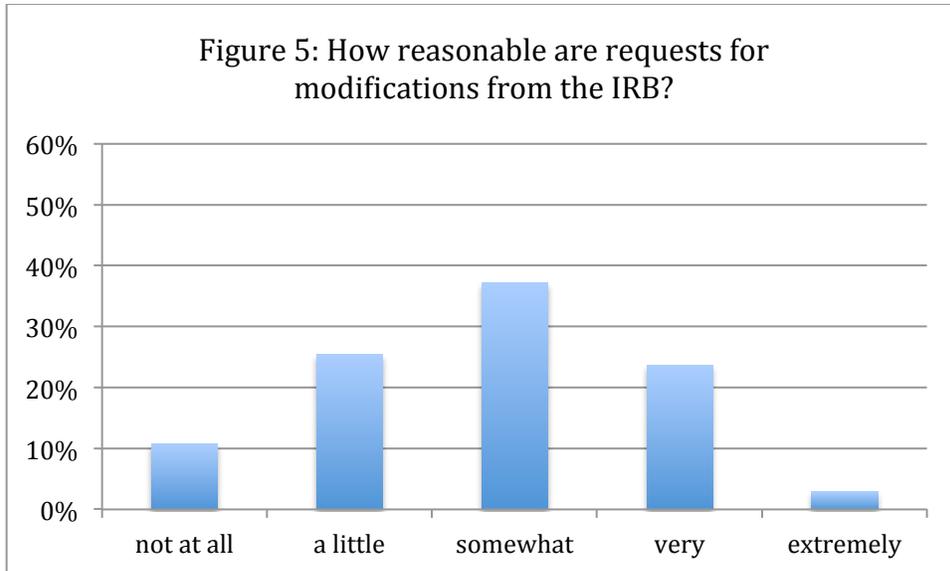
*My interactions with IRB staff haven't been super helpful - it doesn't feel like they are there to help us, rather they are there trying to catch our mistakes.*

### **Clarity and Reasonableness of Requests from the IRB**

The IRB, including during the staff pre-review process, often requests modifications or clarifications from study teams. In the survey, respondents were asked about the clarity of these requests as well as the reasonableness of these requests. As shown in Figure 4, approximately half of the respondents felt that these requests were “very” or “extremely” clear and another third indicated the requests were “somewhat” clear.



However, the survey respondents rated the reasonableness of the requests less positively (Figure 5). There was a diversity of views about this question. About a quarter of survey respondents indicated that the requests were “very” or “extremely” reasonable but about a third felt that the requests were “not at all” or “a little” reasonable.



Even though the quantitative data indicated that about half of the respondents felt the requested modifications were “very” or “extremely” clear (see Figure 4) and about a third reported them “very” or “extremely” reasonable (Figure 5), only 24 written comments reflected these positive experiences.

*I really appreciate the opportunity to speak to the IRB staff directly. Sometimes it was somewhat difficult to understand the questions clearly from ARROW. The staff members made them available through phone calls. We found we could easily solve the problem by a quick phone conversation.*

*The feedback regarding consent forms is helpful.*

*The staff is very helpful at anticipating some concerns ahead of time, to clarify them or update consent forms, etc., before the committee reviews the study. I believe their efforts are helpful in mitigating some of the problems with the full committee.*

*The review comments are very straightforward to follow. I appreciate the direct instructions on what to do/write in order to move forward with an application.*

*The IRB staff provides very clear instructions on how to respond to specific queries. That is very useful.*

*Communication with staff is always smooth and the turnaround time is reasonable.*

The great majority of the written comments addressing the clarity and reasonableness of requested modifications spoke to the frustrations investigators experienced with requests for protocol modifications. There were 125 such comments that ranged from difficulty understanding reviewers’ comments to receiving inconsistent and often contradictory messages from different staff reviewers and/or different IRB committee members over time.

*I think the challenge I faced was mostly caused by unclear communication. I did not understand the nuances of what the IRB folks were asking me with regard to what needed to change on my application.*

*The comments left on the ARROW system are sometimes cryptic or difficult to understand.*

*We had a project that required data collections with two separate samples using the exact same protocol (same instrument, consent forms etc.), only to get two completely different reviews, requests for modifications etc. In other words, there is zero consistency in how existing rules are applied.*

*Inconsistency in approval of protocols with very similar risks and structures is very frustrating. What may be approved at one time is later denied. The committee has very little internal consistency and memory of prior decisions.*

*I submit a number of very similar protocols over the past 10 years. However, despite the fact that some of the protocols are similar and submitted within a 6-month time frame, the protocol requirements and documentation processes are often very different from protocol to protocol. There is no consistency whatsoever.*

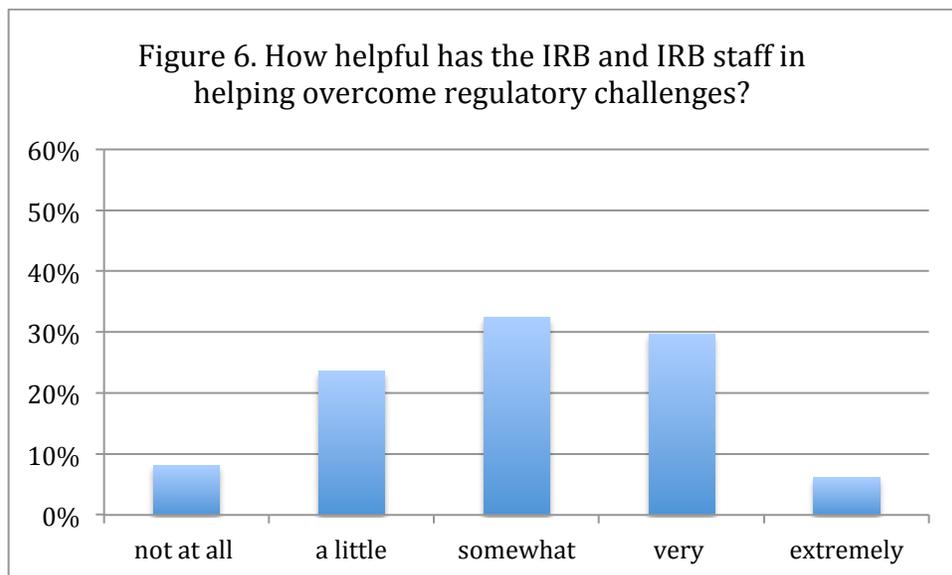
*Wording that worked on one protocol doesn't work on another, when the situation is exactly the same. It's absolutely infuriating.*

*An extremely frustrating part of the IRB pre-review process is trying to navigate inconsistencies between staff reviewers. Research teams should not have to alter a procedure or process (e.g. a recruitment plan) to accommodate each staff reviewer's interpretation of research regulations, policies, or guidance. It would be unreasonable to expect to work with a single staff review but, perhaps there could be some acknowledgement of information previously vetted by the IRB.*

*The IRB process is incredibly frustrating, lengthy, and inconsistent. Our most recent protocol was the most frustrating to date. We submitted correspondence that was approved for one protocol about a month prior, with only minimal changes, and it got shredded when we submitted it under a new protocol for a nearly identical study and had a different reviewer. When we ask about the inconsistencies, we're told, "Well, each of us looks at different things when we review, and each of us cares about different things when we review..." ...The amount of detailed revision requested by some reviewers consumes an incredible amount of our staff time. We are told a half dozen things we need to change on the consent document, and we make the changes. We're then told the consent document is too long after we made the required changes, and we have to change it again. Mind you, this language was perfectly acceptable on a different protocol accepted just a month earlier by a different reviewer.*

## Helpfulness of IRB and IRB Staff in Overcoming Regulatory Challenges

As shown in Figure 6, approximately a third of respondents felt that the IRB and IRB staff were “very” or “extremely” helpful in overcoming regulatory challenges and another third felt the IRB committee and IRB staff were “somewhat” helpful.



