POLICIES AND PROCEDURES

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CHAPTER 1: MISSION AND VISION

1.01. The mission of the Gaylord Nelson Institute for Environmental Studies is to build partnerships to synergize and sustain excellence in the interdisciplinary research, teaching, and service that make the University of Wisconsin-Madison a world leader in addressing environmental challenges.

1.02. Our vision is that we strive to create sustainable communities across complex institutional landscapes for enhancing the quality of life and the environment in Wisconsin and the world. Specifically, the institute:

- facilitates and promotes interdisciplinary scholarship that aims to understand and address societal problems related to environment and sustainability
- values and is committed to providing a liberal arts and professional education, built on the premise that complex environmental issues can best be understood through familiarity with diverse perspectives, and integration of the natural sciences, social sciences, and humanities
- values and is committed to fostering and sustaining community partnerships in education, research, and service at the local to international levels
- acts as a catalyst and model for interdisciplinary collaboration on environmental initiatives across departments, schools, and colleges, and including governmental, private, and non-profit entities

CHAPTER 2: HISTORY OF STRUCTURAL REVISIONS


CHAPTER 3: BASIC PREMISES

3.01. Environmental issues and problems are among the most urgent and serious concerns that society confronts. The university signaled the importance of and its commitment to the environment through the creation of the Nelson Institute in 1970. The institute advances the understanding of the environment and its problems by generating new knowledge (research), educating undergraduate and graduate students (instruction), and disseminating and applying knowledge for prevention or solution of those problems (outreach).

3.02. Environmental issues and problems are complex, and their understanding and solution
require interdisciplinary approaches. The nature of its interdisciplinary mission argues that the Nelson Institute must be an intercollege program, rather than part of a traditional school or college. It also means it should act as a bridging organization, linking community to the university.

3.03. Under Chapter 36.09(4) Wisconsin Statutes and Faculty Policies and Procedures (FP&P) 1.20, faculty have the primary responsibility for: (1) developing, teaching, and ensuring the quality of the curricula, including individual courses and programs, whether certificates, majors or degrees; (2) matriculation and graduation of students; and (3) staffing, including recommendations for the hiring of faculty and staff, and promotion of faculty to tenure.

3.04. Since environmental studies programs are interdisciplinary and gain their academic strength from the disciplines, it is necessary to maintain a structure that facilitates interdisciplinary interaction. The Nelson Institute should lead in the development of effective processes and methodologies for integrating knowledge from different disciplines. A vital element of the Nelson Institute is the active recruitment of affiliate faculty. (FP&P 5.12. and 5.13.; see Appendix A.) Because of the interdisciplinary nature of environmental studies, the process of affiliation should be inclusive. There is no upper limit of individuals to be involved.

3.05. Because faculty participation in the Nelson Institute is based to a large extent on voluntary contributions of time, and because the governance and administration of the institute cut across several schools and colleges and many disciplines, the role of the institute staff in coordinating these efforts is crucial. They provide integrative functions and serve as coordinators for campus-wide efforts.

3.06. We visualize the Nelson Institute as a learning community which involves faculty, staff and students. We actively seek input from its students in the design and delivery of our programs.

CHAPTER 4: ORGANIZATION

4.01. FACULTY APPOINTMENTS IN THE NELSON INSTITUTE. There are three types of faculty membership in the Nelson Institute: Faculty, Governance Faculty, and Executive Committee. Faculty appointments in the institute are consistent with UW-Madison FP&P.

A. THE NELSON INSTITUTE FACULTY.

1. FP&P 5.13. Affiliations allows a faculty member to be associated with a department without governance rights or a continuing departmental commitment. An individual who wishes to become Nelson Institute Faculty is asked to submit a letter stating the nature of her/his interest and a current curriculum vitae to the institute director, who will forward it to the executive committee for action at its next scheduled meeting.
2. Nelson Institute Faculty serve renewable three-year terms. They may serve on standing committees that allow their participation, but they are not required to do so.

3. By simple majority vote of the executive committee, the Nelson Institute Faculty comprises those faculty who:
   - Advise one or more Nelson Institute undergraduate certificate students
   - Serve as major professor for a Nelson Institute graduate student
   - Teach a course that fulfills requirements for one or more Nelson Institute academic programs
   - Participate in Nelson Institute research center activities
   - Participate in the Nelson Institute outreach program

4. By simple majority vote of the executive committee, the Nelson Institute Faculty also comprises:
   - Other faculty whose scholarly interests and activities intersect with those of the institute, who are recommended for membership by the Nelson Institute director or the associate director for research and education.
   - Academic staff whose scholarly interests and activities intersect with those of the institute, who are granted renewable zero dollar appointments in the institute and are recommended for membership by the Nelson Institute director or the associate director for research and education.

B. THE NELSON INSTITUTE GOVERNANCE FACULTY.

1. *FP&P 1.02.A. University Faculty* states that “The university faculty consists of all persons who hold the rank of professor, associate professor, assistant professor, or instructor with at least a one-half time appointment in UW-Madison, or with a full-time appointment jointly between UW-Madison and UW-Extension.”

   *FP&P 5.10. Departmental Faculties: Membership* states that “All university faculty members as defined in 1.02. holding probationary appointments, tenure appointments, or joint governance appointments in a department shall have the right to vote and otherwise participate in the governance of that department.”

   Therefore, the automatic members of the Nelson Institute Governance Faculty comprises those individuals who are:
   - Faculty who hold tenure/tenure track and/or funded appointments in the Nelson Institute

2. *FP&P 5.12. Joint Governance Appointment* allows a faculty or academic staff member in one department to participate in the governance of another department without a continuing commitment or tenure relationship with that department. Such individuals must agree to participate actively in institute activities. This participation should include attendance at governance faculty meetings and service on at least
one ad hoc or standing committee of the Nelson Institute.

3. By simple majority vote of the executive committee, the Nelson Institute Governance Faculty also comprises those faculty and academic staff who fall under one or more of the following conditions. Such individuals are granted renewable one-year terms:

- Associate director for research and education
- The chairs of the Nelson Institute’s graduate and certificate programs
- The directors of the Nelson Institute’s research centers

4. Other faculty or academic staff, who do not meet any of the above conditions, may request membership on the Nelson Institute Governance Faculty, and by simple majority vote of the executive committee may be granted renewable one-year terms.

