

Working Draft

Working Group on Leadership Changes in the Office of the Vice Chancellor for Research/Dean of the Graduate School

Submitted to the University Committee

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by

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EXECUTIVE SUMMARY

The University Committee charged our working group with: “exploring the efficacy of a leadership structure within the research enterprise that involves two positions—a Vice Chancellor for Research and Graduate Studies (VCRGS) and a Dean of the Graduate School (DGS). The DGS would report directly to the VCRGS and would remain in the same office. The VCRGS would continue to have oversight responsibility for the operations and funding of the graduate school enterprise, but the programmatic and financial work of that office would be the responsibility of the DGS. The DGS would meet regularly with other Deans and have full standing within that group [the Deans Council].”

Overall recommendation: The working group believes the leadership structure proposed in the charge is viable. We are persuaded by our exploration that the new structure will, with appropriate resources and skilled leadership, preserve and enhance crucial strengths while enabling flexibility to respond to urgent new pressures and take advantage of emerging opportunities. We also predict that the proposed structure will be the one most likely to allow us to attract new revenue streams and effective leadership.

Recommendations on sub-charges: The University Committee charged us not only with exploring the efficacy of the new structure but also with addressing issues that need to be resolved in the following areas:

- **Assuring the continuing close association of research and graduate education:**

In the current structure, the close association of research and graduate education happens at several points. In order to continue this coordination, we make three recommendations:

- 1) The current VCR-DGS structure has assured a close association of research and graduate education. A structure where the Vice Chancellor for Research is separate from the Dean of the Graduate School can continue to assure a close association of research and graduate education if: a) both high-level leaders are committed to partnership and collaboration; b) the VCR, with a working title of Vice Chancellor for Research and Graduate Education (VCRGE), is committed to graduate education; and c) the VCRGE is held ultimately responsible to the Chancellor for integrating and supporting research and graduate education.
- 2) Faculty and staff in the Graduate School repeatedly expressed strong approval of the efficacy of weekly meetings that bring together those engaged in graduate education and research to address matters of overlapping concern. We recommend continuing a pattern of regular meetings among core leaders in the research enterprise and the Graduate School.
- 3) The current divisional Associate Deans of the Graduate School are a crucial ingredient of this existing close association, regularly working on matters that advance the university’s research mission and graduate education objectives. We recommend that these positions become Associate Vice Chancellors that report to the new VCRGE, to be primarily engaged in research initiatives. We also recommend that the Associate Vice Chancellors continue to foster the close association of research and graduate education by collaborating with the Graduate School on matters like graduate program reviews and student funding.

- **Assuring an effective relationship between the major research centers and the leadership structure:**

We recommend that the Graduate School research centers report to the new Vice Chancellor for Research and Graduate Education. The VCRGE should support the success of *all* researchers, including independent investigators across all disciplines, all intra- and interdisciplinary teams, and all campus research centers.

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- **Assuring effective governance structures (including GFEC, the graduate school APC, and CASI), to maintain faculty and staff engagement with graduate school and research policy;**

We recommend that the current Graduate School governance structures, specifically the GFEC (which functions to review graduate programs and policies, see Appendix) and the Graduate School APC continue to report to the DGS. The current GS-CASI, which represents academic staff in the Graduate School, would meet directly with the VCRGE. Just as the Vice Chancellor for Academic Affairs has a shared governance body (UAPC), we recommend a new unit for the office of the Vice Chancellor of Research and Graduate Education, to be called the **University Research Council (URC)**. The URC would be comprised of faculty and staff with outstanding research programs and the VCRGE. We recommend that the VCRGE meet weekly with the University Committee, a practice currently in place with the Chancellor, Provost and Vice Chancellor for Finance and Administration.

- **Assuring that the WARF gift continues to be effectively administered in a way that benefits research and academic exploration across campus, including the role of divisional representatives;**

The WARF gift is invaluable for stimulating research, creativity, and innovation, and the way that is currently distributed serves the campus well. The working group recommends that the VCRGE, in collaboration with the new Associate Vice Chancellors and divisional research committees, be responsible for shepherding the investment of the WARF gift across campus. This investment list includes, for example, the research competitions, start-up funds, retention, and awards for faculty and staff. We recommend that the part of the WARF gift that is allocated for graduate fellowships, including Advanced Opportunity Fellowships, be administered by the Dean of the Graduate School after transfer of funds from the VCRGE office.

- **Assuring that the DGS has an appropriate relationship to the other deans and the Office of the Provost, while reporting to the VCRGS;**

In order to preserve the integration of graduate education with research, we recommend a reporting line from the Dean of the Graduate School to the Vice Chancellor for Research and Graduate Education. We recommend that the Dean of the Graduate School also continue to be a member of the Dean's Council and that (s)he confer with the Provost regularly on academic matters that impact our local and national presence in graduate education.

- **Suggesting options to assure an effective utilization of and a clear reporting structure for the academic associate deans.**

The Graduate School Academic Associate Deans play a crucial role in the current structure. In the new structure, we expect the Graduate School Associate Deans will focus their time on research matters. Thus, we recommend converting these positions into Associate Vice Chancellors who report to the Vice Chancellor for Research and Graduate Education. They and the new Associate Deans in the Graduate School should be in general 50% positions that rotate on a regular basis. The new Associate Vice Chancellors and the new Graduate School Associate Deans should continue to be active research faculty, and they should be encouraged to collaborate with one another on matters where research and graduate education intersect.