In the open-ended questions, some respondents wrote comments that spoke of the positive role the IRB committee and IRB staff played in ensuring the compliance with federal IRB policy.

*The IRB seeks to help me get my protocol prepared to meet regulatory standards and keep patient safety at the forefront.*

*The staff are experts at the regulation and regulatory environment and given excellent advice about how to submit a protocol. Their feedback is well informed and they are strong advocates for the IRB and compliance.*

*The IRB process serves an important purpose of shaping research protocols so that they protect human subjects in a way that is compliant with federal regulations. In serving that purpose the IRB is helping to protect both human subjects and the research enterprise at the UW.*

Several commented that the IRB and IRB staff are doing their best, but constrained by UW-Madison’s interpretation of federal policies and UW-Madison bureaucracy.

*I think they're trying, but burdened down by the bureaucracy*

*IRB process seems more focused on bureaucracy and control, than on striking a balance. This may be a problem with how the systemic aspects are designed, rather than a problem of good faith intentions of individual staff.*

However, over 150 comments expressed the view that the IRB committee had moved away from a primary focus on protecting human subjects to one of avoiding all risks and pursuing an overly cautious interpretation of federal regulations.

*I have been part of multiple IRB review submissions outside UW; UW seems to have a reputation as being not just tough, but overly technical and applying rules in situations when legally, ethically, regulatory-wise, UW does not need to be as strict.*

*I know from conversations with faculty at other institutions that interpretations of the federal policy varies widely. UW seems to almost uniformly adopt the most stringent and restrictive interpretations. The threat of internal audits has a chilling effect-- there seems to be an attitude of over compliance -- let's always be safe from the regulatory perspective regardless of the significance or cost of the regulation.*

*While I am respectful for the need to protect the institution and continue the research process here generally, the IRB seems to have forgotten that the main duties are to protect research participants and promote research because research is a public good. It seems all too often the UW IRB's mission is to ensure regulatory compliance which seems to be more about interpretation of the regs than the actual regs themselves.*

*The IRB should model their services after RARC (Research Animal Resource Center) which provides much better service to faculty and researchers. In complex regulatory situations RARC is much more likely to assist the researcher in finding solutions to allow the work to go forward.*

*We are assessing the efficacy of an investigational medical device. Despite being determined a minimal risk intervention and a non-significant risk technology by both the IRB and the FDA, the protocols are consistently subjected to the same administrative policy and procedural oversight that would be expected for a large, multi-site, investigational drug study or an invasive surgical procedure. It would appear that the IRB is focused on the administrative details, making sure all the right boxes are checked, and not on truly understanding the risk/benefit profile of the protocols and acting accordingly.*

*I have found the requirements through the IRB increasingly onerous through the years. I have been at Madison for over a decade, and the most frustrating thing is that over that time, what I am allowed to do in research has diminished, IRB requirements have increased, and thus protocols that would pass without problem 5 years ago are now deemed not allowed. ...the entire process has become one in which adherence to rules for rules' sake is the overriding principle. This doesn't reflect federal regulations. Other colleagues at other institutions are still allowed to carry on the same research structure that I no longer can at UW.*

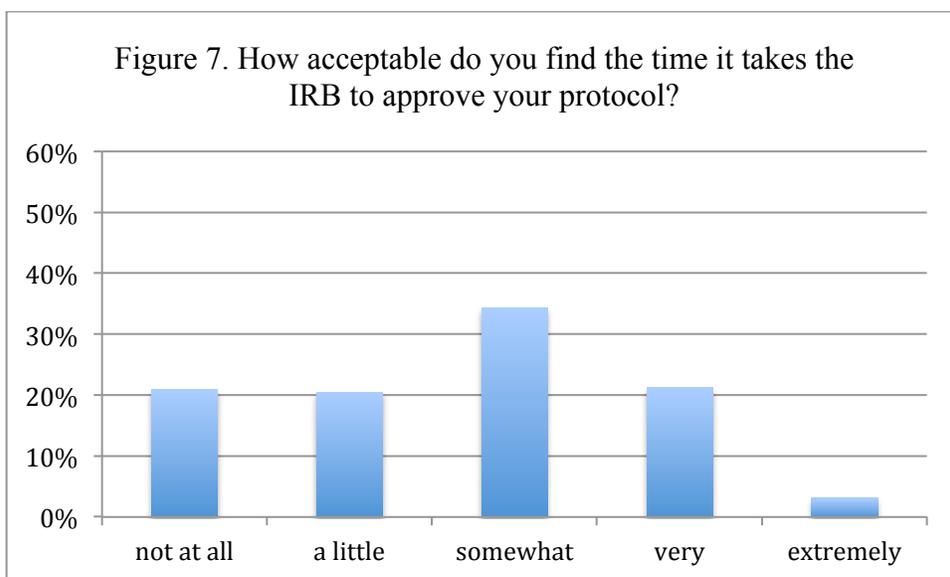
*The regulatory hurdle is excessive to perform new/exploratory analyses collected on previous protocols, and that there is no flexibility in fees levied once protocols are initially submitted through ARROW. The level of detail required by the reviewer in duplicate (in protocol and in ARROW application) is a major regulatory hurdle that should not be*

*undertaken for small, pilot analyses, especially when using tissue obtained from a prior protocol, even if directly performing an analysis for which patients were consented.*

### **Time to Obtain IRB Approval of Protocols**

Although data from ARROW indicate that the time (in days) from submission to approval at UW-Madison is at or below the median number of days compared to our peer institutions, many respondents expressed frustration with length of the approval process. Only a fourth of survey respondents thought the time it took the IRB to approve a protocol, defined in the survey question as the time the protocol was first submitted to pre-review to the time it was finally approved, was “extremely” or “very acceptable” (see Figure 7).

Fully, 42% of the survey respondents felt that the time to approval was “not at all” or only “a little” acceptable. Responses from users of the different IRBs had different perspectives on this question. Whereas, fully half of respondents who used the HS IRBs indicated that they found the time “not at all” or “a little” acceptable, less than one-third of respondents who used the ED/SBS IRB reported a similar sentiment.



Among those respondents who added written comments about their satisfaction or dissatisfaction with the time it takes a protocol to be approved, approximately 90 commented that the process was efficient and timely.