5. It is understood that expiring terms continue until the next meeting of the executive committee is held at which action on renewal can be taken.

C. THE NELSON INSTITUTE EXECUTIVE COMMITTEE.

1. Pursuant to \textit{FP&P 5.20.A. 1. and 2., Departmental Executive Committees: Membership}, the Nelson Institute Executive Committee comprises tenured faculty who have:

- 50 percent or more of their tenure in the Nelson Institute
- less than 50 percent of their tenure in the Nelson Institute but for whom the Nelson Institute was the principal sponsor of their appointment

2. Pursuant to \textit{FP&P 5.20.A.3.}, by simple majority vote of the executive committee, the Nelson Institute Executive Committee also comprises those tenured faculty in the following categories. Such individuals are granted renewable one-year terms:

- Faculty to whom the Nelson Institute has a continuing (tenure) commitment of less than one-half time, including zero percent tenure, and for whom the Nelson Institute was not the principal sponsor of the appointment
- Faculty who have a permanent budgetary commitment in the Nelson Institute but who do not have a tenure appointment in the institute
- Associate director for research and education
- Directors of the Nelson Institute’s research centers

3. It is understood that expiring terms continue until the next meeting of the executive committee is held at which action on renewal can be taken.

4. Elected members of the executive committee by nature of their agreement to serve in this capacity participate actively in institute and executive committee business and activities, particularly the hiring and promotion of faculty.
5. Pursuant to FP&P 5.21, executive committee responsibilities include the following:

i. Making recommendations, to the director, concerning faculty appointments, recruitment, leaves, nonretentions, dismissals, promotions, and salaries and other departmental budget matters.

ii. Reviewing and making recommendations concerning the appointment, recruitment, nonretention, dismissal, promotion, appointment to indefinite status, or salary of academic and classified staff and other persons appointed within Academic Programs or whenever those personnel actions affect the instructional activities or budget of Academic Programs.

iii. Providing for the periodic review of the performance of every faculty member who holds a tenure/tenure track and/or funded appointment in the Nelson Institute, as part of the annual determination of recommendations for merit salary increments.

iv. Providing in written form, to its associate professors, the Nelson Institute’s expectations for promotion to full professor, and periodically considering each associate professor’s progress toward promotion to full professor status.

v. Providing for the annual written evaluation of every probationary faculty member beginning with the second year of the initial appointment.

vi. Informing affected probationary faculty members of any changes in Nelson Institute goals or other circumstances which alter the opportunity for promotion to tenure.

D. PARTICIPATION.

1. Terms on the governance faculty and executive committee may vary according to their category. It is expected that appointments will continue as long as the individuals hold the positions that qualify them for membership on the governance faculty and/or executive committee. It is the goal of the Nelson Institute that each of the four major divisions (arts and humanities, biological sciences, physical sciences, social studies) be represented among the members of the governance faculty.

2. It is expected that all faculty on the governance faculty agree to advise graduate and/or undergraduate students, and that all faculty and academic staff members of the governance faculty agree to participate in Nelson Institute governance activities, including regular attendance at faculty meetings and service on one or more standing committees. Meetings of the governance faculty (and executive committee, as needed) will be held monthly (September, October, November, February, March, and April) during the academic year. Additional meetings, and those occurring during summer months, will be called by the Nelson Institute director or the associate director for research and education as needed, or at the request of at least 25% of the automatic members of the governance faculty.

3. The agenda for governance faculty and executive committee meetings will be drafted by the director with input from the associate director for research and education. For faculty meetings:
i. The designated parliamentary authority is defined by FP&P 5.11.
ii. A quorum is defined as a majority of the voting membership.
iii. A simple majority vote is defined as more than half of those present and voting, and is required for votes on all motions except those provided in v. below or as stated above.
iv. Abstentions have no effect on calculations of votes, and are considered blanks.
v. An affirmative vote of at least two-thirds of the voting membership of the executive committee is required for adoption of motions dealing with personnel matters involving new faculty hires and promotions (including tenure decisions).
vi. In votes dealing with promotion to full professor, the candidate is traditionally expected not to participate in the balloting.
vii. Voting will be conducted by voice, show of hands, roll call, or signed paper ballots. If the vote is by voice and the outcome unclear, the director can call for a show of hands. Any member of the committee may request that a vote be taken by roll call or signed paper ballot. Voice and show of hands votes are recorded only by the number of votes cast each way. Roll call votes are recorded by name, and signed paper ballots are preserved to the extent required by law. The records of roll call votes and paper ballots are open to public inspection to the extent required by open records law. Members must be present at the discussion, in person or by teleconference, including use of technology such as Skype, in order to cast a vote. In the event a paper ballot is called for, the only voting option for members participating by teleconference is to cast a voice vote.

4.02. ADMINISTRATION.

A. The Nelson Institute Director is appointed by the Chancellor and reports to the Vice Chancellor for Academic Affairs/Provost. The director is a member of the Nelson Institute Governance Faculty, and chairs meetings of the governance faculty and the executive committee.

B. The Nelson Institute academic programs are governed by the Instructional Committee (IC) of which at least 2/3 of the members are faculty in elected positions (see section 4.05.C.). The associate director for research and education serves on the IC and has responsibility for providing day-to-day oversight and management of the undergraduate and graduate programs. This position is held by a tenured faculty member.

C. Each Nelson Institute research center is administered by a director who is elected in accordance with the by-laws of the center and appointed by the Nelson Institute Director. It is expected that research center directors will be tenured faculty members. In certain circumstances it may be preferable to elect a tenure track faculty member or an academic staff member to serve as a research center director.

D. Oversight for the Nelson Institute Community and Alumni Relations Office is provided by the assistant director for community and alumni relations.
4.03. STAFF INVOLVEMENT.

A. The Nelson Institute recognizes the importance of staff input into governance and policy-making. Staff provide support to the institute’s committees as needed. One staff member serves as a voting member of the institute’s Academic Planning Council (see 4.05.A. below). In addition, the director will invite the institute’s academic staff to elect one or more representatives to serve on appropriate standing and ad hoc committees. Staff attendance at meetings of the governance faculty is strongly encouraged.

