WISCONSIN
UNIVERSITY OF WISCONSIN–MADISON

November 25, 2018

From: Ad Hoc Committee on Shared Governance Traditions (Beth Giles, Heather Daniels, Jane Richard, Anja Wanner)

To: UW-Madison shared governance groups
Re: Shared governance traditions and decisions at UW-Madison

Context: The four governance groups, Academic Staff, Faculty, University Staff, and ASM each passed a shared governance values statement in the spring of 2016.[1] The statements passed by the academic staff and faculty both requested a joint committee be formed to further define how shared governance has been practiced at UW-Madison. It was not until spring 2018 during a meeting of the shared governance chairs (Terry Fritter, Chair, University Staff Central Committee (USCC); Katrina Morrison, Chair, Associated Students of Madison (ASM); Kevin Niemi, Chair, Academic Staff Executive Council (ASEC); Anja Wanner, Chair, University Committee (UC)) that the idea of a "shared governance practices" document to meet the spirit of the 2016 resolutions was discussed. There was general support for the idea, and each group was asked to appoint members to an ad hoc committee that would discuss further the direction of such a document and that would ultimately write it. University staff, though generally in support, ultimately did not name anyone, ASM named Deena Whitwam (Shared Governance chair), ASEC named Beth Giles, and the UC named Anja Wanner. Additionally, Secretary of the Faculty Steve Smith, Deputy Secretary of the Faculty Jane Richard, and Secretary of the Academic Staff Heather Daniels agreed to lend their expertise to the project. While the ad hoc group agreed that it would be useful to have a comprehensive dossier (ideally online) of the history of shared governance on campus (including all relevant legislative language) as well as an overview of significant actions taken or recommended by shared governance groups, it was decided that such a compendium would be beyond the scope of this group. (We also learned that a number of reports on various aspects of shared governance, including the history of shared governance at UW-Madison, already exist.)

Instead, the group opted for a short summary that would illustrate the range and the value of the work of shared governance, as well as practical outcomes, illustrated by recent decisions or recommendations. We took as our starting point the shared governance support statement issued by UW-Madison leadership in September 2017, which specifically lists the areas of academics, research, climate/diversity, human resources, and "other campus-wide issues." Due to a transition in ASM leadership at the end of the spring semester (the new shared governance chair, Jacob Gardner, was not available to meet over the summer), the current report has been written without textual input from ASM. We present this report to the four governance groups in the hope that it will be a useful document in the discussion of the value of shared governance as joint decision-making and as a practice that lies at the core of what makes UW-Madison a world-class research and teaching institution.

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[1] Academic staff: kb.wisc.edu/images/group171/63713/601B-SharedGovernanceValuesStatement.pdf;
Faculty: kb.wisc.edu/images/group222/shared/2016-04-04FacultySenate/2617SharedGovStatement.pdf

SHARED GOVERNANCE TRADITIONS AT THE UNIVERSITY OF WISCONSIN-MADISON

Report of the Ad Hoc Committee on Shared Governance Traditions

Abstract: *Shared governance is a model of decision-making that recognizes that the best solution to a problem is one that is developed by engaging appropriate stakeholders. It has a long history on campus, dating back to 1888, and has been woven into the very fabric of life here. In spring 2018, an ad hoc committee representing the faculty and academic staff was formed to write a summary of shared governance practices at UW-Madison. Building on the shared governance support statement from UW-Madison leadership, this report uses their references to the areas of academics, research, climate/diversity, and human resources. It is the first step towards illustrating the range and value of the work within those areas including: establishing the curriculum, program review, research compliance, grievances, and establishing committees to foster a safe and enriching learning environment. A cautionary tale section reflects on how bypassing shared governance has led to poor decision-making, disruption, retention issues, and additional expense.*

1 Academics

1.1 Establishment of the curriculum

New course proposals and course changes are subjected to a series of approvals through faculty governance committees to ensure that they meet standards for UW. The last step in the approval of new courses and of course changes lies with the University Curriculum Committee, which consists of 8 faculty members and 4 academic staff members with instructional titles. The UCC also advises campus leadership on educational policies and planning.

