

Recommendations on the Organization of Research and Graduate Education Approved by Faculty Senate 5-5-14

Background

In the fall of 2013, the University Committee and the Chancellor met to discuss the structure for and function of research and graduate education at the UW-Madison. The UC advised the chancellor that any discussion of changes would need to engage campus shared governance, and in December of that year, the UC charged a working group to explore the efficacy of an alternative model for the organization of the research enterprise and graduate education. From December 2013 through early February of 2014, the Ad Hoc Working Group on Leadership Changes in the Office of the Vice Chancellor for Research/Dean of the Graduate School engaged with members of the campus community, with graduate education and research leaders at peer institutions, and shared governance groups, and on 14 February presented a draft report. That draft report was vetted during the March meeting of the Faculty Senate, three town-hall meetings open to faculty and staff, and through a web portal, and its final draft was presented at the April meeting of the Faculty Senate. At that time, the Senate accepted the working group's report.

That report takes into consideration changes in the administrative shape of the graduate school that were proposed four years ago, during the 2009-10 academic year. Discussions at the time – about the growth and complexity of the research enterprise nationally, about university-industry partnerships, about the need for a more robust leadership presence in Washington, DC, and about compliance and oversight – anticipated the issues that the University Committee has considered more recently. The result of the discussions four years ago, which began with a proposal to separate the Graduate School from the research enterprise, culminated with the structure we currently have, a combined Vice Chancellor for Research/Dean of the Graduate School (VCR/DGS) position. One significant difference between 2009-10 and today is with the process through which the discussion took place. Four years ago a proposal was made, and a faculty-led, shared-governance driven examination of the circumstances that led to the proposal only came after the fact. The current process has been shared governance-driven, and the recommendations that result from it have been built after extensive consultation with faculty and staff.

The process that has been followed this year involved extensive information gathering and research. Some of the most relevant pieces of information involve circumstances in graduate education and research that have changed in the last six years. The world economic crisis and the retrenchment in the federal government's funding of research has resulted in cutbacks to federal dollars for research at agencies such as the NSF, the NIH, Department of Education (Title VI Centers), and the NEH; this in turn has caused a downturn in the number and amount of federal grants for research and graduate education at research universities such as the UW-

Madison. The decline in federal dollars has led to a corresponding decline in indirect cost returns (43 percent of which are used to fund the 101 pool) at a time when the state's commitment of general purpose revenue to the university has also declined by nearly 20 percent. Technology transfer at UW-Madison has taken on a new urgency with a need to bring research discoveries to the state and nation as the university long has promised through the Wisconsin Idea and provide new revenue. An increasingly competitive landscape in research and graduate education across the disciplines has required increases in start-up packages for faculty at UW-Madison, more competitive support for graduate student and post-doctoral researchers, and has meant the need to update the university's research infrastructure for faculty, staff, and graduate students. And increased oversight, particularly for the sciences, in research compliance and safety has led to the need for greater attention to these areas.

With these changes in mind, the working group made several recommendations. The most significant of these included a new structure for research and graduate education leadership, with a full-time Vice Chancellor for Research and Graduate Education (VCRGE), and a full-time Dean of the Graduate School (DGS); the addition of Associate Vice Chancellors, with divisional representation, in the office of the VCRGE; and a new shared governance oversight group for the office of the VCRGE. The aims of the working group's recommendations were to strengthen graduate education through an independent Dean of the Graduate School; to ensure the continued integration of research and graduate education through its reporting structures; and to ensure the continued faculty oversight of the WARF gift to the Graduate School.

In the interval between the release of the working group's report and its presentation at the Faculty Senate meeting in April, several faculty and staff raised concerns with the working group's report, and at that meeting, the University Committee moved to accept the working group's recommendations, and dismissed the working group. Since that meeting, the University Committee has reached out to all of those faculty and staff who publicly expressed concern with the report, held two additional town-hall meetings, met with over three dozen faculty and staff members, did its own investigation into the efficacy of different models for the graduate education and research enterprise, and held six publicly-announced meetings to discuss and craft recommendations to present to the Senate in May. The University Committee also reviewed documents produced and collected by the working group, and examined data on federal and state funding for research and graduate education at the UW-Madison and nationally and sought input from other universities on successes and failures of their reorganization efforts in the graduate school and research enterprises. The results of this research and deliberation are reflected in the University Committee's recommendations.