B. Academic staff from outside the Nelson Institute who actively participate in one or more of the activities listed in 4.01.A.3. above may request affiliate status. Those interested are encouraged to submit a letter of request and a current curriculum vitae or resume to the institute director, who will forward it to the executive committee for action at its next scheduled meeting. Affiliate status will be granted for renewable one-year terms and will confer zero-dollar, honorary associate/fellow appointments on the affiliate academic staff. They may serve on standing and ad hoc committees that allow academic staff participation, but are not required to do so.

4.04. STUDENT INVOLVEMENT.

The Nelson Institute recognizes the importance of student input into governance and policy-making. Students in each of the institute’s graduate programs annually elect one or more of their members to represent them at meetings of their graduate program committee. The director will invite the institute’s students to elect one or more representatives to serve on appropriate standing and ad hoc committees. Student attendance at meetings of the governance faculty is encouraged.

4.05. COMMITTEES OF THE NELSON INSTITUTE. All members of a committee are voting members unless specifically stated otherwise. Committees that comprise both faculty and staff and which have elected chairs (Equity and Diversity Committee, Outreach Committee, Research Committee) may be chaired or co-chaired by either faculty or staff, or by both.

A. ACADEMIC PLANNING COUNCIL.

1. In accordance with FP&P 3.08, an Academic Planning Council (APC) is established to advise the director on "programs and budgetary planning" and "to present departmental, school, or college views and opinions" to the Director. The APC is intended to be a central governance vehicle for faculty and staff input into a broad range of planning and decision-making affecting Nelson Institute programs and budgets, and the director has an obligation to engage in meaningful consultation on a broad range of policy decisions with the APC.

2. The APC is charged with:

   i. Advising the director on matters such as program review and future expansion or contraction of academic programs within the Nelson Institute.

   ii. Advising the director in developing strategic plans and long-range planning
for the institute.

iii. Considering any other factors relevant to the capacity of the institute to fulfill its missions.

iv. Advising the director on program decisions likely to affect promotions to tenure or nonrenewal of probationary faculty appointments.

3. The APC consists of seven governance faculty members, one academic staff member, and the director, who chairs the APC and serves as a member ex-officio. Six of the faculty members are elected by secret ballot by the governance faculty from a slate of candidates prepared by the personnel committee, and serve staggered, three-year terms. The remaining faculty member is appointed annually by the director. The academic staff member, whose primary responsibilities are instruction, outreach/extension, and/or research, is elected by secret ballot by the institute’s academic staff from a slate of candidates prepared by the personnel committee, and serves a three-year term. It is advisable that at least three of the four major divisions (arts and humanities, biological sciences, physical sciences, social studies) be represented among the seven voting faculty members; the personnel committee will take this into consideration when preparing the election slate as will the director when selecting his/her annual appointee. At the discretion of the personnel committee, the slates for elected faculty and academic staff members may be uncontested. All ballots will include the option for a write-in candidate. The election for new elected members should occur in April each year. The APC will meet at least three times each semester.

B. EQUITY AND DIVERSITY COMMITTEE.

1. The equity and diversity committee advises the director on equity and diversity issues, and reports on an annual basis to the Advisory Committee for the Office for Equity and Diversity (OED) for coordination with the OED. It also coordinates with campus-level governance committees such as the Committee on Women in the University, the Committee on Access and Accommodation in Instruction, the Committee on Academic Affairs of Minority/Disadvantaged Students, and the Women in Science and Engineering Leadership Institute (WISELI) on issues of mutual interest, and the University Committee, as appropriate.

2. Responsibilities include, but are not limited to:

   i. Advising the director on the status of under represented groups, particularly with respect to recruitment, retention, conditions in the workplace, and knowledge and compliance with federal law and regulation.

   ii. Serving as a resource on equity and diversity issues.

   iii. Reviewing recruitment practices and policies, and proposing amendments to such practices and policies when appropriate.

   iv. Advising search committees on optimum strategies for obtaining diverse candidate pools.

   v. Providing information on strategies to improve the recruitment and retention of under represented groups.
vi. Receiving equity and diversity-related concerns from within the Nelson Institute, and handling or referring them as appropriate.

vii. Collaborating with other Nelson Institute committees to create a comprehensive plan to create an effective, diverse community.

viii. Creating a comprehensive plan for connecting Nelson Institute activities for community-building events such as social events, academic/research symposia, and professional development activities.

ix. Creating or participating in events for outreach to and recruiting from multicultural communities.

x. Working with the director, compile an annual report as the director and committee might deem useful, to be forwarded to the OED and its advisory committee.

3. The committee consists of a minimum of two faculty, two staff, and two student members, appointed by the director. Faculty may be drawn from either the faculty or the governance faculty. At least one academic staff and one classified staff representative will serve on the committee, and both graduate and undergraduate students must be represented. The committee chair is elected annually by committee members.

C. INSTRUCTIONAL COMMITTEE.

1. The instructional committee is charged with general oversight of the Nelson Institute’s Academic Programs. Included in its responsibilities are the following:

   i. Coordination of the Nelson Institute undergraduate and graduate programs.
   
   ii. Review of admissions criteria, size of the programs, recruitment and placement activities, fellowship and other types of support.
   
   iii. Curricular and course changes recommended by the individual academic programs.
   
   iv. Development and coordination of budget and course offering requests in support of the academic programs.
   
   v. Alumni activities.
   
   vi. Assisting the Associate Director for Research and Education with the preparation and dispersal of the annual budget for the Academic Programs.
   
   vii. Other matters that affect the academic programs.

2. The committee is authorized to make final decisions regarding course change proposals and new course offerings, except for courses that are funded by the Nelson Institute, in which case it makes recommendations to the governance faculty. It may also consider other matters that deal with the institute’s undergraduate and graduate course offerings and curricula.

3. The committee consists of the Nelson Institute Director, who chairs the committee, and the Associate Director for Research and Education, who serves as vice-chair. The chairs of the undergraduate and graduate degree programs are members of this committee as is the director of each of the Nelson Institute research centers. The Graduate and Undergraduate Program coordinators will serve as ex-officio,
non-voting members of this committee. Additional members may be appointed by
the director from among the governance faculty and academic staff and students in
the Nelson Institute. At least 2/3 of the members of the committee must be the
elected graduate or undergraduate program chairs (see 4.05.G.1 and 4.05.I.1) and
the elected research center directors (see 4.02.C).