> Recent example: In order to make the goals of each course more transparent and thus improve the educational experience for students, the University Curriculum Committee (UCC) now requires learning outcomes for each course. The UCC also approved policies to support the creation of new course attributes, like "workplace experience," and formalized designation of courses that may be counted to the minimum graduate course work requirement.

1.2 Program review

The approval of program changes or new programs is based on UW System Administration and Board of Regents policy. It is overseen by the director of the office of Academic Planning and Institutional Research (APIR) with governance oversight – approval required -- through the University Academic Planning Council (UAPC), the Graduate Faculty Executive Committee (GFEC), and School/College Academic Planning Councils. The UAPC must also approve any policy issues proposed by the General Education Committee. Program review is required for all of the 500 degree and certificate programs once every 10 years, which means that in any given year 50

programs need to be reviewed. As a result of program review, a program may be restructured or discontinued.

> Recent example: In 2017-18, the UAPC – which includes faculty members, academic staff, a student member, and ex officio administrators -- voted to establish 11 certificates, restructure 3, and suspend admission to 12 certificate programs. It did not vote to establish a new department, but voted to restructure or rename 9 existing departments. It voted to establish 2 new subject listings and to discontinue 2 others . It also established 2 new centers and discontinued 8.

> Recent example: The UAPC endorsed the Wisconsin Experience as a framework for undergraduate programs and passed the motion that all new undergraduate programs must explain how students can complete the degree in four years.

1.3   Establishment of requirements for admission and graduation

The Office of Admissions & Recruitment, located in the office of the Vice Provost for Enrollment Management, leads campus efforts to identify, recruit, and enroll talented undergraduate freshmen and transfer students, with input provided through shared governance processes.

> Recent example: The mission of the Committee on Undergraduate Recruitment, Admissions and Financial Aid (CURAFA), is to build a scholarly and diverse undergraduate student population. CURAFA membership includes faculty, academic staff, university staff, students, and ex officio administrators. It is advisory to the Division of Enrollment Management. Most recently, CURAFA expressed support for the Chancellor's financial aid initiative that is designed to make UW-Madison more affordable for Wisconsin residents, Bucky's Tuition Promise. The committee recommended that funds be made available to not just cover tuition, but also non-tuition expenses, such as housing and books.

1.4   Academic calendar

Authority for establishment of the UW-Madison academic calendar is vested in the faculty and approved in 5-year increments by the Faculty Senate. The most recent ad hoc committee was made up of faculty, academic staff and university staff from all over campus. Despite many constraints, the committee developed a calendar with predictable and regularized dates that best serves our academic goals.

2 Research

2.1 Research Compliance

Faculty and academic staff constitute various regulatory bodies on campus overseeing research compliance, such as the Institutional Animal Care and Use Committees (IACUC). These committees have approval authority for research protocols involving vertebrate animals on campus. Similar committees exist for human subjects and stem cells.

> Recent example: The Office of the Vice Chancellor for Research and Graduate Education formed a governance committee of faculty and academic staff to rewrite the University's Misconduct Policy on Scholarly Research, which was part of UW-Madison's Faculty Legislation. Once the committee finished its work, it was reviewed by the faculty and academic staff executive committees and the revised policy was ultimately approved by the UW-Madison Faculty Senate and endorsed by the Academic Staff Assembly.

2.2 Research Funds Distribution

Faculty have long been involved in the distribution of competitive research funds on campus. They serve as the primary reviewers on the Fall Research Competition, which distributes grant money for pilot projects and funding gaps. They also serve as reviewers for other internal and external grant competitions when institutional submissions are limited. In addition, four divisional Associate Vice Chancellors, who are recruited from current faculty members and maintain faculty appointments, oversee distribution of the Fall Research Competition funding and serve as the primary advisors for the Vice Chancellor for Research and Graduate Education (VCRGE). Lastly, while the VCRGE has been vested with the authority to provide Principal Investigator (PI) status to those other than faculty to apply for grants, the faculty may give Permanent PI status to select academic staff through an application process.

