

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

FACULTY SENATE AGENDA MATERIALS **for**

4 April 2016

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



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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

FACULTY SENATE MEETING
Monday, 4 April 2016 - 3:30 p.m.
272 Bascom Hall

A G E N D A

1. Memorial Resolution for:
Professor Emeritus Robert Kowal (Fac doc 2618)
2. Presentation of the 2015-2016 Hilldale Awards to:
Arts and Humanities Division: Professor Steve Stern (History)
Biological Sciences Division: Professor Paul Ahlquist (Plant Pathology)
Physical Sciences Division: Professor Laura Kiessling (Chemistry)
Social Studies Division: Professor Michael Apple (Curriculum and Instruction)
3. Announcement/Information Items.

State of Research Enterprise.

Diversity Update.
4. Question Period.
5. Approval of Minutes of March 7.
6. Advisory Committee for the Office of Equity and Diversity Annual Report, 2014-2015.
(Fac doc 2619)
7. Ombuds and Employee Assistance Office Annual Reports. (Fac doc 2620)
8. Open-Access Policy Recommendation (Fac doc 2612)
9. University Research Council and Related *Faculty Policies and Procedures* Changes.
(Fac doc 2615, revised)
10. Values Statement on Shared Governance at UW-Madison (Fac doc 2617)
11. Proposal to Add to *Faculty Policies and Procedures* Chapter 6: Budget Advisory Committee
(first reading) (Fac doc 2616, revised)

**Memorial Resolution of the Faculty of the University of Wisconsin-Madison
On the Death of Professor Emeritus Robert Raymond Kowal**

Robert R. Kowal passed away on August 3, 2015 at the age of 76. Bob was a valued Professor of Botany at the University of Wisconsin-Madison from 1971-1997. He was widely known for expertise in cytotaxonomy and numerical taxonomy of plants (particularly Compositae and the genus *Packera*) and recognized for having trained a number of current authorities in the field of plant systematics.

Bob Kowal was born on April 23, 1939 in Paterson, New Jersey, where he developed a love of nature as a young boy. He pursued his interests in plant science and mathematics as a college student at Cornell University where he graduated as class valedictorian. Bob continued at Cornell as a graduate student, advised by the eminent ecologist Robert T. Clausen, earning a doctoral degree in plant taxonomy and ecology. Bob held a post-doctoral fellowship in biomathematics at North Carolina State University from 1967-69, then served as visiting assistant professor in biology at Kansas State University from 1969-71, and thereafter joined the Botany faculty at the UW-Madison.

A dedicated teacher, for many years Bob taught a high-enrollment introductory botany course, where his creative methods stimulated a generation of plant biology students. Bob was not too dignified to smash plant pots to dramatically exhibit root systems, or pin a host of balloons to his clothes to illustrate how fruitlets together form aggregate fruits such as those of blackberry. Bob also taught diverse advanced plant courses that influenced many undergraduate majors and graduate students. For years, graduate students flocked to him and pressed him into service as a thesis committee member for his strong expertise in biostatistics and consistently constructive and insightful advice on experimental design and interpreting results. Everyone in the department knew to go to Bob for instruction on imaging plant chromosomes, help with Latin names and descriptions of new species.

His departmental colleagues greatly appreciated Bob's long and attentive service as the chair of the Greenhouses and Garden Committee. This not only supported teaching and research but also attracted appreciative interest from the public, promoting both his department and the university at large. Bob also invited visits to his remarkable home garden collection of daylilies and hostas and generously shared cuttings from his plants with colleagues and neighbors. He welcomed students and friends to share his time and home where they appreciated deep discussions of botany, conservation issues, and life in general.

Bob Kowal will be remembered by many as an accomplished intellectual yet also a kind and humble person who illuminated his academic and personal surroundings.

**FACULTY SENATE
MINUTES
7 March 2016**

Chancellor Rebecca Blank called the meeting to order at 3:32 p.m. with 134 voting members present (111 needed for quorum). A memorial resolution was offered for Professor Emeritus James G. Nelson (Fac doc 2611). Chancellor Blank introduced the new Vice Chancellor for University Relations, Charles Hoslet, and the interim Vice Chancellor for Finance and Administration, Michael Lehman. She then provided updates on faculty awards, retention efforts, state legislative actions, system and campus tenure policies, the comprehensive campaign, and diversity efforts and incidents on campus. There was one question related to tenure policies. The minutes of the February 2, 2016, meeting were approved as distributed.