A. Principles

In creating its recommendations, the University Committee has followed a number of principles that are integral to the continued success of the research and graduate

education enterprise at the UW-Madison. We agree with those who have expressed concern about change to existing structures that any reorganization must first do no harm, and second must strengthen our support for research and graduate education by building on our past successes. We also have looked back to the principles that guided the report of the Ad Hoc Committee to Determine the Needs and Structure of UW-Madison's Research Enterprise (the "Hector DeLuca Report"), and in our recommendations we share and endorse those principles:

1. Maintain the integration of graduate education and research
2. Ensure that faculty are the drivers for the direction of research and creative activity on the campus
3. Ensure faculty input in the allocation and distribution of the WARF gift
4. Maintain and enhance shared governance in graduate education and research
5. Maintain clear performance standards for administration of research and graduate education
6. Maintain and enhance faculty participation in oversight of safety and compliance

In addition to these principles, the University Committee asserts the following:

1. That the administrators responsible for research and graduate education must value the accomplishments of all faculty, staff, and graduate student research, discovery and creative activity, across academic fields, disciplines and divisions;
2. That the WARF gift dedicated to the support of research and graduate education must not only be protected but enhanced, that it must continue to be distributed by faculty members across the divisions, and that the initiatives and activities that it supports currently must not be changed without the involvement of shared governance;
3. That shared governance, as one of the cornerstones of intellectual freedom, must be maintained and enhanced for the administration of research and graduate education through existing (and new) governance structures, including committees established by the Faculty Senate and enshrined in chapter 6 of Faculty Policies and Procedures;
4. That the university, through its chancellor and provost, must commit new resources (*outside* of the WARF gift) for both the administration of research and for graduate education at UW-Madison.

B. Working Group report and the UC recommendations

While there are certain aspects of the working group's report with which the University Committee's recommendations agree, there are others where the University Committee's recommendations, and the assumption that underlie them, differ from those of the working group. We outline the main points of agreement, and the points on which the working group and the University Committee differ here.

Points of Agreement:

1. The University Committee understands, in agreement with the working group, that circumstances warrant a change from a single VCR/DGS position to a structure for the graduate education and research enterprise that distributes responsibility between two positions that are structurally interconnected.

While it is true that the UW-Madison remains among the top five American universities when it comes to securing gifts and grants for research, the University Committee has also found that

- (a) the number of doctoral degrees produced at UW has decreased from 2nd nationally to around 8th nationally (since 1995)
- (b) total federal awards to UW-Madison for research have decreased by 27 percent since 2009, from \$521.9 million in 2009 to \$379.1 million in 2012 (in inflation-adjusted dollars)
- (c) indirects from Federal grants have decreased by eight percent over the last two years (from \$137 million in 2011-12 to a projected \$128 million in 2013-14)
- (d) total extramural awards are projected to remain flat or to decrease (after decreasing from about \$1.3 billion in 2010 to just over \$1.1 billion in 2013)

The University Committee also spoke with and gathered information from peer universities whose Vice Provosts for Research and Deans of the Graduate School positions are distinct, and found that while there have been differences in the results, the main consequence of having two positions is that it allows two individuals to give one hundred percent of their time to their jobs, rather than having one individual devote a portion of their time to two related jobs. The University Committee also became convinced, based on what it has heard from these peer institutions, that providing more time to a VCR – to focus on helping increase funding for research – and a DGS – to focus on increasing funding to increase the number of and support for graduate degrees makes sense.

2. The University Committee understands, in agreement with the working group, the need to protect and enhance shared governance of any new positions.