> Recent example: The OVCRGE manages multiple competitive programs for research funding made available through the WARF gift to campus. In recent years, the amount of the WARF gift has increased, allowing for new funding programs starting in 2016. The OVCRGE initiated a broad program called UW2020, and one-time programs supporting microbiome research and data science in the past two years. In each case, these initiatives were proposed by the OVCRGE leadership team and presented to the governance group (the University Research Council or URC), which includes representatives of the faculty, academic staff and university staff. The URC has also been consulted regarding topics for future initiatives and will be involved as decisions are made regarding the topic and format of such programs.

3   Human Resources

Both the academic staff and faculty have extensive personnel policies that are passed by the governance bodies and then approved by the Chancellor and passively reviewed by the Board of Regents. The policies address topics such as rights and responsibilities, layoffs, appointments, post-tenure review, and discipline.

3.1   Tenure

Tenure is the basis for critical inquiry and the unbiased advancement of knowledge. A binding commitment for an indefinite period, tenure is awarded to a faculty member after rigorous review by faculty at the departmental and divisional level and after approval by the dean and provost under the authority of the Board of Regents. Tenure is limited only by retirement, dismissal for cause, termination for financial emergency or program discontinuance for educational reasons in extraordinary circumstances, or voluntary resignation.

> Recent example: Formerly written in to state law, in 2015-2016 revised tenure provisions were moved to Board of Regents policy, strengthening the administrative oversight by the schools and colleges. The UW-Madison Faculty Senate clarified campus-specific policies that were in compliance with the Regent's umbrella policies and also strengthened the role of faculty in the review process.

3.2   Complaints/Appeals/Grievances

Committees that hear appeals/grievances are made up of peers from those employee groups selected by governance representatives.

> Recent example: Employee governance bodies passed new policies regarding Hostile and Intimidating Behavior (academic staff and faculty in 2014, and university staff in 2016). These policies were designed to address workplace bullying using existing mechanisms for complaints and grievances.

3.3   Search and Screen Committees

Search and screen (S&S) committees are formed -- ad hoc-- to hire for a specific position and are charged by the hiring authority. Search and screens for upper level positions are made up of representatives of all governance groups. The committee determines and supplies the hiring authority an unranked list of acceptable candidates. Traditionally, S&S committees for leadership positions that affect the academic mission of the university have a majority of faculty members and a faculty member as chair.

> Recent example: The Vice Chancellor for Student Affairs (VCSA) is a newly created position that reports to the chancellor and serves on the chancellor's executive team. The 14-member search committee had representation from all four governance groups and was chaired by a faculty member.

Recent example: Vice Provost for Libraries, who works to develop the role of libraries in supporting research and scholarship, to increase the library's financial support and to transform the library's physical spaces. The 11-member search committee had representation from all four governance groups and was chaired by a faculty member.

Recent example: Vice Provost for Information Technology and Chief Information Officer (VP-IT/CIO) leads the campus effort in developing and furthering the IT strategic plan and has responsibility for all IT-related activities. The 16-member search committee had representation from all four governance groups and was chaired by a faculty member.

3.4   Human Resources Projects

Shared governance has consistently been included in human resources projects that either involve large scale changes to the human resources system or involve human resources topics that are under the purview of one of the governance groups.

Recent example: Shared governance representatives have been included in several areas of the Title and Total Compensation (TTC) Project. They served as part of the teams working on the job family structure and currently serve on the UW System TTC Advisory Committee and on the UW-Madison Outreach and Collaboration Team. The executive/coordinating committees of the governance groups as well as the large representative bodies are consulted for input regularly by members of the TTC.

Recent example: Academic staff governance often works directly with the Office of Human Resources to address problems and create solutions, such as the annual promotional exercise for academic staff and expanding some pay ranges.