*Once a protocol or change is submitted the response has been timely*

*I find the IRB here to be very good at timely review of protocols and understanding of typical research designs.*

*They have also accommodated requests to "rush" the review process to adhere to school district deadlines for external research protocol submission.*

*I really appreciate their 'speedy' e-mail responses (usually within a couple of hours) even on weekends.*

However, almost 300 comments expressed frustration with the time the IRB process took and a perception that the UW-Madison IRB process takes longer than at other universities, or is required by federal standards.

*For research that is unquestionably going to be exempt, the amount of effort to get a protocol accepted seems exorbitant and can take months.*

*The biggest issue for me is that all of my research is ultimately determined exempt (or gets expedited approval) because I work with secondary data from which all identifying information has been removed. However, it takes several hours of work and multiple iterations of the protocol to actually get to the already given conclusion...for those of us working with secondary data the frustration of spending so much time navigating a complicated interface...and the frustration of having to respond to multiple requests for little bits of largely irrelevant incremental information is frustrating. It would be wonderful if there was some way to provide an alternative sequence of questions (or branch within the existing sequence) that was actually relevant for people whose work consists primarily of the analysis of secondary data (some of which is freely available for download and thus exempt and some of which requires a pro-forma application for use).*

*Anonymized national survey data, from a federal source and commonly used in the field, required the full review and several months of time and rules about access from a particular server that made it difficult to use.*

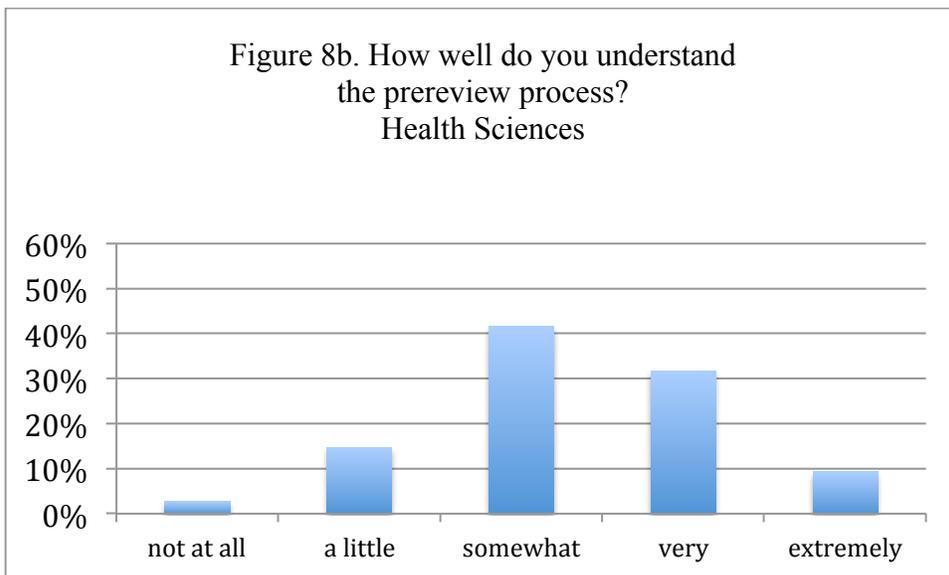
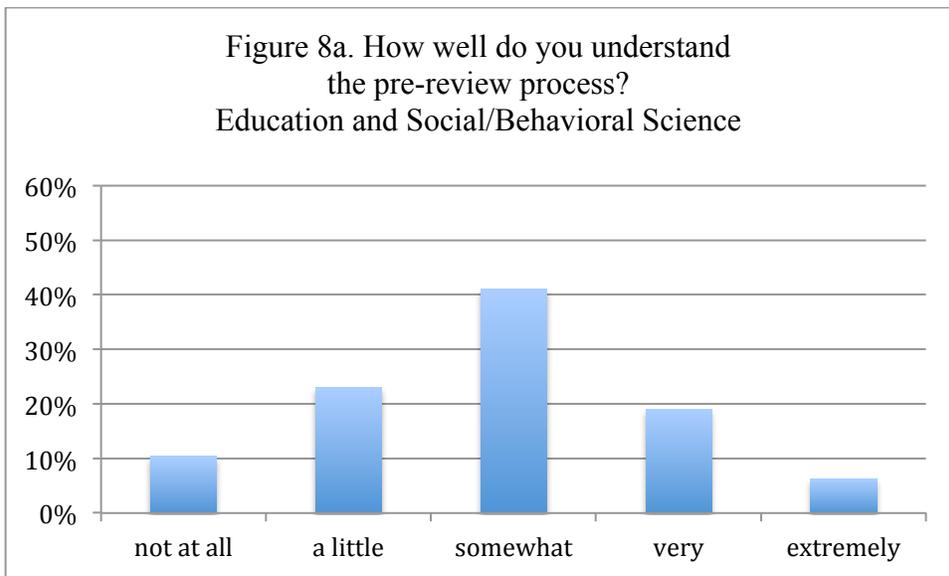
*We were approached by a colleague at a peer institution about a retrospective chart review... The request was straightforward, the methods clear, and the endpoints were doable. The protocol itself was essentially two pages long, and it met criteria for minimal risk as defined...and prepared for a full IRB submission. Once the process was completed, the process of review took so long that all of the other institutions (six) had completed their chart review before ours could even get an approval. The entire data collection process...took about six hours. The process of going through the IRB took me and a regulatory specialist about 30 person-hours to navigate.*

*The administrative overhead our IRB imposes to get the work done is excessive. Annual review of unchanging enrollment materials and the necessity of an IRB 'stamp.' Review of the several surveys took some time. Tweaking the consent language took some time. It all takes time.*

*I am currently trying to get approval for a time-sensitive outside funded project that likely will never launch because of the amount of time it will take to secure IRB approval, even though I have performed nearly-identical research in the past with IRB approval. ...my colleagues at other schools tell me that their experiences securing IRB approval for similar research are very different, and much less time-intensive.*

## Understanding of the Pre-review Process

We asked respondents how well they understand how the pre-review process, also called the staff review process, works. Since the ED/SBS IRB does not conduct a scientific review and only recently has had a sufficient staff to conduct pre-reviews, separate analyses were conducted for the ED/SBS and HS IRBs. As shown in Figure 8a, among those who only submitted protocols to the ED/SBS IRB, 25% reported understanding the process “very” or “extremely” well, whereas nearly 34% had “little” or “no” understanding of the preview process. For those using one of the two HS IRBs, approximately 40% indicated understanding the preview process “very” or “extremely” well, and only 17% had “little” or “no” understanding of the process (see Figure 8b).



## Effect of IRB on Faculty Research

In the survey respondents were asked, “Have you given up or almost given up pursuing a research project out of frustration of getting it through the IRB?”

Almost half (49.4%) responded affirmatively.

There were many reasons given for “giving up or almost giving up”, including the amount of time and effort to receive approval, administrative burden, the IRB staff raising questions about the scientific design of a study that had already completed a prior rigorous scientific peer review, and the fee structure for undergoing a review in the Health Sciences (the ED/SBS IRB does not charge fees).

The following quotes describe some of these reasons.