D. OUTREACH COMMITTEE.

1. The outreach committee is charged with identifying outreach opportunities for the
Nelson Institute, with providing advice on the institute’s lectures and colloquia, and
with recommending outside speakers. It prepares reports, as appropriate, on
priorities and opportunities for interdisciplinary environmental outreach activities
and may solicit recommendations for the institute from public and private agencies.
It could appoint a non-university advisory council from among these groups and
from Nelson Institute alumni. It also helps develop long-term goals for outreach
activities, provides general oversight for outreach activities, and assists in the
preparation and dispersal of the annual budget for the institute’s outreach
programs.

2. The committee consists of the director or designee, the assistant director for
community and alumni relations, and at least two faculty members active in
outreach activities, who are appointed by the director. Faculty may be drawn from
either the faculty or the governance faculty. Alumni, community members,
academic staff, and student members are encouraged to serve on the outreach
committee. The committee chair is elected annually by committee members.

E. PERSONNEL COMMITTEE.

1. The personnel committee is responsible for personnel issues, awards, and
nominations. The responsibilities of the committee include the following:

   i. Review of candidates and recommendation to the executive committee of
      hiring of all new faculty who will have a budgeted and/or tenure/tenure-track
      appointment in the Nelson Institute.
   ii. Review recommendations to the executive committee for faculty tenure,
       faculty promotion, extension of faculty appointments, and, when appropriate,
       for academic staff appointments and changes in same.
   iii. Annual evaluation of probationary faculty members as a review of progress
        toward granting of tenure. In this capacity the personnel committee serves as
        the oversight committee specified in FP&P 7.05.C.
   iv. Review and recommendation to the executive committee of requests for
       faculty leaves of absence and their extensions.
   v. Annual evaluation of faculty and instructional academic staff funded for their
      involvement in Nelson Institute activities, as part of the merit review process,
      for the purpose of assisting the associate director for research and education
      and director in negotiating salary increases (see 5.05., below).
   vi. Handling graduate assistant policies, procedures and grievances.
   vii. Offering advice to the director and the associate director for research and
education on nominations for various student, faculty, and staff awards.

viii. Annual solicitation and evaluation of nominations for members of committees that have elected members, including the elected members of the governance faculty and the academic planning council; recommendation of appointed members to committees and program-specific program committees.

ix. Organization of post-tenure review efforts and review of the results.

x. Drafting of the chair’s letter for tenure dossiers.

2. The committee is composed of five members of the Nelson Institute Executive Committee who are appointed jointly by the director and the Instructional Committee and serve staggered three-year terms. The committee chair is elected annually by the committee members. When graduate assistant policies and procedures are discussed, the committee may invite Nelson Institute graduate assistant representatives to participate. When serving as a probationary faculty member’s oversight committee (see 5.01.C), the committee, in consultation with the director and the chair of the faculty member’s mentor committee, may ask one or more faculty to join the committee on an ad hoc basis.

F. RESEARCH COMMITTEE.

1. The research committee is charged with identification of research opportunities for the Nelson Institute. It prepares reports, as appropriate, on priorities and opportunities for interdisciplinary environmental research and solicits recommendations for the institute from public agencies, the private sector, and peer institutions. It assists the director with the preparation and dispersal of the annual budget for the institute’s research programs. It may appoint a non-university advisory council from among these groups and from Nelson Institute alumni.

2. The committee consists of the associate director, the research center directors or their designees, and at least three faculty members or research academic staff, appointed by the director. Academic staff and student members are encouraged. The director of the institute serves as an ex officio member of the research committee. The committee chair is elected annually by committee members.

G. ACADEMIC DEGREE-GRANTING PROGRAM COMMITTEES.

1. Each Nelson Institute academic degree-granting program shall have a governing committee of 8-14 members, a majority of whom are Nelson Institute Governance Faculty members. A quorum of the committee is a majority of the membership, and the committee shall meet at least once both Fall and Spring semesters. The committee chair for the next academic year will be elected annually by the committee by the end of Spring semester, and will serve subject to approval by the director. Although elected annually, the expectation is that an individual will serve in this capacity for three consecutive years. The chair may be compensated for this service, subject to budget negotiations. By 15 September the chair will recommend to the director the committee membership for the academic year. Because these are programs of the Graduate School, the Dean of the Graduate School must also
approve the appointments of the chair and committee members.

2. Responsibilities of each program committee include:

   i. General administration and overview of the program curriculum.
   ii. Administering the degree’s established admissions procedure.
   iii. Selection of student nominees for university and other fellowships.
   iv. Recommendation of changes to degree curriculum, courses, and admissions procedures and criteria to the Nelson Institute instructional committee.
   v. Preparation of budget requests, including requests for course offerings necessary to support the program.
   vi. Review of student requests for variances from the published curriculum.
   vii. Assisting in annual program assessment.
   viii. Preparation/updating of program brochures, handbooks, and other relevant documentation.

H. GRADUATE CERTIFICATES COMMITTEES.

1. Each Nelson Institute graduate certificate shall have a governing committee of 6-14 members, a majority of whom are Nelson Institute Governance Faculty members. A quorum of the committee shall be a majority of the membership. The committee chair for the next academic year will be elected annually by the committee by the end of Spring semester, and will serve subject to approval by the director. Although elected annually, the expectation is that an individual will serve in this capacity for three consecutive years. Chairs of graduate certificates are not compensated by the Nelson Institute for this service. By 15 September the chair will recommend to the director the committee membership for the academic year. If the certificate or PhD minor is offered as a requirement of a current externally-funded grant, the principal investigator(s) of that grant may name up to three members of the committee.

2. A certificate’s governance committee has the following responsibilities:

   i. Proposing curriculum and procedures for granting of the certificate or minor, including admissions, to the Nelson Institute instructional committee for its approval.
   ii. Administering the admissions procedure for the certificate or minor.
   iii. Provide guidance to the certificate’s coordinator.
   iv. Review of student requests for variances from the published curriculum.
   v. Preparation/updating of program brochures, handbooks, and other relevant documentation.