Professor Beth Meyerand (chair, University Committee) moved to accept the amended biennial report on senate districts and apportionment (Fac doc 2610a). The motion passed unanimously by voice vote.

Professor Karl Broman (Biostatistics and Medical Informatics and former chair, University Library Committee) moved that the Faculty Senate endorse a University Library Committee resolution on open access (Fac doc 2612). The motion was seconded and several questions and comments followed. Professor Mark Etzel (Food Science) moved to table the motion to the next meeting to allow for more study and discussion. The motion was seconded and passed by voice vote.

Assistant Professor Michael Kissick (Medical Physics) moved endorsement of the children in the workplace policy (Fac doc 2613). The motion was seconded. There were several questions and comments. The motion passed by voice vote.

Professor Meyerand moved approval of modifications to the membership and functions of the Committee on Women in the University (*Faculty Policies and Procedures* 6.56.; Fac doc 2614). The motion passed unanimously by voice vote. Professor Meyerand presented for a first reading a proposal to add the University Research Council into *FPP* as new section 6.59. (Fac doc 2615). There were several questions and comments. Professor Meyerand presented for a first reading a proposal for a new shared governance budget committee to be added into *FPP* as new section 6.25. (Fac doc 2616). Professor Irwin Goldman (Horticulture) moved that the proposal be referred to the University Committee to allow for input from the new interim Vice Chancellor for Finance and Administration. The motion was seconded and there were no comments or questions. The motion to refer to committee passed by voice vote. Professor Meyerand presented a draft statement on shared governance for a first reading (Fac doc 2617). There were no comments or questions.

The meeting was adjourned at 4:45 p.m.

Respectfully submitted,



Steven K. Smith
Secretary of the Faculty

Advisory Committee for the Office of Equity and Diversity Annual Report, 2014-2015

Committee members: Parameswaran Ramanathan (chair), Catherine Stephens, Steffen Lempp, Thomas Browne, Steven Kosciuk, Pilar Ossorio, Mauriel Limechi, S. J. Park, Gwedolyn Jordan, Fei Men, Trenton Lee Yadro, Tim Shedd,

- The committee had meetings on September 26, 2014, November 21, 2014, February 20, 2015, and March 20, 2015.
- At its September 2014 meeting, committee discussed the potential underreporting issue with status of veterans and people with disabilities, which may impact the compliance with Federal regulations. At that time, ADA coordinator overseeing equity and diversity compliances was yet to be appointed.
- The committee also raised concerns about accessibility to buildings during winter and remodeling when handicapped individuals might hardly get into buildings such as Van Hise. The committee invited Bill Elvey (Associate Vice Chancellor for Facilities Planning and Management) and Top Tantiviatt (Facilities Planning and Management) to its November 2014 meeting to discuss this issue and other issues related to campus facilities management.
- Bill Elvey and Top Tantiviatt summarized ongoing efforts on diversity issues.
 - A pilot project on campus bus with access is underway.
 - Campus efforts are also underway to lower the button to open doors from 48" to 32".
 - Accessible map is available on campus website. It shows accessible entrances and slope of access ramps.
 - Building codes do not require button to every door. However, all new building on campus will have such automatic doors on every door.
 - Pilot project with a company that has a wayfinding application through audio is underway.
 - Accessible entrances get high priority for snow clearing.
 - FP&M requires all managers to take training on inclusion and diversity. FP&M is working with Urban League to foster recruitment from diverse groups.
- FP&M has several excellent efforts to foster equity and diversity. The committee discussed ways of onboarding those to other units.
- The campus may want to look the University of California, Berkeley's recent adoption of Principles of Community as a model.
- The committee invited Fred Fotis and other guests from UW Housing to discuss equity and diversity issues in campus housing.
 - New dorms like DeJope are fully accessible. There are rooms which are accessible for someone who needs 24-hours care.
 - It is however difficult to make older dorms such as Barnard to be easily accessible.
 - Every house fellow is required to talk to all their residents at least thrice a year. They have a template with about 10 questions to discuss with each resident. This gives them a sense of the climate issues among residents in their unit.
 - UW Housing has a variety of programs to foster discussion among its residents on equity, diversity, culture, race, and other issues. These programs use contemporary topics such as the Tony Robinson case to bring awareness.