*I have now been told that I need to submit an IRB protocol to perform non-human subjects research. ...I am actively looking for new job opportunities because the leadership of this institution does not reign-in IRB overreach, which is supposed to be limited to protecting human subjects. None of my peers have faced these kinds of requests, including Harvard, Johns Hopkins University...and others.*

*It is our opinion that the administrative burden is disproportionate to the degree of risk posed by the interventions, causing a frustratingly incremental pace of decision making and approval. These delays make it increasingly difficult to make meaningful scientific progress. Scientific collaborators at other institutions have grown impatient with the pace of our investigations, despite the fact that we are the project lead, leading to missed opportunities for subsequent funding and research. We are seriously considering terminating our research this area at UW, despite the recognition and prestige it would bring our lab and the university.*

*I applied twice for exemptions, once as an umbrella effort on behalf of four researchers, requesting access to de-identified materials held at the biobank, and the other to gain access to an NIH-designated core supplying de-identified cell lines to researchers. Both of these were extremely simple requests that might have been one paragraph long or a simple face-to-face discussion. Both were granted but turned out to be onerous and protracted processes, even with expert assistance. I would estimate that I spent 80 hours on the first, and 25 on the second. At other Institutions where I give seminar...and find that our Institution is by far the most resistant to research requests (most recently, University of Michigan and University of Alabama, Birmingham)...the IRB process at the UW is the biggest hurdle to keeping and procuring funding and researchers in the biomedical sciences.*

*There are projects that I have not initiated because it will simply take too much time to initiate or modify basic minimal risk projects due to the amount of work needed to achieve approval of an IRB protocol. Even a single sentence modification to a protocol that introduces no increased risk to subjects and would be even less risk of breach of confidentiality than basic patient care spawns a dozen comments and questions from IRB staff. Further, many of the IRB staff requests are to re-write information in multiple places,*

*a waste of time. Additional IRB staff requests cause unnecessary burden on the research team when subject risk has not been increased.*

*The process simply takes too long. This is unacceptable. It has caused us to miss out on national collaborative projects, has caused delays in starting projects which in turn delays finishing projects and renewed or new funding.*

*I am considering leaving the university because of the impossibility of getting projects through the IRB in any type of timely basis. It is a real tragedy and it is going to put this institution far behind as time passes.*

*Of all the academic places I worked at, this is the first place that charges money for the IRB, and it is not a negligible amount. This prevents us from pursuing many projects, unless we get a grant to cover the costs. It will be helpful if these costs are removed, these costs are reduced, someone explains to us why UW IRB in particular are asking for fee.*

*The whole IRB situation at UW is too cumbersome and expensive. I've never had so much difficulty with protocols. The review process is slow (my record is almost a year....). I had a meeting with our research division last month to express my frustration and to inform them that I'm decreasing my involvement in research.*

*I have become wary because of the fees that I consider to be somewhat exorbitant for investigator-initiated unfunded research. It makes me not want to submit projects with students, whose participation evolves, and I actually have stopped participation in some multi-center clinical research projects as a result.*

*The IRB tends to believe that without data they can anticipate a risk of our protocols. My laboratory studies of...and the IRB tends to react very strongly, but totally intuitively, to what the implications of the manipulations are and how well we can extinguish them. They also tend to ignore the fact that other similar studies have been conducted without incident at UW and elsewhere in the past. My laboratory is very tired of working with the IRB on studies of...The IRB returned my application with requests for modifications that were incompatible with biology and against common ethics. I therefore "farmed out" my study to (name removed) University. Their IRB approved it with very few changes within 3 weeks and (name removed) university got the ICR for the entire grant.*

*I no longer participate in multicenter studies because our IRB wants me to change a multicenter protocol.*

*The IRB process is taxing and is a disincentive to do clinical or translational research.... The...process is too long and too concerned with minutia. Some details ARE important, but most of the time I find myself thinking - really? Is the really putting someone at risk? Or is this a clarification requested by someone who is overthinking the problem?*

## **Blurring of Boundaries between Protection of Human Subjects and Scientific Review**

In the qualitative data, 81 comments expressed a growing concern about the IRB committee and staff blurring the distinction between the protection of human subjects and the scientific evaluation of a study. Those concerns most frequently mentioned are described below.

*One frustrating thought that often occurs to me is why I sometimes face additional scientific questions for studies that are already scientifically reviewed by an NIH panel of experts and for which we have already dealt with a number of safety questions that arose during review.*

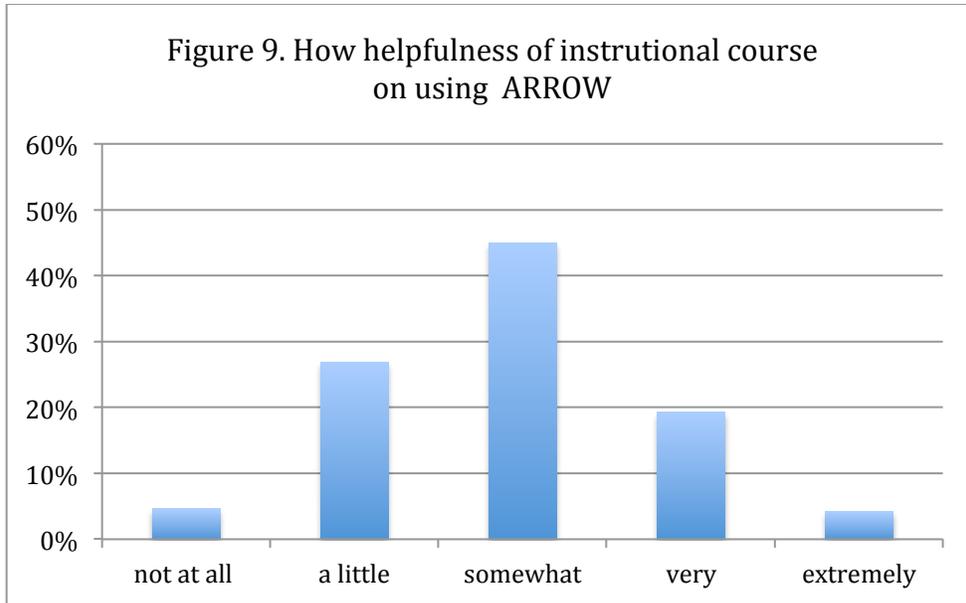
*I feel IRB at UW goes way beyond (what I believe is) their stated goal of protecting human subjects. They've made me make many changes that seem completely unrelated to protecting human subjects. One time they critiqued my use of a self-reported Likert-scale because they didn't think it was the best measure of the concept I was trying to assess. Is IRB now in charge of critiquing and improving faculty research? I have so many examples of IRB making changes to items that seem completely unrelated to protecting human subjects.*

*In several cases, the IRB staff determined that my protocol was "not research", which apparently means that it cannot be published as research. Obviously, I contend that the work I do for the university is, indeed, research. In each case there were multiple back and forth emails in which I explained the reasons why my study should be considered research. At one point, a staff member informed me that my study had no hypothesis. I needed to explain that not all research starts with a hypothesis -- especially qualitative research, which should never start with a hypothesis. Recently, I submitted a protocol that was a collaborative project with another major research university. The other university's IRB exempted the study, but the UW IRB determined it was "not research." I finally decided to give up and allow UW to certify the study as "not research" even though we are combining our dataset with the dataset collected by my colleagues at the other university. Without a doubt, the problems I have faced with the IRB at UW have been my biggest barrier to conducting research... I have seriously considered leaving the university because of this barrier.*