The creation of the University Research Committee as governance group for VCRGE position will be a faculty majority committee; it will include academic and classified staff, and will be representative of the research mission across all divisions of the university. This committee will serve as a counterpart to the Graduate School Faculty Executive Committee, which is responsible for the

oversight of graduate programs, and will work together with GFEC and GS-CASI to serve as the faculty and staff governance voice in the administration of the research and graduate education enterprises at the UW-Madison.

3. The University Committee believes that the best reporting structure for the two positions is for the Dean of the Graduate School to report to the Vice Chancellor for Research and Graduate Education in order to maintain the integration of graduate education and research. (The alternative, the DGS reporting to the Provost, has the effect of isolating the DGS from the research enterprise by having report to the chief academic affairs officer.)

In this reporting structure, the DGS will function as a true dean, with a place at the deans' council. The DGS will work closely with the VCRGE on the relation between research and graduate education, particularly in policy-making, funding, and program enhancement.

Points of Divergence:

1. The University Committee believes that stronger measures must be taken to ensure the continuation and augmentation of the WARF gift for research and graduate education that currently goes to the Graduate School.

Our recommendations are meant to ensure that the \$35 million WARF gift for research and graduate education continue to be used in support of research and graduate education, without risk of it being diminished, and that stronger faculty oversight should be created in order to protect it. The \$35 million currently supports the fall competition, faculty professorships, matching grants, Wisconsin Distinguished Graduate Fellowships, university fellowships, and faculty recruitment and retention. The funding is distributed by faculty committees representing the divisions. Our recommendation is meant to ensure that this process does not change.

2. The working group recommendations moved the divisional associate dean positions to divisional associate vice chancellor positions. Our recommendation ensures that divisional representation continues in associate dean positions under the Dean of the Graduate School.
3. Unlike the working group recommendations, the University Committee believes the terms and appointment levels of the AVCRs and ADGSs should be determined by the VCRGE and DGS after consultation with current associate deans and appropriate governance groups.

C. Comparison of the current structure of the Grad School and the UC proposal:

During its discussions with faculty and staff about the efficacy of creating VCRGE and DGS positions, we heard concerns that changes such as that being considered would be a significant departure from the current structure. Others urged a gradual

shift from the current structure to any new one. A comparison between the current structure and the one propose appears as follows:

1. What we have now:

- a. A combined Vice Chancellor for Research/Dean of the Graduate School, in one person, devoting about half of her or his time on graduate education and research, respectively, as defined by the current description of the position. This person has a dual reporting line: s/he reports to the chancellor on matters regarding research, and to the provost on matters of graduate education.
- b. Four associate deans, representing the divisions, that report to the VCR/DGS. The associate deans spend about 20 percent of their time on graduate education and 80 percent of their time on research.
- c. An associate dean for graduate education, reporting to the VCR/DGS.

2. What is being proposed:

- a. A Vice Chancellor for Research and Graduate Education, reporting to the chancellor on matters of both research and graduate education.
- b. Associate Vice Chancellors of Research, reporting to the VCR, working principally on research matters, representing the divisions; Associate Deans of the Graduate School, reporting to the DGS, working principally on graduate education, representing the divisions.
- c. Instead of an associate dean for graduate education, a true Dean of the Graduate School, reporting to the VCRGE, who sits on the deans' council (chaired by the provost).

The proposal, in other words, is a structure that differs only somewhat from our current structure, and whose chief advantage is the creation of two positions – linked together in a single office (the graduate school) – each of which has significantly more time to devote to their areas of responsibilities, and to those responsibilities that include significant interrelation.

The intended outcomes of this new structure will include increased funding for graduate education, particularly funding support for graduate students; increased rankings in our graduate programs; increased funding for our research mission; and increased support for interdisciplinary research, post-doctoral programs, and professional degrees.

Recommendations

Recommendation I: Retain a close relationship between research and graduate education within a single administrative structure.