Ombuds and Employee Assistance Office Annual Reports

Pages 1-2: Office of the Ombuds Mid-Year Report, February 24,

2016 Page 3: Employee Assistance Office Annual Report, 2015

Page 4-5: Distinguishing the Services of the Employee Assistance Office and the Ombuds Office

Office of the Ombuds Mid-Year Report, February 24, 2016*Visitor Concerns of Hostile and Intimidating Behaviors*

During the first six months of Academic Year 2016, Ombuds identified hostile and intimidating behavior as a factor in 11% of the cases presented to us. These behaviors take place both within evaluative and peer relationships. Departmental climate and supervisory effectiveness appear to be the context in which hostile and intimidating behavior takes place with the evaluative relationships. Communication appears to be the main context in peer relationships. The lack of respect is a common characteristic within both types of relationships. Summary attached.

Distinguishing Services of the Ombuds Office and Employee Assistance

In response to your question last Fall about differences between the services of our office and those of Employee Assistance – or how would employees choose which office to consult – our offices jointly developed the attached document – “Distinguishing the Services of the Employee Assistance and the Ombuds Office.”

The University of Wisconsin-Madison provides the Employee Assistance Office and the Ombuds Office as complementary resources to support employees in managing challenges and conflicts in the workplace....Early consultations – when the employee begins to experience a concern – will offer greater flexibility for achieving success. Employees can start with either office to explore potential campus resources.

We provide details on similarities and differences in services and the unique features of each office. We will post this on our website and include the information in our outreach activities.

Expanded Campus-wide Employee Services

In July 2016, the campus Ombuds expanded its services to include the School of Medicine and Public Health (and the School of Pharmacy) with a fifth Ombuds on the team and an immediate increase in visitor contact. Out of 90 new cases opened between July and December 2015, 21 primary visitors were SMPH employees. Our mid-year report of “Issues by Category” is included with this report.

Prepared by: Dale Burke, Jo Ann Carr, Tom Schaub, and Rosa Garner – Ombuds

**UW Ombuds Mid-Year Evaluation Hostile & Intimidating
Behavior (HIB) Issues
July 1, 2015 – December 31, 2015**

Overview:

- 90 cases
- HIB / Bullying Cases – 10
- HIB / Bullying in 11% of Cases

Corresponding IOA Database Categories of HIB Issues:

(2o) Bullying, Mobbing ~ *Evaluative Relationships* - 7 cases
(abusive, threatening, and/or coercive behaviors)

- 3 - Departmental Climate
(prevailing behaviors, norms, attitudes in dept. - supervisors/faculty responsibility)
- 3 - Supervisory Effectiveness
(management of dept. / unit, failure to address issues)
- 3 - Respect/Treatment
(demonstrations of inappropriate behavior, disregard for people, rudeness, crudeness, etc.)
- 2 - Feedback
(feedback or recognition given, or responses to feedback received)
- 1 - Career Development/Coaching/Mentoring
(varied assignments as training and developmental opportunities)
- 1 - Performance Appraisal
(job performance in formal or informal evaluation)
- 1 - Communication
(quality and/or quantity of communication)
- 1 - Retaliation
(punitive behaviors for previous actions or comments, whistleblower)
- 1 - Equity of Treatment
(favoritism, one or more individuals receive preferential treatment)
- 1 - Work Assignments/Schedules
(appropriateness or fairness of job tasks, responsibilities)

(3f) Bullying, Mobbing ~ *Peer and Colleague Relationships* – 4 cases
(abusive, threatening, and/or coercive behaviors)

- 3 - Communication
(quality and/or quantity of communication)
- 2 - Respect/Treatment
(demonstrations of inappropriate regard for people, not listening, rudeness, crudeness, etc.)
- 1 - Retaliation
(punitive behaviors for previous actions or comments, whistleblower)

EMPLOYEE ASSISTANCE OFFICE (EAO) Annual Report, January 2015 – December 2015

The University of Wisconsin established the Employee Assistance Office (EAO) to assist faculty and staff with maintaining and enhancing both their professional and personal lives. We offer services to promote respectful and productive work environments as well as emotional well-being.