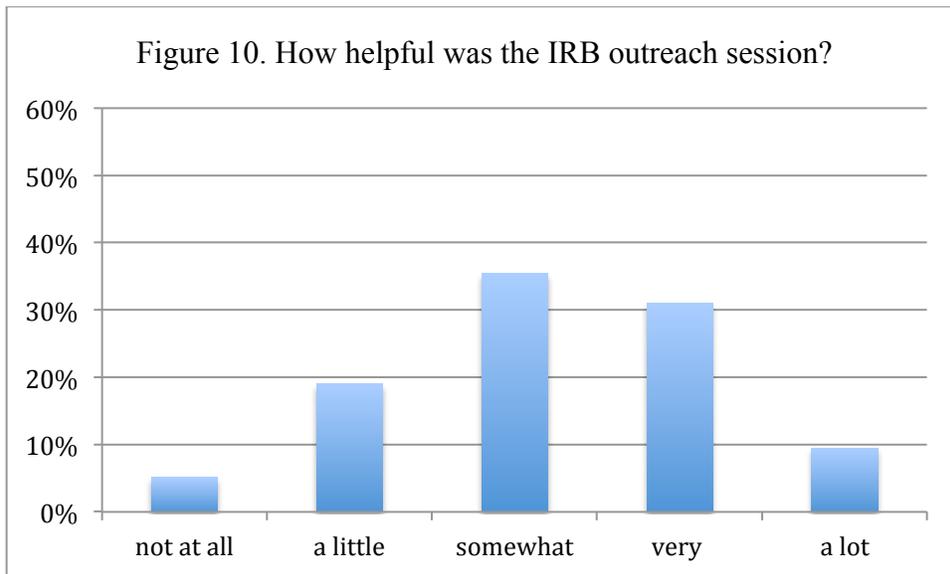
## **Investigator Use of IRB Resources**

The IRB staff has several resources for investigators. These include an instructional course for using ARROW; outreach IRB sessions for departments, classes and groups; and IRB training sessions such as IRB 101 and IRB 200. Respondents were asked if they had used any of these resources, and if yes, how helpful they found the resource.

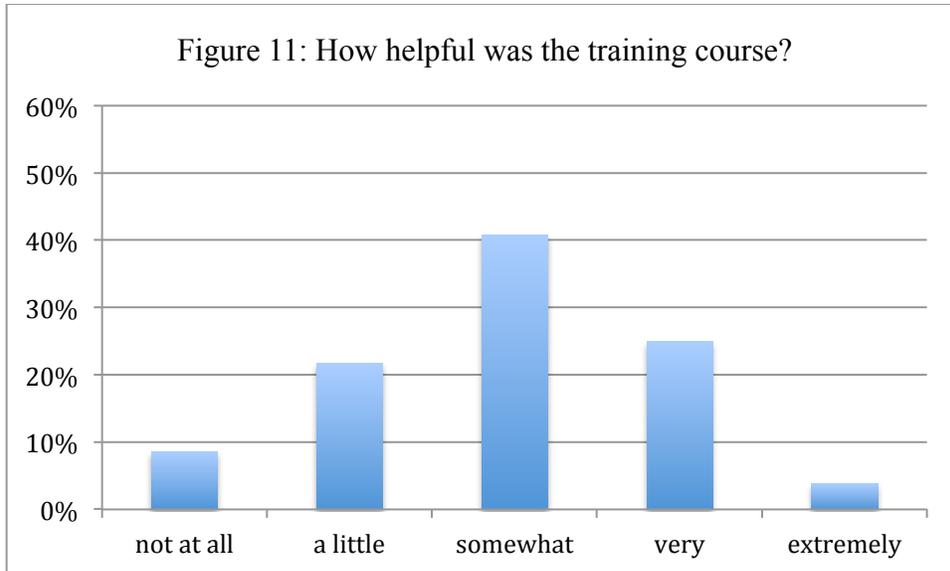
Of the 562 respondents, 42.5% indicated that they had completed an instructional course for using ARROW. Of these, about a fourth found them “very” or “extremely” useful, and approximately half found them “somewhat” useful (see Figure 9).



As shown in Figure 10, 28.5% indicated that they had attended an outreach session with IRB staff. Approximately 40% found the sessions “very” or “extremely” useful, and another third found them “somewhat” useful.



Of the 562 respondents, 27.4% indicated that they had completed an IRB topic-based training session course (e.g., International Research, Consent Considerations). Of these, about 30% found them “very” or “extremely” useful, and 41% found them “somewhat” useful (see Figure 11).

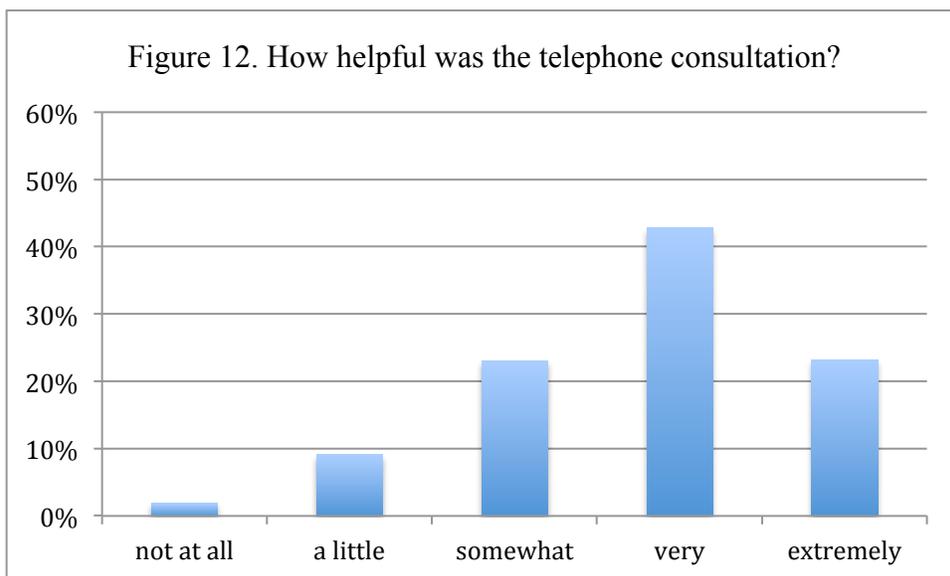


In summary, of the various resources for investigators, PIs rated the outreach sessions as most helpful.