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Process and principles: The working group explored the efficacy of the new proposed leadership structure by comparing it with a number of options, focusing on two major alternatives: the existing structure, which combines the Vice Chancellor for Research with the Dean of the Graduate School, and a model that is common at many other campuses, where the Dean of the Graduate School has no formal reporting role to the Vice Chancellor for Research. As described in the appendix to this report, we examined a range of internal and external documents, met with campus stakeholders, and representation, and faculty and staff governance. We reflected on the need for collaborative structures, resource support, and the recruitment of visionary and responsive leadership. We were consulted with faculty and leaders on other campuses in order to consider the many interrelated implications of each structure, including reporting lines, resources, leadership teams, divisional guided by two major principles in all of our discussions and recommendations:

- 1) We sought to **preserve** what works well at the University of Wisconsin-Madison, including our support for research across divisions, our world-renowned research and graduate programs, faculty and staff-driven research, the integration of research and graduate education, and our robust culture of shared governance.
- 2) We sought to provide a context to **improve** our campus, fueling continued excellence and innovation in research and graduate education. We have explored aspects of the structure that would best position the University of Wisconsin-Madison for success in an environment where research structures, graduate education, and revenue streams are undergoing rapid transformation.

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WISCONSIN'S SUCCESS

For more than a century, the University of Wisconsin-Madison has been a world leader in research across disciplines. UW researchers have successfully invented, discovered, created, and analyzed, developing a vast range of breakthroughs in knowledge from new medications to new classroom strategies, and from new understandings of political violence to new sources of energy. In keeping with the Wisconsin Idea, our research has benefited the residents of Wisconsin, and has generated knowledge that guides the development of economic growth, benefits society, and aspires culture around the world. Our strengths include:

- **Extramural funds.** The University of Wisconsin-Madison has long been one of the nation's leaders in federal and non-federal contracts, gifts, and grants.
- **Cross-campus support and collaboration.** At UW-Madison, all fields nourish and energize each other. Revenues generated by grants and patents flow to everyone. As a university, we are unique in our comprehensiveness, uniting schools that do not usually share a campus, from agriculture to liberal arts to the medical school, and embracing both flagship and land grant missions. The breadth of our cutting-edge research across fields attracts world-class researchers, sparking collaborative inquiry. Engineers inspire artists and rhetoric scholars inform management theorists. As a consequence the campus is always alive with the excitement of new knowledge, collaboration and discovery.
- **WARF.** The patentable innovations of our researchers have built the Wisconsin Alumni Research Foundation endowment, an immense source of strength for seeding innovation, rewarding top faculty, recruiting excellent graduate students, and maintaining close connections between research products and inventions.
- **Graduate education.** World-renowned for the high quality of our graduate programs, the University of Wisconsin-Madison has successfully trained intellectual leaders around the world.
- **Shared governance.** Our faculty- and staff-driven research culture has been supported by an administration eager to foster ideas percolating upward from the cutting-edge work being done in the lab, the library, and the studio.
- **Alumni and friends.** The University of Wisconsin-Madison has many supporters worldwide—from loyal and generous alumni to global partners in research and discovery to organizations able to translate our cutting-edge knowledge into practical applications. All of these supporters are essential to our future success.

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THREE MAJOR CHALLENGES

There is no doubt about the University of Wisconsin-Madison's record of success, but there are three major factors now transforming the landscape: **changes in research, changes in graduate education, and changes in revenue streams.** Voices across the campus are concerned that we may soon fall behind other universities that have launched enterprising new initiatives. A failure to stay ahead of these changing pressures could pose a serious threat to the UW's margin of excellence in research and graduate education.

Changes in Research:

- **Emerging interdisciplinary grant opportunities.** Across fields, new interdisciplinary grants are replacing the traditional single investigator model at the national level, and a number of researchers here have found that existing funding mechanisms and campus structures are preventing them from competing well in this new landscape.
- **Advocacy.** As funders and policy makers wrestle with competing priorities, it is increasingly important that leading research universities participate in the conversation about current and future global needs. We have heard many voices, including the Chancellor's, state that the University of Wisconsin-Madison is not at the table with our peers for many important issues at the major national agencies, institutes and foundations, where new research agendas are shaped.
- **Development.** Other universities have begun to secure substantial philanthropic gifts to seed new research initiatives. UW-Madison would benefit from strategic planning to obtain the kind of critical funding needed to maintain our margin of excellence in research.
- **Technology transfer.** Despite our history of discoveries and the success of the Wisconsin Alumni Research Foundation, UW-Madison has lacked a sufficient range of mechanisms for moving our great research innovations into the marketplace—and we have now fallen behind our peers in this arena.
- **Start-up and retention packages.** We have heard concerns that the University of Wisconsin-Madison is failing to compete with peer institutions in providing faculty with the tools they need to launch and maintain innovative research programs.
- **Support for research compliance, infrastructure, and management.** Researchers need a rapid and supportive system of grant management, safety, and compliance. Failure of the campus to set, plan for, and adhere to increased demands for research management and compliance put the future of the entire research endeavor and many aspects of the graduate education enterprise that depend on their activities at risk.

Changes in Graduate Education:

Graduate students are essential to the ecology of a great university. They participate in labs, studios, and seminars, contributing to research teams and allowing faculty the precious opportunity to train the next generation of intellectual leaders. Without the best graduate student interlocutors, the best faculty leave, and the research enterprise suffers. UW-Madison has traditionally been a powerhouse in graduate education, known for our high quality of training, but significant new challenges are emerging in graduate education:

- **Funding.** We have heard growing concern that UW-Madison is behind our peers in funding across disciplines for graduate education, which affects the numbers of students we can support and the caliber of student we can recruit.

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- **Changing trends in the graduate population.** The University of Wisconsin-Madison is famous for its success in training PhD students, but the doctorate is no longer the dominant model across fields. On many scientific research teams, staff scientists and post-docs are displacing PhD students, while in other fields, masters students have far outpaced doctoral candidates. Professional degrees and post-baccalaureate programs are growing in prominence and demand, as students pursue non-academic careers. We will need to be responsive to the complex changes affecting graduate programs and populations across the campus.
- **Professional development.** Given the economic strains that have continued to depress the academic job market, the University of Wisconsin-Madison has a pressing responsibility to bolster existing professional development programs for all graduate students and post-docs, especially those pursuing non-academic careers.