Activity

- Total number of new individual cases opened – 281
- Total number of individual follow-up contacts – 304
- Total Supervisory/Management Contacts – New 44, Follow-ups 18
- Total number of Telephone Consults – Employee 70, Supervisor 71
- Total number of HR consults – Phone 78, Meeting 50
- Total number of groups – 41
- Number of group participants – 245

Demographics

Breakdown:

- 43% Academic Staff
- 11% Faculty
- 40% University Staff
- 2% Temporary Employee
- 2% Limited Appointee
- 2% Family Member

Top Five Concerns

1. Occupational / Career-related Concerns – 23%
2. Marital 20%
3. Job Related Stress 20%
4. Conflict in the Workplace 19%
5. Psychological/Emotional 16%

Specific Examples of Concerns

Domestic Violence, Layoff, Discrimination, Elder Care, Retirement, Threat of Violence, Policy Issues, Suicidal Thoughts, Demotion, Housing Fear, Divorce, Ethics, Insomnia, Anger

EAO Presentations/Groups

EAO staff delivered 78 presentations on various topics to 1440 attendees.

Topics:

- Communication and Collaboration
- Stress Management
- EAO Orientation
- Fostering a Positive Work Environment
- Conflict Resolution
- Coaching for Difficult Conversations
- Respect in the Workplace
- Emotional Intelligence

Specific Committee Involvement

- Chancellor's Advisory Group Alcohol and Other Drugs
- UWell-University Wellness committee

Distinguishing the Services of the Employee Assistance Office and the Ombuds Office

The University of Wisconsin-Madison provides the Employee Assistance Office and the Ombuds Office as complementary resources to support employees in managing challenges and conflicts in the workplace.

Employee Assistance is a team of internal, licensed professional counselors whose mission is to give timely assistance to all employees with *personal* or work-related concerns in order to contribute to the overall well-being of the employee.

Ombuds provide a safe opportunity to be heard, explore concerns, and consider resources, options, and strategies for next steps to address workplace concerns. Ombuds are impartial and non-aligned, promoting fairness in the workplace, rather than representing any side in a dispute.

Early consultations – when the employee begins to experience a concern – will offer greater flexibility for achieving success. Employees can start with either office to explore potential campus resources.

| Both offices: | |
|----------------------|-------------------------------------------------------------------------------------------------|
| | • Offer an informal process to address conflict/communication. |
| | • May help to facilitate communication between and among employees and others. |
| | • Are familiar with campus policies and procedures. |
| | • Provide confidentiality to all visitors and do not retain formal records of visitor contacts. |
| | • Are not authorized to accept notice of claims against the University. |
| | • Allow employees to use work time for appointments. |
| | • Provide services at no cost to the employee. |

| Differences between the offices: | | |
|-----------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | Ombuds | Employee Assistance Office |
| Staffing | Ombuds are retired faculty, academic and university staff with extensive on-campus experience to provide a collective perspective from the Ombuds team. | EAO Consultants are licensed clinical social workers/counselors with background and training that includes organizational development/leadership. |
| Audience and issues addressed | Any campus employee, including student employees and post docs, may initiate contact to consult about workplace dilemmas. | Any campus employee, plus family members or significant others, may make appointments to discuss workplace concerns or personal issues. |
| Case initiation | Any employee may initiate contact with the Ombuds Office. | Employees may initiate contact with the EAO. Supervisors can refer but not mandate employees to contact EAO. |
| Scheduling meetings | Assistance may be provided by telephone or meetings may be scheduled at a time and location convenient to the employee and the Ombuds. | Counseling appointments can be made by phone or email. Counseling sessions occur at the Lowell Center. Consultation can occur across campus at the division or college making the request. |

| <i>Unique Features</i> |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Ombuds</i> |
| <ul style="list-style-type: none">• Is independent in structure, function, and appearance to the highest degree possible within the University. |
| <ul style="list-style-type: none">• Strives for impartiality, fairness and objectivity in the treatment of employees and the consideration of issues. The Ombuds advocate for fair and equitably administered processes and do not advocate on behalf of any individual within the University. |
| <ul style="list-style-type: none">• Is an alternative, informal resource and does not participate in any formal adjudicative or administrative procedure related to concerns brought to its attention. |