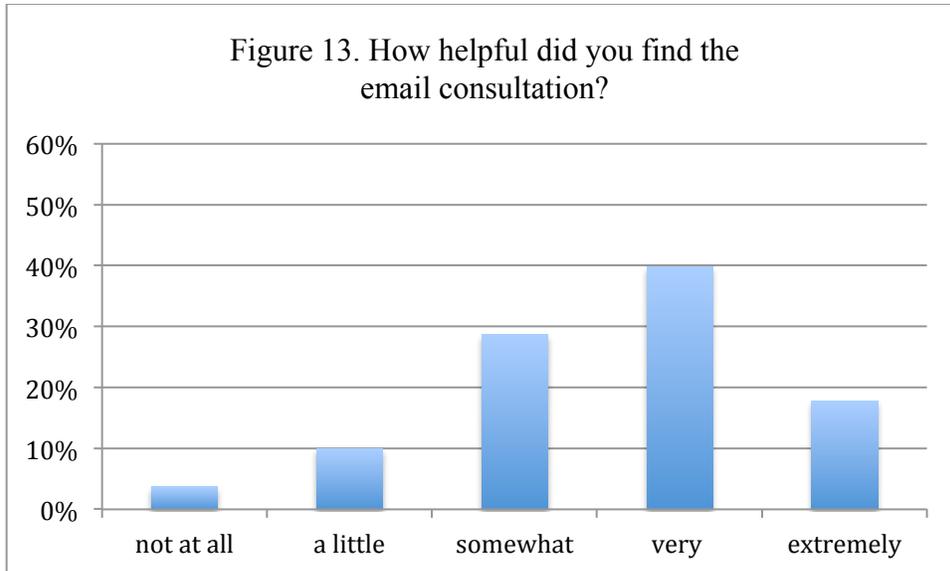
### Consultations with IRB staff

The IRB staff spends a significant amount of time consulting with investigators on their individual protocols. A series of questions asked respondents about whether they had consulted with IRB staff via phone, email or in-person, and if they had, how helpful the consultation had been.

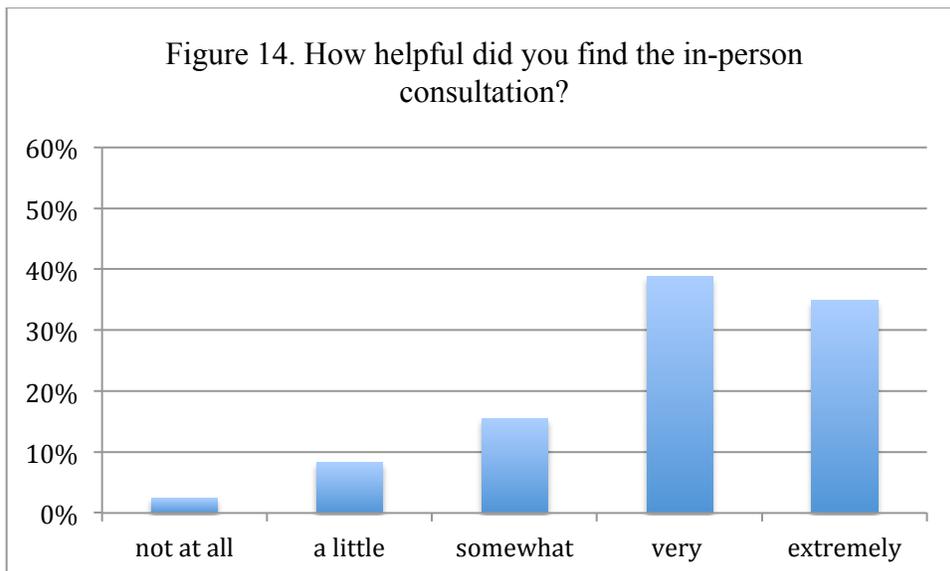
Fully 75% of the respondents indicated that they had consulted with the IRB over the telephone. As shown in Figure 12, more than 65% found these consultations “very” or extremely helpful and another quarter found them “somewhat” helpful.



Almost 90% of the respondents had sought consultation with IRB staff via email. As seen in Figure 13, almost 60% found this consultation “very” or “extremely” helpful and another 30% found the email consultation “somewhat” helpful.



Approximately half of the survey respondents indicated that they had consulted with the staff in-person. Of these, 74% found the in-person consultation “very” or “extremely” helpful and another 15% found it “somewhat” helpful (see Figure 14).



## Summary

The survey results indicate that faculty and research staff across campus hold the IRB staff in high regard, and value their expertise, experience, and guidance. Overall, the PIs felt respected by the staff and appreciated the staff's willingness to help them resolve problems.

However, almost 50% of the respondents indicated that they had given up or almost given up pursuing a research project out of frustration of getting it through the IRB. In the extensive qualitative comments (approximately 100,000 words of text), many concerns and problems were identified. These included the unnecessary complexity of the ARROW system, the slowness of the IRB approval process, inconsistencies in the review process, high user fees, the perception that the IRBs are now more concerned with avoiding institutional liability than properly assessing the risk to human subjects, the over-regulation of minimal risk studies, and a general sense that UW-Madison has instituted additional layers of scrutiny beyond what is required by federal regulation.

Based on the survey results, the Office of the VCRGE will put into action the following steps:

### **Recommendations:**

1. One of the major frustrations is in the use of ARROW. In response, the Office of the VCRGE has developed an "ARROW Optimization Plan". This plan involves the ARROW team (i.e., the information technology group within the Office of the VCRGE) focusing additional development time specifically on improvements to the user experience, leading to improvements in transparency, usability, efficiency, and reduced duplication. As part of this effort, the ARROW team will conduct an upgrade of ARROW that will improve site navigation. In addition, efforts will continue to look for opportunities to streamline the application for minimal risks studies. This optimization plan is underway and will be ongoing in quality improvements efforts for ARROW. During this process, the ARROW team will seek consultation from the IRB Directors and their staff, the office of the UW-Madison Legal Affairs, and researchers across campus.
2. The OVCRGE has begun a process of benchmarking UW-Madison policies and practices against those of its peer institutions, which will include a review of federal human subjects regulations and interpretation of these federal regulations on campus. The OVCRGE will analyze these benchmarking data, develop a plan to reduce the burden on human subjects researchers, and will consult with the Directors of the HS and ED/SBS IRBs and the office of the UW-Madison Legal Affairs in this process.
3. The survey generated many ideas from respondents for improving IRB processes: developing templates with suggested language for protocols, exploring a centrally-funded IRB and eliminating IRB fees for non-industry sponsored and non-VA protocols, learning from the RARC's service-oriented culture, creating an ombudsman, and streamlining the application for minimal risk studies. The OVCRGE appointed a committee of faculty and academic staff researchers to review the findings of this report and the benchmarking data,

and generate a prioritized list of recommendations to improve the efficiency and user-friendliness of the IRB process. In conducting its work, the committee will seek consultation from the relevant stakeholders (e.g., IRB staff, the office of Legal Affairs, faculty researchers, permanent PIs).

4. One of the main problems identified by respondents was the apparent lack of uniformity in the criteria applied to reviewing protocols. Many respondents reported that they often received inconsistent and often contradictory comments from different reviewers. To achieve greater uniformity in protocol review, the OVCRGE will use the benchmarking process above to determine how peer institutions strive to achieve consistency, and then develop a recommendation and an action step.

5. PIs expressed frustration with the length of time from submission of an IRB protocol to approval. The OVCRGE will use available data to better understand what factors contribute to the length of the IRB review process to help identify opportunities to reduce the time between the submission of a proposal and the approval of the protocol.

6. The OVCRGE will develop a short IRB survey to receive ongoing feedback. The survey will be administered automatically to an investigator each time the investigator receives notification that his/her IRB protocol has been approved. Many peer institutions have implemented such a survey and found it helpful in obtaining “real time” feedback from users.