I. UNDERGRADUATE COMMITTEE.

1. The Nelson Institute undergraduate programs shall have a governing committee of 8-14 members, a majority of whom are Nelson Institute Governance Faculty members. The Chair of Academic Programs shall be an ex officio, non-voting member. A quorum of the committee is a majority of the membership, and the
2. Responsibilities of the committee include:

i. General administration and overview of the certificate curriculum.
ii. Administering the certificate’s established admissions procedure.
iii. Recommendation of changes to degree curriculum, courses, and admissions procedures and criteria to the Nelson Institute instructional committee.
iv. Preparation of budget requests, including requests for course offerings necessary to support the program.
v. Review of student requests for variances from the published curriculum.
vi. Preparation/updating of program brochures, handbooks, and website materials.
vii. Periodic assessment of the undergraduate program.
viii. Exploration of new undergraduate initiatives.

J. AD HOC COMMITTEES

Ad hoc committees will be created by the director as needs arise, for specific lengths of time, normally not to exceed one year. Membership and charge will be determined at the time an ad hoc committee is created.

CHAPTER 5: PERSONNEL POLICIES

5.01. GUIDANCE AND EVALUATION OF PROBATIONARY FACULTY MEMBERS.

This section describes the procedures of the Nelson Institute for mentoring and evaluation of probationary faculty members, toward eventual promotion to associate professor and granting of tenure. It is the Nelson Institute’s implementation of FP&P 7.05.

A. MENTOR AND OVERSIGHT COMMITTEE.

1. As soon as is practical, or within the first semester of the start of a probationary appointment in the Nelson Institute, the associate director for research and education will, in consultation with the executive committee and the candidate, establish a mentor and oversight committee and appoint a committee chair. This committee comprises three or four tenured faculty members with at least one member drawn from the Nelson Institute executive committee. Other members may be drawn from other departments in which the probationary faculty member is appointed, and from other departments as necessary to provide the breadth of experience to properly mentor the candidate. Membership of the committee may
change from year to year at the discretion of the associate director for research and education.

It is the preference of the Nelson Institute to have one committee serving as the guidance and oversight committees as is allowable under FP&P 7.05.C. In the case of joint appointments, we will confer with the other department on how best to serve the candidate.

Should a candidate have concerns about his/her mentor and oversight committee, he/she should discuss this with the associate director for research and education.

2. The primary responsibility of the mentor and oversight committee is to oversee the process of guiding the candidate to tenure. It is expected to:
   i. ensure that the candidate understands the expectations for tenure and the administrative steps necessary to achieve it;
   ii. advise the candidate about opportunities for further training, grants and fellowships, and other activities supportive of their progress to tenure;
   iii. arrange for peer evaluation of teaching each semester, with written evaluations placed in the candidate’s file;
   iv. report annually to the executive committee on the candidate’s progress to tenure.

3. The mentor and oversight committee shall, within the first semester of the initial appointment, advise the associate director for research and education and the probationary faculty member as to which divisional affiliation will be most appropriate for the candidate. The committee shall also review requests from the probationary faculty member in the event that he/she wishes to change affiliation prior to tenure review, and make a recommendation to the associate director for research and education. The final choice of divisional affiliation rests with the probationary faculty member (see FP&P 4.03.A.).

4. The candidate will meet with the mentor and oversight committee at least once annually. The candidate will maintain a pre-tenure dossier following the appropriate divisional guidelines and update it before each mentor and oversight committee meeting.

B. ANNUAL EVALUATION OF PROBATIONARY FACULTY MEMBERS.

1. The mentor and oversight committee will make a presentation to the executive committee each March on the candidate’s progress toward tenure. The documentation associated with this review can be used for the annual review exercise for probationary faculty.

2. For this review the candidate should provide the mentor and oversight committee with an updated pre-tenure dossier, and a one- or two-page narrative describing the ways that her or his work is contributing to the advancement of the “Mission and Vision” of the Nelson Institute (as articulated at the beginning of this document).
3. The mentor and oversight committee shall ensure that the executive faculty committee has a complete file for the probationary faculty member, including a written evaluation of the progress of the probationary faculty member, the materials in 5.01.B.2., and all other materials relevant to effective evaluation, including teaching evaluations and copies of publications.

4. Following discussion of the candidate with the executive committee, the chair of the mentor and oversight committee shall update the written evaluation as necessary, with input from the associate director for research and education and the associate director for administration. The associate director for research and education shall provide the report to the probationary faculty member who may respond to the evaluation in writing or may, upon request, address the executive committee regarding the evaluation (per FP&P 7.05.D.).

5.02. OVERVIEW OF PROBATIONARY APPOINTMENT ACTIONS. (See also FP&P 7.06.; UWS 3.07.)

A. In general, it is expected that probationary appointments will be for an initial three-year period, and renewed for a subsequent three-year period. Modification of the initial appointment (for a shorter period) may be by negotiation at the time of appointment. Recommendations for modification of an appointment renewal period (for a shorter period) may be made by the candidate’s mentor and oversight committee to the executive committee, by the associate director for research and education, or by the executive committee. Final action on these recommendations will be by the executive committee.

B. Each probationary faculty member shall be reviewed for renewal as a probationary appointee, renewal with promotion to tenure, or non renewal, following the procedures specified in FP&P Chapter 7. For this process, the Nelson Institute associate director for research and education serves as department chair and the Nelson Institute director is considered the dean.

All recommendations for tenure require action by the executive committee, which will generally occur in the last year of the candidate’s probationary period, but may occur earlier with the concordance of the executive committee.

Each probationary appointment shall be reviewed long enough in advance of its expiration to meet the time limits for notification of nonretention and to allow administrative actions provided for in FP&P.

C. Actions on the candidate’s case shall be judged relative to the guidelines articulated by the divisional executive committee evaluating the candidate, and, per FP&P 7.14.D., the candidate’s broad contributions to advancing the “Mission and Vision” of the Nelson Institute (as articulated at the beginning of this document), as appropriate for the candidate’s fractional appointment in the institute.
5.03. PROCEDURES FOR ACTING ON PROBATIONARY APPOINTMENTS. (See also FP&P 7.07. through 7.13.; UWS 3.06 through 3.10.)

A. Probationary faculty members whose appointments are to be acted upon shall be notified of that fact in writing by the associate director for research and education. This preliminary notice should normally be provided early in the semester that precedes the semester in which the review will take place; an exact date for the meeting of the executive committee need not be specified in the preliminary notice. The notice shall invite the probationary faculty member to submit his or her dossier for consideration by the mentor and oversight committee and the executive committee.