| <i>EAO</i> |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <ul style="list-style-type: none">• Responds to crises and traumatic events with affected employees and EAO is part of the campus Threat Assessment Team. |
| <ul style="list-style-type: none">• Offers group facilitation to resolve conflict, and improve communication and teamwork. |
| <ul style="list-style-type: none">• Provides coaching for supervisory staff on difficult conversations. |
| <ul style="list-style-type: none">• Offers consultation to unit human resource staff on concerns for employees, supervisors, and groups. |
| <ul style="list-style-type: none">• Offers educational presentations on many topics related to communication, respect, and dealing with conflict. In addition to wellness topics such as stress management. |
| <ul style="list-style-type: none">• Is duty bound to maintain confidentiality unless permission is given in writing. |

**University Library Committee Resolution in support of an Open Access Policy
for the University of Wisconsin–Madison**

Adopted by the University Library Committee on 16 November 2015

Whereas the University of Wisconsin–Madison has, by a long-standing tradition embodied in the Wisconsin Idea, asserted that University research and scholarship should have broad impact on the people of the State of Wisconsin.

Whereas faculty authors' scholarly articles are a primary product of their research.

Whereas the broad and open dissemination of such scholarly articles will ensure their accessibility to the people of the State of Wisconsin and elsewhere.

Whereas such broad accessibility of faculty research has further advantage for the faculty and the scholarly enterprise, including greater recognition, more thorough review, and a general increase in scientific, scholarly, and critical knowledge.

Whereas the deposit of scholarly articles in an institutional repository will aid in the preservation of these works.

Whereas numerous universities, including the University of California, the University of Minnesota, and the University of Illinois at Urbana-Champaign, have adopted Open Access policies through which faculty assign a nonexclusive license to preserve and disseminate their scholarly articles.

Therefore be it resolved that the University Library Committee strongly supports the adoption of an Open Access policy for the University of Wisconsin–Madison, such as the draft policy attached as Appendix A.

Whereas much of the research at the University is conducted by staff and students.

Therefore be it further resolved that the inclusion of academic staff, university staff, and students in such a policy be carefully considered in consultation with the appropriate governance groups.

Appendix A: Draft Open Access Policy

In the spirit of the Wisconsin Idea (the principle that “the university should improve people’s lives beyond the classroom”), researchers should seek to ensure the broad accessibility of their scholarly articles, which are the primary products of their research efforts. Towards this aim, and also to simplify authors’ retention of distribution rights and aid preservation, the University of Wisconsin–Madison has adopted the following Open Access Policy.

Each faculty member grants to the University of Wisconsin–Madison a shared, limited right to make available his or her scholarly articles and corresponding supplementary materials, and to reproduce, display, and distribute those articles for the purpose of open access. More specifically, each faculty member grants the University of Wisconsin–Madison a nonexclusive, irrevocable, royalty-free, worldwide license to exercise such rights under copyright as are necessary to achieve the goals of open access, dissemination, and preservation, provided that the articles are not sold for profit, and to authorize others to do the same.

The author retains copyright ownership, unless that author chooses to transfer rights to other parties, such as a publisher. The University retains only the limited rights outlined above.

The policy applies to all scholarly articles authored or co-authored while the person is a faculty member at the University of Wisconsin–Madison, except for any articles completed before the adoption of this policy and any articles for which the author entered into an incompatible licensing or assignment agreement before the adoption of this policy.

The Vice Chancellor for Research and Graduate Education or his/her designate will waive application of the license for a particular article or delay access for a specified period of time, not to exceed 12 months, upon express direction by a faculty member. Grant of such a waiver is mandatory and not at the discretion of any person or group. Waiver requests must be made in writing, or via an online form that will be made available for this specific purpose.

The Office of the Vice Chancellor for Research and Graduate Education will be responsible for interpreting this policy, resolving any dispute concerning its interpretation and application, and recommending changes. The policy will be reviewed after three years and a report presented to the Faculty Senate.

The University Libraries will be responsible for implementing services to support article processing and to communicate with authors about deposition of particular works.

(continued)

Appendix B: Discussion

The Scholarly Publishing and Academic Resources Coalition (SPARC) has a valuable document on “choice points” in forming an institutional Open Access policy (http://bit.ly/OA_choice_points). Below, we discuss each of these choices and how they relate to the draft OA policy.