This moment presents opportunities for visionary new projects in graduate education, including:

- fundraising and development of resources for new initiatives
- interdisciplinary graduate education
- creative, forward-looking strategies for professional development
- training grants for entrepreneurial projects
- securing additional funds for research training of individuals from underrepresented groups
- promote full inclusion of an increasingly diverse population of students and scholars

Changes in revenue streams:

Public universities now urgently face a demand for innovative new revenue streams to support research and education across divisions.

- **Declining state revenue.** Over the past fifty years, revenue from the State of Wisconsin has dropped from over half of the University's total budget to just over 15%.
- **Federal research budget.** Federal cuts and sequestration have shrunk the budgets of national agencies, including the National Institutes of Health and the National Science Foundation, which have been cornerstones of the UW-Madison research portfolio. The University cannot simply look forward to continuing our past record of major increases in securing federal grants.
- **Rapid increases in tuition and escalating student debt.** In real terms, hard-working students and their families are paying far more for a public education than they did fifty years ago. Tuition can alone by no means absorb the rising costs created by shrinking state and federal funds.
- **Reduced funding for individual research projects.** With the rise of cross-disciplinary grants, individual research projects have been struggling to find the support they once had.
- **Opportunities for commercialization.** Increased private sector interest in the commercialization of university innovations has created avenues for new entrepreneurial revenue models.
- **Opportunities for business partnerships.** As corporate investment in research and discovery has declined, new kinds of partnerships with business and industry are emerging.

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A NEW LEADERSHIP STRUCTURE? YES, IF THE CONDITIONS ARE RIGHT

Will a new leadership structure allow the University of Wisconsin-Madison's research enterprise to develop in robust and effective ways over the next decades, allowing us to capture new opportunities and meet new challenges in both research and graduate education?

This working group has concluded that a new structure has the potential for **significant improvement**: to **strengthen the research enterprise**, making it nimbler and more responsive to a changing research landscape, while also **strengthening graduate education**, and providing it with the necessary resources to continue the Wisconsin tradition of excellence. We therefore recommend a new leadership structure, with two separate positions, a Vice Chancellor for Research and Graduate Education and a Dean of the Graduate School.

But we also believe that no administrative structure, including the existing one, will succeed in serving the University without appropriate support. We believe that the proposed new structure will succeed only if it is supported, if it is led and staffed by leading academics, and if it preserves crucial aspects of our campus culture. Having listened to an array of campus groups and stakeholders and having read a number of documents, this working group concludes that the following five conditions are essential to the future success of both research and graduate education at the University of Wisconsin-Madison:

- **Resources to maintain leadership and respond rapidly to emerging opportunities.** Most importantly, the new structure will succeed only if necessary resources are available to both the new Vice Chancellor for Research and Graduate Education and the new Dean of the Graduate School. If two visionary new leaders are to seed new ventures, respond to major challenges, and launch successful development strategies, they will need access to stable yet flexible revenue streams. The lions' share of these resources are not intended for the addition of new administrative staff, but rather to provide funds to invest in maintaining a competitive edge in research and graduate education across campus. We will also not be able to recruit top talent to fill these positions without a firm financial plan. This should be seen as an investment, based on the expectation of returns in the long run, but resources must be available for both offices in the short term. We cannot simply draw from the Colleges, which are struggling to cover costs, or from the existing Graduate School budget, since resources are already insufficient to respond to day-to-day needs, compliance costs, fellowships, and start-up packages—all of which are essential to the ongoing life and health of the University.
- **Effective leadership.** We must be able to recruit and hire visionary, responsive leaders who value the synergistic relationship between graduate education and research. These leaders must enjoy enabling the University of Wisconsin-Madison's faculty-driven research culture, solving the problems that face researchers, anticipating the needs of faculty and staff from across the campus, working effectively with shared governance bodies, and helping research and graduate education projects of all kinds to develop and flourish, including those that generate new knowledge and capability independent of their ability to generate revenue. A new structure will have the best chance of success if it focuses on building effective frameworks for all active researchers to flourish.
- **Support for research across divisions.** Many of the University of Wisconsin-Madison's world-class researchers will make transformative and meaningful discoveries that carry no immediate financial reward: breakthroughs in basic science that will eventually result in new cures for diseases, new knowledge of the stars, a new understanding of citizen participation in a democracy. A great university supports knowledge production across divisions for the good of the broader public. A successful new structure will therefore include continued representation by active research faculty for all four divisions,

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continued divisional distribution of research competition funds and start-up packages, an ongoing commitment to shared resources across divisions, and to inviting cross-campus perspectives on all decisions that affect research across units.

- **Leadership in graduate education and its integration with research.** Graduate students are absolutely essential to most aspects of the research enterprise, and it would be impossible to train the next generation of intellectual leaders without a powerful research program. The working group recommends identifying a Dean of the Graduate School who is a proven leader in graduate education at the national level and one who is committed to supporting the cross-campus integration of graduate education and research is a hallmark of UW-Madison.
- **Faculty and staff governance.** Active researchers on the ground are usually the people who are best placed to predict the future directions of their fields and know the obstacles that stand in the way of successful new discoveries and inventions. This means that a strong university research enterprise will always invite input and decision-making by those who are active in research. Wisconsin's robust and effective tradition of shared governance, with appropriate modifications to governance committees that are driven by the new structure, will therefore be essential to the success of the new enterprise.

PROPOSAL FOR A NEW STRUCTURE

In response to our charge from the University Committee, the working group considered several different structures: the existing structure, which combines the Vice Chancellor for Research with the Dean of the Graduate School, the structure described in the charge to us from the University Committee and the Chancellor, which separates the positions, and a third structure that is common at many other campuses, where the Dean of the Graduate School has no formal reporting role to the Vice Chancellor for Research.