- A. The UW-Madison research enterprise must continue its close association with graduate education, within a single administrative structure, through the positions of a Vice Chancellor for Research and Graduate Education (see recommendation III.A.) and a Dean of the Graduate School (see recommendation III.B.). Excellence in research and graduate education is the cornerstone of our mission: we educate through research, and the intimate relationship between the research enterprise and graduate education will continue to be a great strength for our institution, even in a challenging and shifting research funding landscape. The connection between the research enterprise and graduate education underpins our strong training programs for future leaders. Without maintaining this connection, a rigorous and robust research endeavor cannot be sustained.
- B. Existing Graduate School Research Centers, including the Wisconsin Institute for Discovery, will be administered by the Vice Chancellor for Research and Graduate Education. The creation of new centers, as well as the restructuring of existing centers, will follow existing policies and procedures.
- C. The ~~\$35 million~~ **annual** WARF gift to faculty dedicated to sustain research and graduate education must be protected by the WARF Resource Request and Allocations Committee (see recommendation II), in concert with GFEC and the URC, on behalf of the faculty across all divisions. It will be distributed, as it is currently being distributed, by faculty committees; the WARF Resource Request and Allocation Committee will report the gift's use to the faculty through the Faculty Senate.

Recommendation II: The University Committee and the Senate will expand the role of the WARF Resource Request and Allocations Committee (FP&P 6.55) to include oversight of the WARF gift to the Graduate School, serving as the faculty's protector and guarantor of the use of the gift for the benefit of graduate education and research.

Recommendation III: Create two positions – a Vice Chancellor for Research and Graduate Education (VCRGE), and a Dean of the Graduate School (DGS). The DGS reports to the VCRGE and participates on the Dean's council (chaired by the Provost). The VCR, with the DGS, creates policy and strategy for research and graduate education; the DGS works with the VCR on implementation and evaluation

of those policies and strategies with regard to graduate student research and graduate education.

- A. Create a new position of Vice Chancellor for Research and Graduate Education, to replace the current position of Vice Chancellor for Research and Dean of the Graduate School. The responsibilities for research and graduate education, and their close association, shall reside with the individual occupying this position. The VCRGE will report to the chancellor. The VCRGE's responsibilities include integration of research and graduate education; oversight of research, compliance and tech transfer policy; and oversight of the campus research infrastructure. The VCRGE will advocate for research funding on a national level, oversee the graduate school research centers, and balance the research needs of all units and divisions on campus.
- B. Create a new position of Dean of the Graduate School. The DGS will report to the Vice Chancellor for Research and Graduate Education, and – as a dean – will serve on the dean's council and have access to the Provost by virtue of that service. The Dean of the Graduate School's responsibilities include the integration of graduate education with the university's research mission; oversight of the administration and funding of graduate education. The DGS will advocate for increased funding for the university's graduate programs and graduate research on a national level, oversee the university's 150+ graduate programs, and ensure that WARF resources continue to enhance graduate education.

Recommendation IV: Each position -- The Vice Chancellor for Research and Graduate Education and the Dean of the Graduate School – should have separate and significant budgets, *distinct from the WARF gift*, for the university's research mission and graduate education respectively.

Recommendation V: Establish associate deans of the Graduate School, with divisional representation, which will report to the Dean of the Graduate School.

Recommendation VI: Establish Associate Vice Chancellor for Research and Graduate Education positions, with divisional representation, which will report to the Vice Chancellor for Research and Graduate Education.

- A. Each AVCRGE will consult closely with their counterparts, the associate deans of the Graduate School, and will together co-chair the faculty research committees.

Recommendation VII: Create a governance body – the University Research Council – for the VCRGE position. It will include the VCRGE and DGS as ex-officio, non-voting members, and will include faculty and academic staff representatives from all four divisions.

- A. GFEC and GS-CASI will continue to operate as shared governance structures for the Dean of the Graduate School and the VCRGE respectively.

Recommendation VIII: The UC will work with the faculty and the administration to implement these recommendations, to make any changes to FP&P to ensure they comply with the spirit and the letter of shared governance, and periodically review the outcomes of the recommendations.