1. *Should your campus OA policy “request” or “require” deposit of faculty articles?*

As written, the policy does not require faculty authors to provide the university with pre-prints of their journal articles. Such a requirement may be met with resistance from faculty, but would lead to more complete capture of faculty members’ journal articles.

2. *To which types of content should your campus OA policy apply?*

We’re focusing solely on journal articles.

3. *Which types of content should your campus OA policy exclude?*

We’re not explicitly excluding any content.

4. *To whom should your campus open-access policy apply?*

As written, the policy covers only university faculty. Journal articles by students and academic staff would be covered only if a faculty member were a co-author. Explicit inclusion of students and academic staff is worthy of consideration.

5. *What version of documents should your campus OA policy require authors to make available for deposit?*

As written, the policy is not explicit on this point, but it might be modified to encourage or require that the final version of a peer-reviewed manuscript be deposited in the university repository.

6. *What should the timetable for deposit and accessibility be?*

As written, there is no explicit time table, though there is mention of allowance of delayed access upon request.

7. *Should the campus OA policy allow faculty to opt-out?*

The policy allows faculty authors to opt-out for specific articles.

8. *How should compliance with the campus OA policy be encouraged?*

We anticipate development of a system that identifies relevant articles, with library staff then emailing faculty authors to request manuscripts.

9. *How will your campus OA policy secure the permissions necessary to provide Open Access?*

The policy would precede any copyright transfer agreements. Development of an author addenda to such agreements could help to ensure that publishers are aware of the university’s OA policy.

10. *Will your campus OA policy remove permission barriers to reuse?*

Through the policy, the university would be assigned all necessary rights for copying and distribution of the relevant articles.

(continued)

11. *How will your institution establish and manage its institutional repository?*

Articles will be made available through Minds@UW.

12. *Will your IR allow other types of content?*

Content at Minds@UW may include “research papers and reports, pre-prints and post-prints, datasets and other primary research materials, learning objects, theses, student projects, conference papers and presentations, and other born-digital or digitized research and instructional materials.” (See What is MINDS@UW.)

13. *Who should be responsible for developing and adopting a campus OA policy?*

We believe that the official policy should ultimately come from the office of the Vice Chancellor for Research and Graduate Education, with the approval of the Faculty Senate.

14. *Will your campus OA policy require authors to publish in an OA journal?*

The policy will not require authors to publish in an Open Access journal.

15. *How can your campus OA policy support journal sustainability?*

The policy will allow waivers or delayed access, upon request.

University Research Council and Related FPP Changes

[New] 6.59. UNIVERSITY RESEARCH COUNCIL

- A. **MEMBERSHIP.** The University Research Council (URC) shall consist of the following members, serving three-year staggered terms. Each shared governance body will select representation from across campus with substantial experience in the conduct of research. URC members are expected to represent the interests of the university community at large.
1. Eight faculty, selected as follows:
 - a. One faculty member from each of the four divisions, elected by all faculty from slates prepared by the respective divisional committee.
 - b. One faculty member appointed from each of the four divisions by the University Committee.
 2. Two academic staff members.
 3. One university staff member.
 4. One member of the University Committee (selected annually).
 5. The Vice Chancellor for Research and Graduate Education (ex officio, non-voting), who shall chair.
 6. The Associate Vice Chancellors for Research (ex officio, non-voting)
 7. The Dean of the Graduate School (ex officio, voting).
- B. **FUNCTIONS.**
1. Advises the vice chancellor for research and graduate education (VCRGE) on the overall UW-Madison research enterprise, including, but not limited by enumeration, to:
 - a. Strategic planning to maximize the research productivity of faculty and staff, and to support highly innovative, transformative research.
 - b. Allocation of flexible resources, including resources provided by WARF, such as support of research competitions, matching funds for grants, funding for recruitment and retentions, and honoring research contributions.
 - c. Major campus-wide research programs and issues.
 - d. Compliance processes and committees.
 - e. Approving policies governing five-year reviews for VCRGE centers to ensure that centers remain at the leading edge of new discoveries. Members of the URC will provide advice to the VCRGE regarding the outcome of Center reviews.
 - f. Review and approval of the establishment of new, and closing of existing, VCRGE centers.
 2. Brings to the attention of the VCRGE views and opinions of the faculty and staff. In turn, members are responsible for assisting the Office of the VCRGE in helping to communicate the research resources of the VCRGE office.
 3. Advises and counsels the VCRGE and the chancellor in the formulation of the annual request to the WARF board of trustees. The VCRGE and chancellor shall routinely seek the advice and counsel of the committee regarding the allocation and disposition of WARF funds. Ensures that the disposition of WARF funds by the university is transparent to the WARF board of directors. The committee, or its individual members, shall be available to the WARF board of trustees, upon request, as direct and independent advisors and as such shall share with the trustees their expertise and insight.
 4. Creates subcommittees to study specific topics, as needed.