This is an ambitious plan that will likely require additional campus resources. It also may require changes in UW-Madison campus policies regarding IRB processes and procedures. The Office of the VCRGE recognizes any effort to implement changes that improve the efficiency and user-friendliness of IRBs must simultaneously support the IRB’s primary role of ensuring compliance with federal regulations. As the OVCRGE moves forward in implementing these recommendations, it will work closely with the Directors of the ED/SBS and HS IRBs and the office of the UW-Madison Legal Affairs to ensure that administrative efficiencies and changes do not hamper the IRBs ability to carry out their regulatory responsibility.

# Appendix A

## Institutional Review Board Survey

### Introduction:

We are conducting this survey in an effort to find out how the Office of the Vice Chancellor for Research and Graduate Education can work with the IRBs to provide a high quality experience for you. This survey is completely confidential and any identifying information will be removed by Associate Vice Chancellors Jan Greenberg and Norman Drinkwater from the data once the survey is closed. Only aggregate results will be shared with the IRBs as part of our quality improvement efforts. The survey takes about 10 minutes to complete. You can take the survey in parts or all at once. We would greatly appreciate if you could find the time to tell us about your experiences. To move between pages please use the back and forward arrows at the bottom of the page. Please do not use the back button on your browser. This can take you out of the survey, causing loss of data. Please only use the red back and forward buttons at the bottom of the page to avoid losing any information you have already entered. If you have any questions about the survey please feel free to contact Jan Greenberg or Norman Drinkwater.

Thanks,

Jan Greenberg Associate Vice Chancellor for Research, Social Sciences  
jan.greenberg@wisc.edu (262-1044)

Norman Drinkwater, Associate Vice Chancellor for Research, Biological Sciences  
norman.drinkwater@wisc.edu (262-1044)

Q1 This questionnaire is about your experience with IRBs at the University of Wisconsin-Madison. You may be named on protocols at other institutions, but this questionnaire is only about protocols with an IRB at UW-Madison. What is your primary role at the UW-Madison?

- Faculty
- Academic staff
- Postdoctoral fellow
- Graduate student

Q2 Human subjects protocol submissions include both initial applications and continuing reviews. Since 2014, how many human subjects protocols have you submitted?

- 0
- 1
- 2 – 3
- 4 – 5
- 6 – 7
- 8 – 10
- More than 10

Q3 Since January 2014, have you submitted an application to the following UW-Madison IRBs.

	Yes	No
Education and Social/Behavioral Science IRB	<input type="radio"/>	<input type="radio"/>
Health Sciences IRB	<input type="radio"/>	<input type="radio"/>
Health Sciences Minimal Risk IRB	<input type="radio"/>	<input type="radio"/>

Q4 How well do you understand how the pre-review, also called the staff review, process works?

- Not at all
- A little
- Somewhat
- Very
- Extremely

Q5 How respectfully did the IRB and IRB staff treat you when they reviewed your protocol(s)?

- Not at all respectfully
- A little respectfully
- Somewhat respectfully
- Very respectfully
- Extremely respectfully

Q6 How willing is the IRB and IRB staff to work with you to resolve problems that arise during the review process?

- Not at all
- A little
- Somewhat
- Very
- Extremely

Q7 How easy do you find the ARROW software platform to use?

- Not at all
- A little
- Somewhat
- Very
- Extremely

Q8 How acceptable do you find the time it takes the IRB to approve your protocol(s), from the time the protocol is first submitted to pre-review to the time it is finally approved?

- Not at all
- A little
- Somewhat
- Very
- Extremely

Q9 How helpful has the IRB and IRB staff been in helping you overcome regulatory challenges?

- Not at all
- A little
- Somewhat
- Very
- Extremely

Q10 The IRB, including during the staff review process, often requests modifications or clarifications from study teams before they can approve a study. In general ...

	Not at all	A little	Somewhat	Very	Extremely
... how clear are the requests from the IRB?	<input type="radio"/>				
... how reasonable are the requests from the IRB?	<input type="radio"/>				

Q11 Have you given up or almost given up pursuing a research project out of frustration of getting it through the IRB review process?

- Yes
- No

Q12 Please tell us more about the situation:

Q13 Based on your overall experience with the IRB submission and review process, what do you see as working well?

Q14 Based on your overall experience with the IRB submission and review process, what do you see as not working well?

Q15 Where would you turn for help if you have concerns about IRB processes or policies?

Q16 Have you ever used any of the following resources offered by the Education and Social/Behavioral Science IRB?

	Yes	No
Instructional course for using ARROW	<input type="radio"/>	<input type="radio"/>
Outreach sessions for your department, group, or class	<input type="radio"/>	<input type="radio"/>
IRB training sessions such as IRB 101 or IRB 200	<input type="radio"/>	<input type="radio"/>

Q17 How helpful were the following resources offered by the Education and Social/Behavioral Science IRB?

	Not at all helpful	A little helpful	Somewhat helpful	Very helpful	Extremely helpful
Instructional course for using ARROW	<input type="radio"/>				
Outreach sessions for your department, group, or class	<input type="radio"/>				
IRB training sessions such as IRB 101 or IRB 200	<input type="radio"/>				

Q18 Have you ever used any of the following resources offered by the Health Sciences IRB or the Health Sciences Minimal Risk IRB?

	Yes	No
Instructional course for using ARROW	<input type="radio"/>	<input type="radio"/>
Outreach sessions for your department, group, or class	<input type="radio"/>	<input type="radio"/>
IRB training sessions such as IRB 101 or IRB 200	<input type="radio"/>	<input type="radio"/>

Q19 How helpful were the following resources offered by the Health Sciences IRB or the Health Sciences Minimal Risk IRB?

	Not at all helpful	A little helpful	Somewhat helpful	Very helpful	Extremely helpful
Instructional course for using ARROW	<input type="radio"/>				
Outreach sessions for your department, group, or class	<input type="radio"/>				
IRB training sessions such as IRB 101 or IRB 200	<input type="radio"/>				

Q20 Have you ever consulted the Education and Social/Behavioral Science IRB staff ...

	Yes	No
... over the phone?	<input type="radio"/>	<input type="radio"/>
... over email?	<input type="radio"/>	<input type="radio"/>
... in person?	<input type="radio"/>	<input type="radio"/>

Q21 How helpful was the consultation with the Education and Social/Behavioral Science IRB staff...

	Not at all helpful	A little helpful	Somewhat helpful	Very helpful	Extremely helpful
... over the phone?	<input type="radio"/>				
... over email?	<input type="radio"/>				
... in person?	<input type="radio"/>				

Q22 Have you ever consulted the Health Sciences IRB or the Health Science Minimal Risk IRB staff ...

	Yes	No
... over the phone?	<input type="radio"/>	<input type="radio"/>
... over email?	<input type="radio"/>	<input type="radio"/>
... in person?	<input type="radio"/>	<input type="radio"/>

Q23 How helpful was the consultation with the Health Sciences IRB or the Health Science Minimal Risk IRB staff...