We explored a variety of aspects within these structures: for example, we asked whether the Dean of the Graduate School should report to the Vice Chancellor for Research, the Provost, or the Chancellor; we asked whether dual reporting lines were feasible or desirable. We considered governance bodies and ways to integrate graduate education with research. We reflected on working teams, support staff, and the best ways to ensure visionary and responsive leadership. Our final recommendations are visualized in Appendix 1 (Figures 2-4).

The new VCRGE Office:

- **Vice Chancellor for Research and Graduate Education (VCRGE).** The working group recommends the creation of a new top leadership position that will be responsible for the cross-campus research enterprise and also ultimately accountable for graduate education. We have heard many voices argue that we urgently need a research enterprise that has a stronger voice in shaping national research agendas, and that can develop new resources—industrial contacts, gifts, and foundation support—for research. The VCRGE needs to have an influential presence in national leadership contexts, and needs to provide support and rewards for faculty to sit on the boards of foundations, blue ribbon commissions, and agency and foundation advisory bodies. This Vice Chancellor should be responsive to all research on campus, including the work of individual investigators across campus and research centers that are currently housed within the Graduate School and beyond. The new VCRGE will report directly to the Chancellor, as is currently the case for the Vice Chancellor for Research and Dean of the Graduate School. A new Dean of the Graduate School will report to this Vice Chancellor in order to foster the continued integration of research with graduate education.

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- **Associate Vice Chancellors.** The new office of the Vice Chancellor must be able to act as a strong advocate for the broad range of research going on across campus and be responsive to faculty. To help to ensure success in this, we recommend that the divisional Graduate School Associate Deans become Associate Vice Chancellors that report to the VCRGE. We further recommend that the Associate Vice Chancellors continue the research-related roles of the current divisional Graduate School Associate Deans in areas such as crafting faculty start-up and retention packages, overseeing the Fall Research Competition, and working closely with local or campus-wide research centers. We also recommend that the Associate Vice Chancellors be charged to develop new external opportunities, including developing new funding streams and maintaining close contact with campus researchers as part of an effort to expand the role of UW in shaping the national research agenda. These Associate Vice Chancellors appointments should be in general 50% time, generally fixed at five year terms, so that high-profile faculty actively engaged in research will seek these positions.
- **Research Policy.** The VCRGE's office will continue to have responsibility for the compliant operations of research on campus. Since compliance and safety regulations entail complex discussions and negotiations to match them to the specific needs of every campus, we recommend retaining Research Policy as part of the work of the VCRGE's office. The Associate VCs will help to execute, negotiate, and refine policy from Washington, collaborating on the crafting of new campus and national policies and making strategic plans for future regulations.
- **Shared Governance.** The shared governance body to the Chancellor is the University Committee, and the University Academic Planning Council is the shared governance body for the Provost. To be consistent with other campus leadership positions, the VCRGE will need a shared governance committee: we recommend a new body called the **University Research Council**. It would include the VCRGE, the Dean of the Graduate School, and recognized research faculty and staff from all divisions. We recommend that the membership and structure of this committee should be determined by the University Committee after consultation with **this** working group, ASEC, and campus leadership. The Chancellor, Provost and Vice Chancellor for Administration and Finance meet weekly with the University Committee. Thus, we also recommend that the VCRGE should have regularly scheduled meetings with the University Committee to provide a clear line of communication from this office to the faculty senate.
- **Research and Sponsored Programs (RSP).** This office, so essential to the management of grants and awards, has been housed alternatively with the Graduate School and within the Vice Chancellor for Finance and Administration (VCFA) over the years, and has just completed a transition to the VCFA. We recommend that the University continue to examine the best home for RSP and assure a regular opportunity for dialogue between active researchers, as represented by the University Research Council, and RSP on issues related to research policy, as well as defining clear lines of communication between RSP, the VCRGE and the VCFA.

The Dean of the Graduate School:

We recommend a separate Dean of the Graduate School because we believe graduate education across campus needs a prominent, high-level academic leader wholly dedicated to its challenges and demands. We believe that the new Dean will lead us forward with: **an independent budget, new Associate Dean positions, and a mandate to innovate**. We recommend that the new Dean be delegated budgetary responsibilities for all existing duties and programs currently staffed by the Graduate School. In order to maintain the integration of research and graduate education, we recommend a reporting line from the Dean of the Graduate School to the VCRGE.

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There are several reasons why we think that our proposed structure will enhance the ability of the new Dean of the Graduate School to be a campus leader on matters associated with graduate programs. In this new structure, the DGS will have direct connection to the VCRGE on research matters that relate to graduate education, full membership on the Dean's Council, and regular briefings like other Deans with the Provost on academic matters associated with graduate initiatives. Thus, we feel that the proposed reporting structure will help ensure that the new Dean of the Graduate School can advocate for initiatives needed to promote future campus leadership in academic and research matters that will enhance graduate education.