Faculty Senate approval statement [not incorporated into FPP]: “The first priority for the URC during the 2016-17 academic year will be to transition the URC from a purely advisory group into the official shared governance group of the OVCRGE. During this process, some of the functions listed may require modification, which should be discussed with the University Committee and will require Senate approval.”

[Change] 3.05. THE GRADUATE SCHOOL

New section A (current A-G become B-H): The Graduate School is a component of the Office of the Vice Chancellor for Research and Graduate Education.

[Change] 3.07. GRADUATE FACULTY EXECUTIVE COMMITTEE

Section B.2. modified as follows:

The Graduate Faculty Executive Committee selects a subcommittee of five faculty from among its elected members to serve, together with the dean, as the academic planning council of the Graduate School. One of the elected members shall be chosen from each faculty division and the fifth elected member shall be chosen at-large. The dean may invite associate deans or others to attend meetings of the academic planning council as advisors. The academic planning council advises the dean on policy and budgetary planning and presents faculty views and opinions to the dean. It also has the responsibility of assisting the graduate faculty in understanding budget and policy decisions and constraints.

Subjects on which the dean shall share information and consult with the academic planning council include, but are not limited to:

- a. Program review and the future development or contraction of graduate programs.
- b. Allocation of ~~flexible resources to various uses, such as fellowships, support of individual investigators, matching funds for facilities grants, funding for new faculty, and awards.~~
- c. ~~Policies and budget decisions for service facilities operated by the Graduate School.~~
- d. ~~Policies and budget decisions relating to research centers administered by the Graduate School.~~
- e. Appointments of committees of the Graduate School. The council shall report regularly to the Graduate Faculty Executive Committee, and distribute a written report to the graduate faculty at least once each year.

[Delete] 6.55. WARF RESOURCE REQUEST AND ALLOCATIONS COMMITTEE

[Change] 9.05. ACTION BY PROVOST ON COMPLAINTS

Change section B. as follows: Complaints alleging scholarly misconduct shall be dealt with according to Faculty Document 867a and FPP 9.14. A formal allegation of misconduct in scholarly research will be referred to the chair of the department (or functional equivalent) or to the corresponding academic dean or, in the case of conflict of interest on the part of the chair or academic dean, to the dean of the Graduate School Vice Chancellor for Research and Graduate Education.

Values Statement on Shared Governance

The University of Wisconsin-Madison is committed to shared governance as it has been historically practiced since the establishment of the University of Wisconsin System. Shared governance on the UW-Madison campus involves four groups: faculty, academic staff, university staff, and students, in partnership with the administration. Administration (chancellor) [WI State Statute 36.09 (3)], faculty [WI State Statute 36.09 (4)], and students [WI State Statute 36.09 (5)] were included in shared governance in state statutes at the time of merger in 1973. Academic staff [WI State Statute 36.09 (4m)] were added in 1985. University staff [BOR policy 20-20] were granted shared governance rights by Board of Regents policy in 2012.

The practice of shared governance at UW-Madison means an active partnership among shared governance groups, the chancellor, and other administrative leaders with regard to campus decision-making and policy-making. Shared governance partners must be involved in decisions concerning academics, research, student life, campus climate, diversity, search and screen committees for campus leadership, human resources, campus health and life, and other matters of campus-wide import. **Shared governance involvement creates a transparent, collaborative, and inclusive process, which leads to enduring policies, procedures, ownership, and implementation.**

All shared governance groups are able to organize themselves as they see fit, defining and maintaining their own respective policies as they relate to each group. The guiding documents for shared governance at UW-Madison include Academic Staff Policies and Procedures (ASPP), Faculty Policies and Procedures (FPP), University Staff policies and procedures, Associated Students of Madison Constitution and Bylaws, related legislation, and other shared governance policies.