B. As soon as the date is set for the meeting of the executive committee at which action on a probationary faculty member’s appointment is to be considered, the probationary faculty shall be notified by the associate director for research and education. The notice shall inform the faculty member of his/her right to require that the meeting be open. Under no circumstances shall this notification be given less than twenty days before the meeting, except with the agreement of the probationary faculty member.

C. At the meeting specified in 5.03.B., other persons may be invited by the executive committee to participate. This shall be a closed meeting, unless an open meeting is requested by the faculty member under consideration. In an open meeting, the individual under consideration may attend, but does not have the right to participate in the debate unless specifically allowed to do so by a majority vote of the members of the executive committee present at the meeting.

D. The mentor and oversight committee will make a recommendation on the case to the executive committee. A two-thirds favorable vote of the executive committee is required to advance a recommendation for renewal or promotion to the director (see 4.03.D.3.v.). For this purpose the executive committee is those members not on formal leave. Members must be present at the discussion, in person or by telepresence, in order to vote (see 4.03.D.3.vii.). The associate director for research and education will chair any meetings of the executive committee at which a probationary faculty member is being reviewed for the purpose of renewal or promotion.

E. The faculty member concerned shall be notified in writing of the executive committee’s decision within five working days by the associate director for research and education. The notification must further state that the faculty member will be given, upon request, the specific reason(s) for the decision in writing and a procedure for reconsidering the decision.

F. Upon written request by the faculty member concerned, within fifteen days of the receipt of the written notice of the executive committee’s decision, the associate director for research and education shall provide within thirty days a written statement, which has been approved by the executive committee, indicating its reasons for the decision. The faculty member shall be advised that this statement constitutes a confidential personnel document.

G. A recommendation for renewal of a probationary appointment shall be transmitted by
the associate director for research and education to the director, who will notify the associate director as rapidly as feasible of his/her approval or disapproval of the recommendation. The probationary faculty member shall be notified in writing by the associate director for research and education within twenty days of the director’s decision.

H. If the director disapproves a recommendation for renewal, on the written request of the faculty member or the associate director for research and education with the consent of the faculty member, the director shall provide to the associate director for research and education and/or the faculty member within twenty days a written statement of reasons for the nonrenewal decision. The faculty member may, within twenty days, request a reconsideration by the director. The director shall notify the faculty member and the associate director for research and education of his/her decision within twenty days.

I. Departmental reconsideration of a nonrenewal decision shall be governed by FP&P 7.08.A. through D. Appeal and notification of a nonrenewal decision shall follow the procedures laid out in FP&P 7.10.A. through E. and 7.11.

5.04. ADDITIONAL PROCEDURES FOR GRANTING OF TENURE (FP&P 7.15.)

A. A departmental recommendation for the granting of tenure shall be transmitted by the associate director for research and education to the director. Supporting material and documentation as specified by the director and the divisional executive committee shall be included. The candidate with the advice of his or her mentor and oversight committee shall have responsibility for the collection of the data for the report to be submitted in support of the application for tenure (the “dossier”). The associate director for research and education, in consultation with the executive committee and the candidate’s mentor and oversight committee, shall have the responsibility for overseeing the assembly of materials for the final dossier in accordance with the requirements of the divisional committee being consulted. This is expected to include the preparation of the departmental letter and the external letters of evaluation.

B. Before approving a recommendation to a tenured position, or denying such a recommendation on the basis of professional qualifications alone, the director shall seek the advice of the executive committee of the division in which the faculty member has membership.

C. If the divisional executive committee advises against accepting the departmental recommendation, the Nelson Institute executive committee shall, if it so requests, be heard by the divisional executive committee and a new vote taken (FP&P 7.15.C.).

D. If the director, after receiving the advice of the divisional executive committee, approves the departmental recommendation, he/she shall transmit it to the provost and vice chancellor for academic affairs.

E. If the director, after receiving the advice of the divisional executive committee, takes action contrary to the recommendation of the divisional executive committee and
approves a departmental recommendation, he/she shall forward to the provost and vice chancellor for academic affairs a statement explaining the reasons for not accepting the divisional executive committee recommendation.

F. The associate director for research and education shall be notified promptly of the actions taken by the divisional committee and the director.

G. The faculty member shall be notified in writing within twenty days of the decision of the director by the associate director of research and education.

H. If the director disapproves a departmental recommendation for promotion to tenure, the faculty member concerned may request, or the department, with the consent of the faculty member may request, a written statement of the reasons to be provided within twenty days, and may seek reconsideration or, if appropriate, appeal the director's decision pursuant to FP&P 7.09. and 7.10.

5.05. GUIDELINES FOR PERFORMANCE EVALUATION

A. FACULTY AND INSTRUCTIONAL ACADEMIC STAFF

1. FP&P 5.21.D.1. provides for the periodic review of the performance of every faculty member, stating that such reviews normally should be conducted as part of the annual determination of recommendations for salary increments.

2. Each faculty member with a tenure/tenure-track and/or funded appointment in the Nelson Institute, and every instructional academic staff member, is required to submit an annual activities report.

3. The report shall consist of two to three pages that highlight the past calendar year’s activities with respect to the four evaluation criteria (see 5.05.A.4.) and how these fit into a longer term professional trajectory. The time frame for inclusion in the activity report may vary, depending on home department and discipline. Individual faculty who choose to include more than one year of activities must do so consistently.


   i. Research
      a. Evidence of innovative individual research in an interdisciplinary context.
      b. Evidence of engagement in building long-term interdisciplinary collaborations.
      c. Evidence of attracting research support for cross-cutting activities.
      d. Evidence of productivity of interdisciplinary endeavors.

   ii. Teaching
      a. Evidence of training and mentoring students for interdisciplinary research or praxis.
b. Primary responsibility for teaching one or more interdisciplinary courses and evidence of integrating innovative pedagogy that is well-adapted to interdisciplinary learning.

iii. Outreach
   a. Evidence of outreach through application.
   b. Evidence of integration into a broader body of knowledge and practice.

iv. Institute Citizenship
   a. Evidence of active engagement in efforts to integrate a diversity of perspectives into all aspects of scholarship.
   b. Evidence of leadership to the Nelson Institute through participation in building and maintaining the infrastructure necessary for the institute to accomplish its mission.