- **Independent budget line and control over resources.** The new Dean of the Graduate School should be charged to shape an exciting new vision. To do so will require having authority over a dedicated budget. Our working group is strongly committed to enhancing the strength of the UW Graduate School, which we see as essential to the whole University. We have learned that a split position at other institutions has sometimes substantially weakened graduate education. We are concerned about funding for the Graduate School at a moment when the campus is considering the shift to a performance-based budget allocation model. The crucial work of the Graduate School should not be overlooked as base budget allocations are being developed. Without an independent budget, it will be difficult to recruit a visionary Dean of the Graduate School, and the new dean will be unable to shape graduate education for the future.
- **New Associate Dean positions.** We propose inviting the new Dean of the Graduate School to create two new rotating 50% Associate Dean positions, according to emerging priorities. One such position might be an Associate Dean for New Initiatives, who would help the Dean to identify new sources of revenue for graduate education or mentoring; guide new program development, perhaps including new professional masters programs; enhance the existing professional development programs; and increase attention to postdoctoral educational programming. We recommend that the three Graduate School leaders--the Dean and the Associate Deans—come from different divisions in order to bring to the Graduate School the fullest range of divisional perspectives. The new Associate Deans will also have leadership responsibilities for overseeing program reviews, the creation of new graduate programs and certificates, and graduate fellowships and recruitment. To ensure the integration of research and graduate education, we recommend that the Associate Deans work in close collaboration with the Associate Vice Chancellors.
- **Shared governance.** GFEC, the committee responsible for the review of graduate programs and policy, will continue its functions with the Graduate School; this will help ensure the continuing integration of graduate education with research. GS-CASI will continue to represent the more than 750 academic staff from the existing Graduate School but will now report to the VCRGE. The APC of the Graduate School will remain a governance body under FPP guidelines.
- **Relation to the Provost.** In order to preserve the integration of graduate education with research, we propose a reporting line from the Dean of the Graduate School to the Vice Chancellor for Research and Graduate Education. If graduate education falls under the authority of the VCRGE, it cannot also fall under the authority of the Provost, who is the University's Chief Academic Officer. And yet, to move graduate education to the Provost's office would introduce a new, and potentially damaging, separation between graduate education and research. To preserve said integration, we recommend that the Dean of the Graduate School report to the VCRGE but that s/he be a fully vested member of the Dean's Council and have the opportunity to brief the Provost regularly. We note that the University does have at least one other reporting structure of this kind: the Vice-Chancellor for Medical Affairs and Dean of the Medical School, who reports directly to the Chancellor and serves on the Dean's Council.

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- **Administration.** We recommend that the staff members who are currently responsible for information technology, human resources, and accounting in the current VCR-DGS office continue to have their work distributed across research and education in the new structure. These functions successfully serve both units now, and it would be cumbersome and costly to create to new administrative teams where one team can serve both offices successfully. Independent of structure, it seems possible that additional resources will be needed to support the combined activities effectively.

Integration of Research and Graduate Education:

- **Leadership meetings.** We heard repeatedly that one successful mechanism for ensuring broad divisional representation and the continuing integration of graduate education and research is the current weekly meeting of the current Vice Chancellor for Research/Dean of the Graduate School leadership team. We recommend continuing this practice, and to include the Vice Chancellor, the Associate Vice Chancellors, the Dean and Associate Deans of the Graduate School so they will have frequent opportunities to address issues of overlapping concern.
- **Integration of graduate education with research.** In addition to their roles in research-related matters, the Divisional Associate Deans in the Graduate School, as it is currently structured, oversee program reviews, the creation of new graduate programs and certificates, and graduate fellowships and recruitment, all points where the health of the University's research program intersects with the quality of graduate education. We recommend that the Associate Vice Chancellors continue to participate in discussions of graduate education through their membership on the Graduate Faculty Executive Committee and Graduate Research Scholar Governance Committee and that they work in close collaboration with the new Associate Deans for Graduate Education on existing and new initiatives that occur at the intersection of research and education. We recommend a change to FPP to allow the new Associate VCs to be ex officio members of GFEC. In these ways, the Associate Vice Chancellors will continue to have an ongoing, active stake in the integration of graduate education with research.

PROPOSAL FOR TWO NEW TASKFORCES

Two questions surfaced repeatedly in many conversations this working group conducted. They remain beyond our purview to resolve, but we wish to recommend two taskforces to address these complex issues that affect the success of research on campus.

- **A taskforce on research centers.** Currently, some research centers reside in the Graduate School. Others are in schools or colleges. Should they be redistributed or restructured? What are the advantages and disadvantages of the current structures for centers?
- **A taskforce on safety.** Some faculty and staff recommend that biological, chemical, and radiation safety should report to the VCRGE. Safety is a large and complex organization, however, with staff who have multiple responsibilities. We recommend a taskforce to address a possible restructuring of the safety office and its oversight structures to improve the integration of mandated activities with research teams, to encourage the campus to be proactive in anticipating and meeting new guidelines, and to provide better operational alignment with campus administration, finances and facilities.

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Appendix 1. Figures

FIGURE 1. Current UW-Madison reporting structure for VCR-DGS

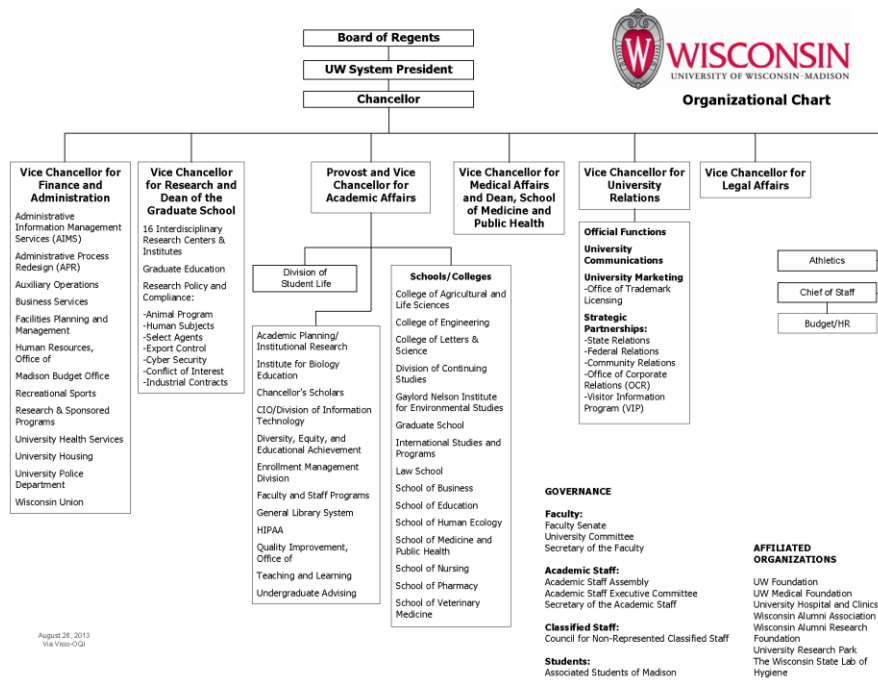
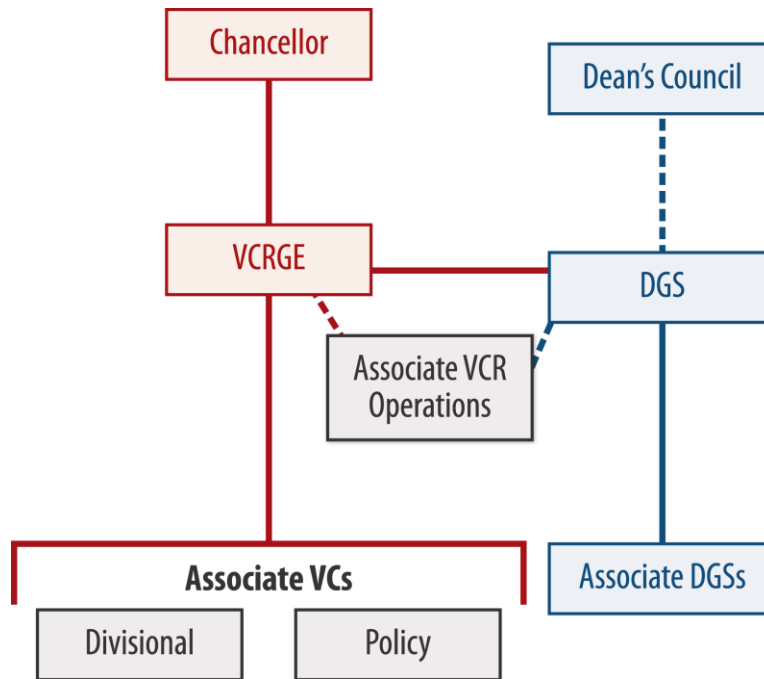