	Not at all helpful	A little helpful	Somewhat helpful	Very helpful	Extremely helpful
... over the phone?	<input type="radio"/>				
... over email?	<input type="radio"/>				
... in person?	<input type="radio"/>				

Q26 Please identify any ways that you think the Education and Social/Behavioral Science IRB could improve services to you, or any comments that you have about issues that were or were not addressed by this survey?

Q27 Please identify any ways that you think the Health Sciences IRB or the Health Science Minimal Risk IRB could improve services to you, or any comments that you have about issues that were or were not addressed by this survey?

Q28 The Survey was intended to be completed by researchers who have submitted a protocol in the past 2 years. You indicated that you have not submitted any protocols during this time frame. If you have submitted a protocol in the past 2 years, please use the back arrow and correct your response. Otherwise, please use the forward arrow at the bottom of the page to exit the survey.

Q29 We thank you for the time you spent taking the survey. Once you submit the survey you will not be able to go back and change your response. If you would like to review your responses, please use the back button at the bottom, otherwise, click the forward button to submit your responses.

# Appendix B

Table 1. Data for Figures

Question	Not at all	A little	Somewhat	Very	Extremely
<b>Figure 1.</b> How easy do you find the ARROW software platform to use?	21.3%	23.3%	35.8%	17.5%	2.1%
<b>Figure 2.</b> How respectful did the IRB and IRB staff treat you when they reviewed your protocol(s)?	1.2%	5.2%	25.4%	52.3%	15.8%
<b>Figure 3.</b> How willing is the IRB and IRB staff to work with you to resolve problems that arise during the review process?	1.6%	7.9%	27.2%	47.6%	15.7%
The IRB, including during the staff review process, often requests modifications or clarifications from study teams before they can approve a study.					
<b>Figure 4.</b> In general, how clear are the requests from the IRB?	3.2%	13.7%	35.1%	41.2%	6.8%
<b>Figure 5.</b> In general, how reasonable are the requests from the IRB?	11.2%	25.4%	36.9%	23.7%	2.9%
<b>Figure 6.</b> How helpful has the IRB and IRB staff been in helping you overcome regulatory challenges?	8.0%	23.5%	32.8%	29.2%	6.5%
<b>Figure 7.</b> How acceptable do you find the time it takes the IRB to approve your protocol(s) from the time the protocol is first submitted to pre-review to the time it is finally approved?	20.9%	20.7%	34.1%	22.1%	3.0%
<b>Figure 8a.</b> How well do you understand how the pre-review, also called the staff review process, works? (Education and Social/Behavioral Science)	10.4%	23.1%	41.0%	19.0%	6.3%
<b>Figure 8b.</b> How well do you understand how the pre-review, also called the staff review process, works? (Health Sciences)	2.8%	14.6%	41.6%	31.7%	9.3%
Have you given up or almost given up pursuing a research project out of frustration of getting it through the IRB review process? (% Yes)	49.2%				

<b>Question</b>	<b>Not at all</b>	<b>A little</b>	<b>Somewhat</b>	<b>Very</b>	<b>Extremely</b>
<b>Figure 9.</b> Have you ever attended an instructional course for using ARROW? (% Yes)	42.5%				
How helpful was the instructional course for using ARROW?	4.6%	26.9%	4.5%	19.3%	4.2%
<b>Figure 10.</b> Have you ever attended any outreach sessions for your department, group, or class? (% Yes)	28.5%				
How helpful was the outreach session offered by the IRB?	5.1%	19.0%	35.4%	31.0%	9.5%
<b>Figure 11.</b> Have you ever attended IRB training sessions such as IRB 101 or IRB 200? (% Yes)	27.4%				
How helpful were the IRB training sessions such as IRB 101 or IRB 200?	8.6%	21.7%	40.8%	25.0%	3.9%
<b>Figure 12.</b> Have you ever consulted the IRB staff over the phones? (% Yes)	75.0%				
How helpful was the consultation over the phone?	1.9%	9.1%	23.0%	42.8%	23.2%
<b>Figure 13.</b> Have you ever consulted the IRB staff over email? (% Yes)	87.1%				
How helpful was the consultation over email?	3.7%	10.0%	28.7%	39.8%	17.8%
<b>Figure 14.</b> Have you ever consulted the IRB staff in person? (% Yes)	49.6%				
How helpful was the consultation in person?	2.5%	8.3%	15.5%	38.8%	34.9%

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## **Proposal to Change the Name of the UW-Madison Department of Zoology to the UW-Madison Department of Integrative Biology**

The UW-Madison Department of Zoology requests to change its name to the “UW-Madison Department of Integrative Biology” as of July 1, 2017. Discussions about the potential name change began in 2013 when the Department of Zoology faculty requested a name change to the graduate program only. Further discussions led to a more encompassing approach and the department faculty voted unanimously for this name change for all programs at a meeting on April 27, 2016. On December 6, 2016, the L&S Academic Planning Council unanimously approved the proposed name change. The University Academic Planning Council discussed the name change on April 20, 2017, and unanimously approved it. The department has been referring to itself as “iBio.”

While the name “Zoology” connotes an exclusive concern with animal biology, current research and teaching in the department has long been motivated by a desire to understand biological processes, rather than particular taxonomic groups. The department’s 22 faculty members focus on broad topics such as molecular and cellular processes, development, behavior, evolution, neurobiology, nutrient cycling, plant community dynamics, and forest fire ecology.

Teaching in the department is similarly broad. As the Department of Integrative Biology, the work would remain unchanged (including the undergraduate majors in biology and zoology), but would be more readily visible to those who may be confused by the nineteenth-century term, “Zoology.” UW-Madison has the top-ranked department of Zoology in the U.S. yet there are only four such departments with this antiquated name (of 114) and none of the others are at major research universities. Graduate students especially, will find it easier to compare programs.

Although there is no perfect name that both captures the distinctiveness of the work of the department and avoids all overlap with existing names, the faculty and staff unanimously chose the name “Integrative Biology” as the best choice among options available. They are convinced it is likely to be flexible for future needs, and aligns the department with similar departments at peer universities. The word “integrative” signals that the scholarly work is focused on integration across biological systems and is not focused, say, on the cellular, developmental biological, neurobiological, or molecular emphases reflected in other department names when combined with the word “biology.” Although the words “biology” or “biological sciences” are used widely across campus, the combination of Integrative Biology is distinctive. There are many written testimonials from across campus in support of this name change, including from the Department of Botany, and from the dean of the College of Agricultural and Life Sciences (CALs).

## **Resolution in Support of Transgender Students, Faculty, and Staff**

**WHEREAS** the University of Wisconsin-Madison affirms that our core values include equity and inclusion in a welcoming, safe, and respectful community.

**WHEREAS** our transgender, gender non-conforming, and gender non-binary students, faculty, and staff add to the rich diversity of our campus community and contribute in significant ways every day.

**Therefore be it RESOLVED that the Senate of the University of Wisconsin-Madison affirms the rights of transgender students, faculty, and staff to seek the benefits of a University of Wisconsin education and to work on our campus with safety and dignity; and**

**Be it further RESOLVED that the Senate of the University of Wisconsin-Madison affirms the rights of transgender students, faculty, and staff to enjoy all the benefits, privileges and protections offered to any other member of University of Wisconsin community.**