Recent example: A new chapter in Academic Staff Personnel Policies and Procedures will address changes created by Title IX.

Recent example: After UW-System President Ray Cross announced in 2017 the reintegration of UW Cooperative Extension (UWEX) and Extension Conference Centers to UW–Madison, a steering team was formed that regularly reports to the governance executive bodies and seeks their input to solve programmatic and personnel issues. An Advisory Council comprises representatives from UWEX and UW governance groups and meets once a month to monitor the ongoing details.

4 Equity, Diversity, and Climate

The Division of Diversity, Equity and Educational Achievement (DDEEA) has been successfully using the strength of the shared governance process at the University of Wisconsin-Madison to guide decisions, roll out information and continue to create a collaborative community on our campus.

4.1 Institutional Statement on Diversity

The institutional statement on diversity (below) reflects the shared values and principles of the University of Wisconsin and in order to ensure that it did, the statement was endorsed by all governance groups.

> *"Diversity is a source of strength, creativity, and innovation for UW-Madison. We value the contributions of each person and respect the profound ways their identity, culture, background, experience, status, abilities, and opinion enrich the university community. We commit ourselves to the pursuit of excellence in teaching, research, outreach, and diversity as inextricably linked goals.*
>
> *The University of Wisconsin-Madison fulfills its public mission by creating a welcoming and inclusive community for people from every background - people who as students, faculty, and staff serve Wisconsin and the world."*

4.2 Committees Supporting the Campus Climate and Culture of Equity

Many of the campus committees that have a home in DDEEA were formed as a result of shared governance, and used the shared governance process to endorse the work they do to make our campus and inclusive, fair and equitable place.

4.2.1 Campus Diversity and Climate Committee

This shared governance body advises the administrative offices and governance bodies on diversity and climate policies, which strive to create an environment where each individual feels respected, valued and supported, while respecting academic freedom and freedom of speech.

4.2.2 Committee for Lesbian, Gay, Transgender, Bisexual, and Queer People in the University

This committee is charged with reporting on the state of the curriculum and campus climate for GLBTBQ students, faculty, and staff.

4.2.3 Committee on Women in the University

The Committee recommends to administrative offices and governance bodies changes in university priorities, policies, practices, and programs that would improve the status of women. It collaborates and consults with administrative offices and governance bodies to more fully support gender equity, employee engagement, an inclusive and respectful

culture, and diversity. The committee also evaluates and monitors the status of women employees at the university. Examples of specific topics include childcare, parental leave, and lactation rooms.

4.2.4 Committee on Disability Access and Inclusion

This committee advises the University ADA Coordinator and relevant institutional units with primary responsibility for ADA compliance, and supports their work to ensure that the policies, programs, and services of the institution are accessible for students, employees, and guests of the university who have disabilities.

5 When Shared Governance is Bypassed

Bypassing shared governance in major programmatic decisions can lead to poor decision-making, disruption, retention issues, and additional expense.

Recent example: The role of shared governance was weakened as part of a state budget bill that introduced deep budget cuts. Many were concerned about the integrity of process, and the university ended up spending millions of dollars to retain faculty targeted by other institutions' recruitment efforts.

Shared governance is driven by a strong belief that UW-Madison can only be a world-class teaching and research institution if all governance bodies have a say in how the university best serves its core mission, to "provide a learning environment in which faculty, staff and students can discover, examine critically, preserve and transmit the knowledge, wisdom and values that will help ensure the survival of this and future generations and improve the quality of life for all." We are proud of the educational experience we offer our students, our retention and graduation rates, the ranking of our research enterprise, and our enduring commitment to the Wisconsin Idea.

Respectfully submitted,

The Ad Hoc Committee on Shared Governance Traditions, Beth Giles (Academic Staff Executive Council), Heather Daniels (Secretary of the Academic Staff), Jane Richard (Deputy Secretary of the Faculty), Anja Wanner (past chair, University Committee)