FIGURE 2. The proposed leadership structure



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FIGURE 3: The VCRGE office

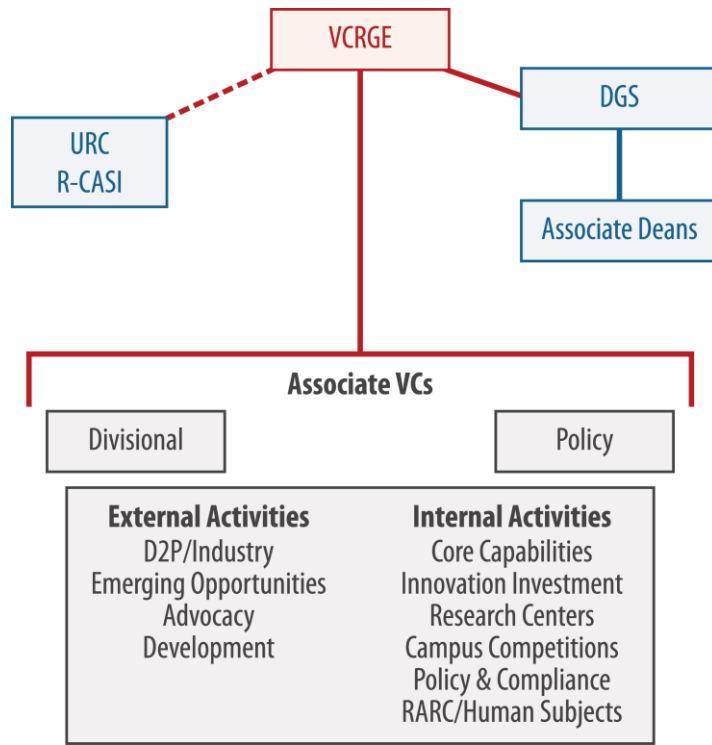
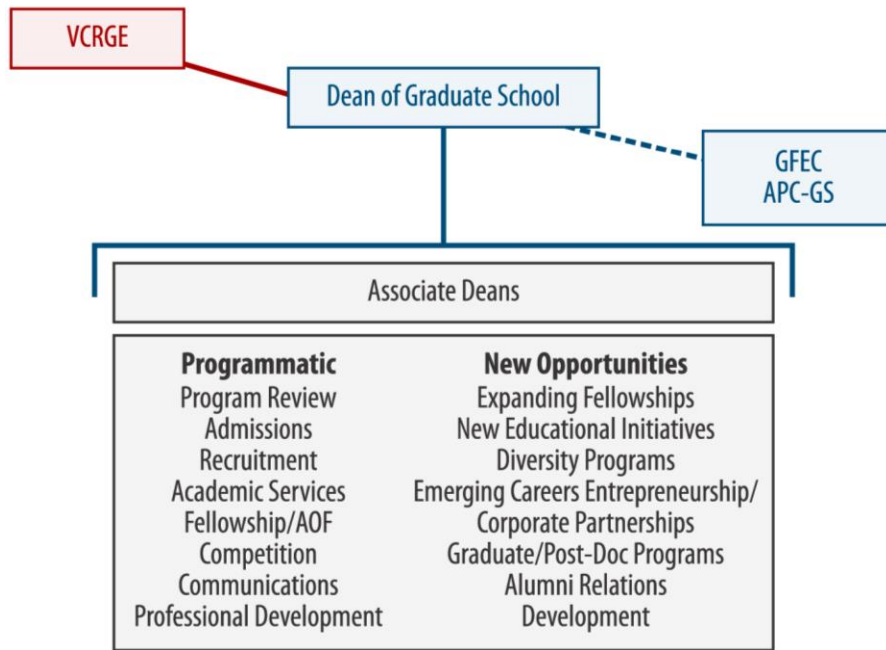


FIGURE 4. The Dean of the Graduate School



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Appendix 2. Working Group Meetings

The working group has met at least once per week during and outside campus hours since we were charged in order to meet our charges in a timely and deliberative manner. During the course of our deliberations, we have met individually with Martin Cadwallader, current VCR & DGS, as well as stakeholder groups, including:

- University Committee (suggested by working group): January 6, 2014
- Dean Cadwallader (suggested by working group): January 10, 2014
- Graduate School Associate Deans (suggested by working group): January 10, 2014
- Associate VCRs (suggested by working group): January 10, 2014
- R. Timothy Mulcahy – Retired-VPR University of Minnesota & former-GS Associate Dean UW-Madison (suggested by Chancellor Blank and members of the working group): January 21, 2014
- Associate Research Deans (suggested by working group): January 17, 2014
- Dean’s Council (suggested by Provost and working group): January 22, 2014
- GS-CASI committee (requested by CASI committee): January 29, 2014
- GFEC/APC of the Graduate School (suggested by working group and requested by GS representatives): January 31, 2014
- Classified Staff Executive Committee: proposed for February 20, 2014
- Academic Staff Executive Committee: proposed for February 20, 2014

In addition, we solicited input from the campus community by posting an announcement in *Inside UW-Madison* and by asking the deans of the schools and colleges to post requests for information in their individual electronic newsletters. Individual members of the working group interviewed leaders in the research or graduate education enterprise at peer institutions in order to understand their system and identify issues, challenges and solutions that might transferable to UW-Madison.

As a consequence of our deliberations and the above discussions with stakeholders in the research and graduate education enterprise, we reached consensus on the following issues:

- i) that the research and graduate education missions of the university are crucial and linked
- ii) that each of these core activities is undergoing rapid change
- iii) that some of our practices have contributed to a growing gap in the human, fiscal and operational resources needed to meet these needs, and
- iv) that new structures, resources and positions are needed to capture new opportunities while nurturing the special programs that provide the margin of excellence for UW-Madison.

In February 2014, we sent the University Committee a working draft of our recommendations so they could seek broad campus input in their deliberations. With help from the Secretary of the Faculty’s Office, we will hold two open meetings for faculty and staff in March 2014. Prior to these sessions, we will have provided background materials and requested questions from faculty and staff.

(continued)

Appendix 3. Materials Reviewed by the Working Group for Leadership Change

Charge to ad hoc committee to determine the needs and structure of the UW-Madison Research Enterprise (September 4, 2009)

(<http://www.news.wisc.edu/research-and-graduate-ed/docs/ResearchEnterpriseAdHocCharge.pdf>)

White Paper of the Academic Staff Ad Hoc Committee on the Research Enterprise (January 21, 2010)

(<https://www.secfac.wisc.edu/univcomm/ResearchEnterpriseReport.pdf>)

Report of the ad hoc committee to determine the needs and structure of the UW-Madison Research Enterprise (February 19, 2010) (<https://www.secfac.wisc.edu/univcomm/ResearchEnterpriseReport.pdf>)

University Committee Plan to Restructure the Research Enterprise (March 11, 2010)

(<https://www.secfac.wisc.edu/univcomm/ResearchEnterpriseReport.pdf>)

Faculty Senate Document 2190: Recommendation regarding the structure of the UW-Madison research enterprise (April 12, 2010) (<http://www.secfac.wisc.edu/senate/2010/0412/2190.pdf>)

2009 Campus Powerpoint on Proposed Research Structure (undated)

(<http://www.news.wisc.edu/research-and-graduate-ed/town-hall-meetings.html>)

Membership and duties of the Graduate Faculty Executive Committee, the Academic Planning Committee of the Graduate School, and Section 3.07 of FPP (which describes their composition and roles)

Graduate School Strategic Plan 2012-2017

(<https://grad.wisc.edu/wp-content/uploads/2013/11/Graduate-School-Strategic-Plan-2012-2017.pdf>)

PVL for Provost Search (<http://www.provost.wisc.edu/provostsearch.htm>)

2013 UW Madison Data Digest (http://apir.wisc.edu/datadigest/201213Digest/digest_13_web.pdf)

UW-Madison Leadership Organization Chart

(http://www.wisc.edu/about/leadership/docs/UWLeadershipOrgChart_20130826.pdf)

PVLs for the Graduate School Associate Deans & Associate Vice Chancellors for Research

The University Graduate Studies Officer as the University Research Officer. 1992 Zar, Jerrold H. SRA Journal; 24:1.

Report to the President - Transformation and opportunity: The future of the U.S. research enterprise. President's Council of Advisors on Science & Technology, November 2012:

(http://www.whitehouse.gov/sites/default/files/microsites/ostp/pcast_researchenterprise_pressrls_20121130.pdf)

(http://www.whitehouse.gov/sites/default/files/microsites/ostp/pcast_future_research_enterprise_20121130.pdf)

2013 Base budget forecast model from Vice Chancellor for Administration & Finance

http://www.news.wisc.edu/system/assets/51/original/Base_Budget_Forecast_memo.pdf?1377105281

Memo to Chancellor Blank & University Committee from Graduate School Associate Deans on the Future of the Graduate School (December 2, 2013), available upon request.

Memo from the University Committee establishing the working group (December 6, 2013)

(continued)

**Appendix 4 – Request for community input to the Working Group for Leadership Change
Inside UW-Madison (7 January 2014): <http://www.news.wisc.edu/22422>**

Working Group to Explore Revised Research Leadership Structure

As a follow-up to the establishment of a UW-Madison Vice Chancellor for Research in 2010, the University Committee and Chancellor Rebecca Blank have appointed a working group to explore the efficacy of a leadership structure within the research enterprise that involves two positions – a Vice Chancellor for Research and Graduate Studies and a Dean of the Graduate School.

The working group is chaired by bacteriology Professor Tim Donohue and includes engineering Professor Susan Babcock, animal sciences Professor Mark Cook, oncology Professor Michael Gould, social work Professor Jan Greenberg, English Professor Caroline Levine, and Graduate School Associate Deans Daniel Kleinman and Petra Schroeder.