5. The report should also address the following three concepts (from Appendix B):
   i. Statement of role within the Nelson Institute and disciplinary home.
   ii. Self assessment of recent activities with respect to role in Nelson Institute and disciplinary home.
   iii. Assessment of broader impacts of role and activities in relation to mission of the Nelson Institute.

6. In the Nelson Institute, the executive committee, or a designated subcommittee, is responsible for coordinating the annual reviews of faculty and instructional academic staff, with the assistance of the associate director for research and education.

7. The committee will read each report, evaluate it against the criteria and concepts in NIPP 5.05.A.4. and 5.05.A.5, and rate each faculty and instructional academic staff member. The committee will report its rating to the associate director for research and education.

8. The associate director for research and education will notify each faculty and instructional academic staff member of his or her rating, and place a copy of that rating in the employee’s personnel file.

9. The director, associate director for research and education, and associate director of administration will factor in information from the annual rating process in making decisions about compensation adjustments.

10. Any individual who has submitted an annual activities report may request to meet with the associate director for research and education to discuss his or her report.

B. NON-INSTRUCTIONAL STAFF (ACADEMIC/UNIVERSITY).

1. Review of Nelson Institute non-instructional academic staff and university staff shall conform with Human Resources policy 8.01, which describes the annual performance management process for UW-Madison academic and university staff.
2. Performance shall be evaluated against the job description determined at the time of appointment or as modified during the term of appointment of the individual. The job description for each non-instructional staff member shall be reviewed by the supervisor annually to determine if updates are necessary.

3. The supervisor of each non-instructional staff member shall hold an individual conference at least annually with the staff member, and shall include a written report as a part of the staff member’s documentation that is filed in the divisional personnel file. When compensation is available, the supervisor will make a recommendation to the director of the Nelson Institute.

4. Criteria for evaluation of non-instructional staff should include the following:
   
i. Competency in handling assigned duties.
   ii. Quality and quantity of work.
   iii. Judgment in decision-making.
   iv. Dependability and conscientiousness.
   v. Effectiveness.
   vi. Responsiveness to needs of the university, Nelson Institute, program or center.
   vii. Originality, creativity, and initiative.
   viii. Administrative skill, where relevant.
   ix. Technical skill, where relevant.
   x. Self-evaluation of activities during previous calendar year.

5.06. PROMOTION TO FULL PROFESSOR

Promotion to full professor recognizes tenured faculty who have made substantial and sustained contributions in research, teaching, outreach and service.

A. Promotion is not based on seniority. In general, candidates will be reviewed for promotion to full professor beginning five years after promotion to associate professor, coinciding with their first post-tenure review. However, a review for promotion to full professor may occur at any time at the request of the candidate, the associate director for research and administration, or the executive committee.

B. The executive committee reviews all cases for promotion to full professor, and the associate director for research and education chairs these meetings.

C. If the candidate has a split appointment with the Nelson Institute and another department, the associate director for research and education and the other department will determine a mutually agreeable process for the review, which may include deferring completely to the other department’s process.

D. CRITERIA FOR EVALUATION

Candidates for promotion to full professor will be evaluated through the following materials:
1. A statement of no more than three pages that highlights a candidate’s achievements since promotion to associate professor with respect to four criteria: research, teaching, outreach and service (5.05.A.6.). The statement should also address the following three concepts (from Appendix B: Guidelines for Evaluation and Criteria for Excellence in Interdisciplinary Scholarship in the Nelson Institute for Environmental Studies):

i. Role within the Nelson Institute and disciplinary home.
ii. Recent activities with respect to role in Nelson Institute and disciplinary home.
iii. Broader impacts of role and activities in relation to mission of the Nelson Institute.

2. A current C.V.

3. Outside letters of support are not required but may be requested depending on the circumstances (e.g., to align with other departments’ processes in the case of split appointments).

E. PROCEDURES FOR PROMOTION TO FULL PROFESSOR

1. The executive committee will hear cases for promotion to full professor no later than its March meeting.

2. Upon notification by the associate director for research and education that the candidate’s case for promotion will be reviewed by the executive committee, the candidate will, at least 10 days prior to the date of the meeting, e-mail a single-file PDF of the required material in 5.06.D to the associate director for research and education.

3. The associate director for research and education will distribute the portfolio to the executive committee at least seven days prior to the executive committee meeting.

4. The associate director for research and education will notify the candidate of the executive committee’s decision no later than 15 days following the meeting. If the promotion was denied, the associate director for research and education will inform the candidate about opportunities to make a stronger case during future promotion evaluations.

5. Any promotion will take effect with the start of the following fiscal year for A-basis appointments, or the start of the following academic year for C-basis appointments.

5.07. POST-TENURE REVIEW
See also FP&P 7.17 Review of Tenured Faculty

The purposes of the review of tenured faculty are to recognize outstanding achievement; to provide opportunities for mentoring and professional development; and to help identify and remedy any deficiencies.
A. CRITERIA FOR POST-TENURE REVIEW

1. The basic standard for review shall be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with the faculty member's position.

2. Faculty members also will be evaluated on their broad contributions to advancing the “Mission and Vision” of the Nelson Institute (as articulated at the beginning of this document).

3. Faculty members will provide reviewers with qualitative and quantitative evidence of his or her performance over at least the previous five-year period. The evidence should include a current curriculum vitae, annual activity reports, teaching evaluations or summaries of evaluations, and other materials providing evidence of the faculty member's accomplishments and contributions. The faculty member also should provide a brief summary of career plans for the future.

4. Either the faculty member or the reviewers may request a discussion of the review in general or of specific recommendations in the review.

5. Appropriate consideration shall be given to a faculty member’s contributions outside the institute to interdisciplinary and other programs, governance, and administration.

6. Reviewers may consider other steps useful in making a fair and informed judgment, including but not limited to consultation with individuals who have knowledge of the faculty member's work.

B. PROCEDURES FOR POST-TENURE REVIEW

1. Reviews shall occur at least once every five years. These reviews may be incorporated into the annual review process or combined with promotion, retention, salary, or other reviews, including but not limited to nominations for chaired professorships, major teaching awards, and national professional honors or awards. In the case of combined reviews, the department may require supplementary documentation from the faculty member that would not otherwise be required for a post-tenure review.

2. At the beginning of each academic year, the associate director for research and education shall identify faculty to be reviewed by the end of that year, and the executive committee shall establish a calendar for reviews.