We hereby call on the shared governance groups, together with the chancellor, to convene a joint committee to create specific policies that operationalize the goals and practices articulated above.

Budget Advisory Committee and Related FPP Changes

[New] 6.25. BUDGET ADVISORY COMMITTEE

- A. **MEMBERSHIP.** The Budget Advisory Committee shall consist of the following members, to serve staggered terms of four years, except that student terms shall be two years and initial terms of all members shall range from one to four years to create a staggered rotation.
1. Three faculty members.
 2. Three academic staff members.
 3. Three university staff members.
 4. Three students, to include both graduate and undergraduate students.
 5. Ex officio non-voting members: campus budget director; chancellor or designee; provost or designee; and vice chancellor for finance and administration or designee.

Each shared governance group shall determine its own criteria for committee membership. However, there may only be one representative per school, college, or division from each group. No department/unit shall have more than one member on the committee. The shared governance secretaries and student shared governance coordinator shall confer to address any departmental or other diversity concerns prior to finalization of the committee roster and at the time of selecting replacement members.

In addition, committee members shall be chosen who have experience with, expertise on, or demonstrated interest in learning about and becoming a campus resource about budgetary matters.

The committee shall elect its own chair from among the faculty members. A co-chair from another governance group may be elected as well.

B. **FUNCTIONS.**

1. Advises and makes recommendations to the chancellor, the provost, and the vice chancellor for finance and administration on institutional budget issues, long-range financial strategies, state biennial budget proposals, and allocations to schools, colleges, and divisions.
2. Meets regularly with vice chancellor for finance and administration.
3. Serves as a resource for schools/colleges, departments, and others on matters related to the budget.
4. Advises the shared governance executive committees on issues of budgetary impact and the public position to be taken on budgetary issues.
5. Consults with and advises other committees, such as school/college academic planning councils and campus planning committees, relating to institutional-level budgetary matters. The committee may also recommend the creation of ad hoc committees on budget-related matters.
6. Reports to the Faculty Senate, Academic Staff Assembly, University Staff Congress, ASM Student Council, and their respective executive committees upon request.

Members on this committee are expected to become knowledgeable resources on the campus budget. Meetings are expected to be monthly or as needed. Some meetings, especially at the beginning of the academic year, may be significantly longer to allow time for understanding the structure of the budget and the process by which it is constructed and finalized.

[Delete] 6.52.D. BUDGET PLANNING AND ANALYSIS JOINT SUBCOMMITTEE. The Budget Planning and Analysis Joint Subcommittee is a joint subcommittee of the University Academic Planning Council and the University Committee.

A. MEMBERSHIP. The Budget Planning and Analysis Joint Subcommittee shall consist of

1. The subcommittee chair, appointed in accord with A.5.
2. Two faculty members appointed by the University Academic Planning Council from among its members under A.8. and A.9.
3. Two faculty members appointed by the University Committee.
4. The Academic Staff Executive Committee member of the University Academic Planning Council under A.7.
5. The University Staff Executive Committee member of the University Academic Planning Council under A.8.
6. One academic staff member appointed by the Academic Staff Executive Committee.
7. One university staff member appointed by the University Staff Executive Committee.
8. One faculty member appointed by and from the Commission on Faculty Compensation and Economic Benefits.
9. The administrative member of the University Academic Planning Council appointed by the provost under A.4.
10. The vice chancellor for administration, ex officio nonvoting.
11. A member of the University Committee as in A.6.

B. FUNCTIONS.

1. Establishes such subcommittees as are necessary to carry out its functions.
2. Advises the chancellor, the provost and the University Academic Planning Council on issues of budgetary impact.
3. Advises the University Committee on issues of budgetary impact and the public position to be taken by the faculty on budgetary issues.
4. Advises relevant college and divisional committees on budgetary issues related to academic planning.
5. Advises the chancellor, the provost and the vice chancellor for administration on issues related to budget planning and analysis including:
 - the objectives and procedures of studies and analyses carried out by the Office of Budget, Planning and Analysis including the cost analyses for proposed new programs and other initiatives
 - the manner in which studies and analyses are reported to the faculty
 - the impact of budget proposals on academic programs.