The group has begun meeting with campus stakeholders. By mid-February, it will produce a report for the University Committee and Chancellor Blank, which will then be presented to the Faculty Senate in March. Comments and questions can be directed to the group via workinggroup@uc.wisc.edu

(continued)

Appendix 5 - Duties of Existing Graduate School Governance Units

Graduate Faculty Executive Committee

<http://grad.wisc.edu/gfec/>

The Graduate Faculty Executive Committee (GFEC) exercises the powers of the graduate faculty with respect to establishing, reviewing and modifying graduate degree programs, named options, graduate/professional certificates, and capstone certificates.

The GFEC is also responsible for:

- setting standards for admission and degree requirements;
- evaluating and recommending actions on student appeals;
- engaging in strategic planning discussions, such as graduate student recruitment, professional development, and learning outcomes;
- focus on other relevant graduate education policy concerns.

For a description of GFEC-related processes, or for assistance in planning a graduate program approval or review, please see [GFEC Member Resources](#). Membership selection, functions and procedures of the GFEC are defined by [FPP 3.07](#).

Academic Planning Council of the Graduate School (APC-GS)

http://www.secfac.wisc.edu/governance/fpp/Chapter_3.htm#307

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:

1. Program review and the future development or contraction of graduate programs.
2. 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.
3. Policies and budget decisions for service facilities operated by the Graduate School.
4. Policies and budget decisions relating to research centers administered by the Graduate School.
5. 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.

GS-Committee of Academic Staff Issues

<https://kb.wisc.edu/gsadminkb/page.php?id=30405>

The GS Committee on Academic Staff Issues (GS-CASI) exists to advise the Dean on matters of concern to Academic Staff. The Dean may ask us for advice and we may volunteer advice to the Dean. We welcome [input](#) from Academic Staff about issues we are considering and about any other issues of concern to you.

(continued)

Responsibilities of the CASI include but are not limited to:

- Representing Graduate School academic staff in the development and review of all Graduate School policies and procedures concerning Graduate School academic staff
- Promoting a positive climate and enhance an appreciation for diversity among Graduate School academic staff
- Advising the Dean on Graduate School program decisions likely to affect promotional opportunities or lead to nonrenewal or layoff of Graduate School academic staff
- Recommending opportunities for participation of Graduate School academic staff in governance
- Recommending opportunities for recognition of Graduate School academic staff contributions to the excellence of the Graduate School
- Recommending mentoring and professional development programs for Graduate School academic staff
- Representing the Graduate School academic staff in communications to the Academic Staff Assembly (ASA) and its Standing Committees, the Academic Staff Executive Committee (ASEC), the Academic Staff Public Representation Organization (ASPRO), other campus committees, and the Secretary of the Academic Staff
- Serving as a forum for discussion of the concerns of Graduate School academic staff.

(continued)



December 6, 2013

To: Susan Babcock, professor, Department of Materials Science and Engineering Mark Cook, professor, Department of Animal Science
Tim Donohue, professor, Department of Bacteriology Michael Gould, professor, Department of Oncology Jan Greenberg, professor, School of Social Work Daniel Kleinman, associate dean, Graduate School Caroline Levine, professor, Department of English Petra Schroeder, associate dean, Graduate School

From: Michael Bernard-Donals, chair, University Committee

Re: Charge to the Working Group on Leadership Changes in the Office of the Vice Chancellor for Research/Dean of the Graduate School

Over the last four years, the demands placed on the Vice Chancellor for Research and Dean of the Graduate School (VCR/DGS) have grown substantially. These demands have increased at a time when the need for leadership in the graduate school and the university's research enterprise are greater than ever. With these growing demands and responsibilities, the University Committee and the Chancellor have engaged in discussions regarding the structure of leadership in the research enterprise and the graduate school.

The Chancellor is concerned that the current job is too large, combining both responsibilities for research leadership and programmatic work as Dean of the Graduate School. Top candidates for Vice Chancellor are likely to find the list of responsibilities unreasonable in one job. Since much has changed in the nearly 4 years since the VCR/DGS position was proposed, the UC and chancellor believe that the structure of leadership in the research enterprise needs to be reexamined.

University Committee

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(continued)

The Working Group on Leadership Changes in the Office of the VCR/DGS is charged with exploring the efficacy of a leadership structure within the research enterprise that involves two positions – a Vice Chancellor for Research and Graduate Studies (VCRGS), and a Dean of the Graduate School (DGS). The DGS would report directly to the VCRGS and would remain in the same office. The VCRGS would continue to have oversight responsibility for the operations and funding of the graduate school enterprise, but the programmatic and financial work of that office would be the responsibility of the DGS. The DGS would meet regularly with other Deans and have full standing within that group.

With this proposal in mind, **the working group is charged with identifying the issues that would need to be resolved in the following areas:**

- **Assuring the continuing close association of research and graduate education;**
- Assuring an effective relationship between the major research centers and the leadership structure;
- Assuring effective governance structures (including GFEC, the graduate school APC, and CASI), to maintain faculty and staff engagement with graduate school and research policy;
- Assuring that the WARF gift continues to be effectively administered in a way that benefits research and academic exploration across campus, including the role of divisional representatives;
- Assuring that the DGS has an appropriate relationship to the other deans and the Office of the Provost, while reporting to the VCRGS;
- Suggesting options to assure an effective utilization of and a clear reporting structure for the academic associate deans.

The Working Group is charged with identifying any issues that the creation of two leadership positions (VCRGS and DGS) might create in these areas and making recommendations on how to resolve such issues in a way that ensures the close connection of graduate education to the research enterprise, effective leadership for graduate education by the DGS, and the opportunity for the VCRGS to effectively advocate for UW's research interests nationally and to lead the university's research and entrepreneurial activities locally.

If at all possible, we would like to have your written report – addressed to the University Committee and the Chancellor – by 15 February 2014.

Attachment

c: Rebecca Blank, chancellor
Andrea Poehling, secretary of the faculty