3. The executive committee shall appoint two or more tenured faculty members to conduct the review. These reviewers may be drawn from the Nelson Institute or other departments as appropriate. If the faculty member under review formally objects to a reviewer, the associate director for research and education, in consultation with the director, shall identify other appropriate reviewers. Such formal objections will be kept confidential.
4. In the case of a faculty member with appointments in more than one department, the associate director for research and education and the chair of the other department shall agree on procedures for the review.

5. The reviewers shall provide the faculty member with a written summary of the review by the end of the academic year. The faculty member shall have the right to prepare a written response to the summary within 30 days after receipt.

6. A copy of the summary and any written response to it shall be given to the associate director for research and education and shall be placed in the personnel file of the faculty member. The institute shall also preserve in the faculty member’s personnel file all documents that played a substantive role in the review (other than documents such as publications that are readily accessible elsewhere), and a record of any action taken as a result of the review.

7. Every effort should be made to identify faculty deserving special recognition, including but not limited to, nomination for university, national, and international awards.

8. The faculty member shall have the right to request a second review (peer review), following the above procedures except that the reviewers shall be selected by mutual consent of the faculty member and the director.

9. The faculty member may challenge the findings of reviews and correct the record through the appeal procedure in section 5.08 below.

10. In the event a review indicates substantial deficiencies, professional development opportunities shall be proffered. The associate director for research and education and the faculty member shall develop a written plan for mentoring and professional development to address all issues identified in the review, in consultation, if necessary, with the director. This plan shall be the product of mutual negotiation between the faculty member and the chair and/or director, shall respect academic freedom and professional self-direction, and shall be flexible enough to allow for subsequent alteration.

11. In the event that recurring reviews reveal continuing and persistent problems with a faculty member’s performance that do not lend themselves to improvement after several efforts, and that call into question the faculty member’s ability to function in that position, then other possibilities, such as a mutually agreeable reassignment to other duties or separation, should be explored. If these are not practicable, or no other solution acceptable to the parties can be found, then the administration must convene a committee of faculty to review proposed sanctions.

12. The standard for discipline or dismissal remains that of just cause as outlined in FP&P 9.02. and 9.03. The fact of successive negative reviews does not diminish the obligation of the institution to show such cause in a separate forum, following the procedures outlined in FP&P 9. Records from post-tenure review may be relied
upon and are admissible, but rebuttable as to accuracy. The administration bears the ultimate burden of proof on the issue of just cause for discipline and dismissal.

13. The faculty member retains all protections guaranteed in FP&P, including, but not limited to, the rights to appeal specified above and the right to appeal disciplinary action to the Committee on Faculty Rights and Responsibilities as described in FP&P 9.07.

5.08. APPEAL OF POST-TENURE REVIEWS (FP&P 7.18.)

A. By written request, within twenty days, a faculty member may appeal the findings of post-tenure reviews. If a second review has been requested per FP&P 7.17.C.8., then both reviews shall be submitted for consideration. The appeal shall be heard by the Committee on Faculty Rights and Responsibilities no later than twenty days after the request, except that this time limit may be enlarged by mutual consent of the parties, or by order of the committee. The faculty member shall be given at least ten days’ notice of such review.

B. The Committee on Faculty Rights and Responsibilities shall report on the validity of the appeal to the faculty member, the departmental executive committee, the appropriate dean, and the provost.

C. If the Committee on Faculty Rights and Responsibilities finds that a review was based in any significant degree upon impermissible factors as defined in UWS 3.08(1)(a)-(c), with material prejudice to the individual faculty member, and elects not to remand the case back to the department because it would serve no useful purpose, the University Committee, after appropriate consultation, shall appoint an ad hoc post-tenure review committee to perform a de novo review to replace the contested review. Members of the ad hoc committee shall be tenured faculty members at the University of Wisconsin-Madison, but they shall not be members of the executive committee of the faculty member’s academic department(s) or functional equivalent, nor shall they be members of the committee conducting the contested review.

D. The Committee on Faculty Rights and Responsibilities shall retain jurisdiction pending the resolution of all appeal.

CHAPTER 6: ACADEMIC PROGRAMS PROCEDURES

6.01. CREATION OF NEW GRADUATE CERTIFICATE PROGRAMS

A. Initiation of new graduate certificate programs can come from any one of a number of sources:

1. Existing Nelson Institute academic degree program governing committees (see 4.05.G.) can propose new graduate certificates. Proposals coming from these bodies will be brought to the instructional committee through the appropriate graduate program chair.
2. The instructional committee can formulate new certificates as needs arise in their discussions of relationships among academic programs and research activities.

3. The academic planning council can propose new certificates. In this case, the director will communicate the request to the instructional committee for further development.

4. Proposals for new certificate programs can come from a range of ad hoc sources, including but not limited to small groups of faculty or leaders of other units on campus. Ad hoc proposals should be submitted to the Nelson Institute Director or the chair of the instructional committee for consideration by the instructional committee.

B. Consultation and Shaping:

1. Upon receiving a proposal from whatever source, the instructional committee will determine the best course forward. It is likely that ad hoc proposals will be referred to one or more program committees for further development.

2. The instructional committee will provide consultation and guidance to the group that is developing the certificate. Specific attention will be given to curricular aspects with attention paid to course bottlenecks, class size, etc.

3. When curricular and pedagogical aspects are sufficiently honed, the instructional committee will recommend to the director that the proposal be considered by the academic planning council.

C. Approvals:

1. Academic Planning Council: The academic planning council will consider a certificate proposal after the instructional committee has indicated that the program adequately addresses a need or opportunity from an academic perspective. The APC will also consider budgetary implications such as staffing and teaching loads. The APC determines the total number of certificates that the Nelson Institute will offer. Budgetary elements must be resolved within the APC in consultation with the director’s office. The APC will make a recommendation regarding acceptance to the director.

2. Governance Faculty: If the APC recommends acceptance by the Nelson Institute, the director will take the proposal to the next feasible meeting of the governance faculty for an up or down vote.

3. University: If the governance faculty approves the proposal, it moves on to university-level approvals as described at http://apa.wisc.edu/uapcCAPSTONES.html (Section C).
CHAPTER 7: RESEARCH CENTER PROCEDURES
(being developed)

[Include material re: bylaws, selection of and term length for center director, creation of governing committees…]