

# University of Wisconsin, Milwaukee (UWM) Graduate School Reorganization

## Executive Summary

This document outlines a plan to support the growth of UWM's graduate education and research as an inextricably linked whole, consistent with the Working Group on the Graduate School, and clearly focused on enhancing UWM's reputation as top tier urban research university<sup>1</sup> while promoting the level of excellence expected in a research university with an increasing international reputation<sup>2</sup>. The document lays out the following organizational framework and priorities for investment:

### **Organizational framework and Phase 1 Implementation plan:**

- The Vice Chancellor/Dean of the Graduate School will work with Associate Deans and the Graduate School staff as a cross-functional team to support UWM's growth and excellence in graduate education/research.
- Phase 1 will include the recruitment and establishment of three Associate Deans based on three of the Divisional Committees: Natural Sciences, Social Sciences and Arts and Humanities. The schools and colleges that are part of the Divisional Committee for the Professions will be allied with the others.
- The position of Director of Sponsored Programs will be filled.
- Other vacant positions in the Graduate School will be filled.

### **Long Term Challenges and Opportunities in Graduate Education/Research**

The challenges and opportunities below will be refined in concert with the new associate deans, graduate school staff and the governance committees.

- ***Support for graduate students:*** Increased funding for graduate students is a priority. This should encompass innovative ways to increase funding mechanisms for all graduate students. This should include a focus on external funding for stipends and assistantship. We need to increase both the number and level of internally assistantships and fellowships, bringing them to the median national level and adjust annually to remain competitive.
- ***Research support to faculty, staff and students:*** UWM needs a substantial investment for equipment and personnel that directly support research. Priorities should include core facilities with state-of-the-art equipment, other critical research infrastructure (e.g. statistical services in the social sciences) and a library with adequate resources both in book and journal collections. Research grant administration within the schools and colleges is not consistently strong. Currently there is a gap that needs to be overcome; a funding model is proposed.

---

<sup>1</sup> A top tier urban research university is defined by metrics such as research expenditures, publications, doctoral and masters graduates compared to our urban competition.

<sup>2</sup> A research university with an international reputation is defined by metrics such as those used in the Shanghai 500.

- ***Inter/multi-disciplinary graduate programs:*** Support mechanisms for new and existing inter/multi-disciplinary graduate programs will be developed by the Associate Deans, faculty and other stakeholders. It is possible that research centers and institutes within the graduate school or in other colleges could administratively house such programs.
- ***Inter/multi-disciplinary research programs:*** The Associate Deans will work with faculty, research staff and schools/colleges to advance the development of new and existing inter/multi-disciplinary research programs, centers and institutes. Resources to support such programs are critically needed with one funding model proposed.
- ***Support for graduate programs and services for students:*** Many services to graduate programs, faculty, staff and graduate students are currently provided. Expansion in the numbers of graduate students and graduate programs increases the workload. Professional development programs for graduate students will be strengthened. A funding model tying resources dedicated to support of graduate programs and student is proposed.
- ***Technology Transfer and Economic Development:*** Research universities across the world license technology developed by faculty, staff and students. The rationale for support in this arena comes both from a faculty and community perspective. There is need for additional professional staffing in the Office of Technology Transfer and Economic Development.

# REORGANIZATION PLAN

This document outlines a process to address a number of issues, priorities, and recommendations specific to the current Graduate School reorganization. The main topics are: a proposed plan for the Vice Chancellor and Dean of the Graduate School and associate deans and their scope of responsibilities, a timeline for appointment of associate deans and other staffing together with a set of challenges to UWM's becoming a top-tier research university and recommendations to address these.

## **I. ORGANIZATIONAL FRAMEWORK & PHASE 1 IMPLEMENTATION PLAN**

There has not been a consistent practice for filling either vacant staff or associate dean positions. Openings were placed on hold first during the "soft freeze" in 2009, then on pending the conclusions of the Working Group and then ensuring that a reorganization plan acceptable to governance committees and other constituencies.

**A. Associate Deans (or possibly Associate Vice Chancellors):** The Graduate School at UWM had two associate deans (1.25 FTE) until June 30<sup>th</sup> 2009. A hold on filling associate dean positions has been in place since the proposal to split graduate education from research, the working group and subsequent discussions with Graduate School staff and governance committees. Currently, Associate Vice Chancellor Arredondo is devoting a minimum of 25% of her time to graduate education.

**Plan:** The Vice Chancellor and Dean of the Graduate School will work in a seamless manner with a team of Associate Deans together with Graduate School staff as a cross-functional team to support UWM's growth in research and graduate education. Based on the recommendation from the GS Working Group, Phase 1 will have three Associate Deans based on the three divisions of L&S with units from the Division of the Professions distributed. This plan will employ 1.25 FTE (previously held by associate deans) supplemented with 0.25 FTE by reallocation within the Graduate School. In addition, the leadership team would include associate deans for research and graduate education in various schools and colleges. As graduate programs, student numbers and research at UWM grow, additional resources will be requested for Phase 2 with an additional associate dean.

### **Position Description: Graduate School Associate Deans (3)**

There are three 50% appointments open to current tenured faculty of the University of Wisconsin Milwaukee, one each from the following schools, colleges and departments:

#### **Associate Dean of Arts, Humanities and Architecture**

L&S Humanities and Communication [Art History, Communication, English, Foreign Language and Linguistics, French, Italian and Comparative Literature, Philosophy, Spanish and Portuguese]  
School of Architecture and Urban Planning  
Peck School of the Arts

#### **Associate Dean of Natural and Biomedical Sciences and Engineering**

L&S Natural Sciences [Biological Sciences, Chemistry and Biochemistry,  
Geosciences, Mathematical Sciences, Physics]  
College of Health Sciences  
College of Nursing  
School of Public Health  
School of Freshwater Sciences  
College of Engineering and Applied Science

**Associate Dean of Social Sciences, Education and Business**

L&S Social Sciences [Africology, Journalism and Mass  
Communication, Anthropology, Political Science, Economics, Psychology,  
Geography, Sociology and History]  
School of Education  
Lubar School of Business  
Helen Bader School of Social Welfare  
School of Information Studies

**Overview:** The three Associate Deans along with the senior staff of the graduate school will constitute the cabinet of the Vice Chancellor for Research and Dean of the Graduate School. This cabinet will work together to nurture, grow and promote graduate education, research and scholarship at UWM.

Within each of their areas of responsibility the three associate deans will take a leading role in planning for and review of new and existing graduate programs, including innovative non-traditional programs or program delivery. Additionally, each will provide oversight and advice for program reviews, program changes and curricular issues within their purview based on current national best practices.

Each will also take a leadership role in promoting research and scholarship as practiced in their areas. Each will be expected to develop expertise in the funding sources available in their areas and advocate for UWM and its scholars with these funding sources.

It is expected that each will advocate for interdisciplinary and multi-disciplinary initiatives in education and research by convening faculty working on related topics or methods from multiple departments or college or outside the university to work together to expand opportunities including the creation of centers or other institutional structures. It is expected that each will have a holistic view of issues and stay abreast of national educational practices especially those of the Council of Graduate Schools and similar organizations. They will be spokespersons for graduate education and research in all its manifestations.

The associate deans will work closely with senior staff to improve and smooth the administrative functioning of the graduate school including services related to students, faculty and staff. The Associate Deans will share responsibility for oversight of administration of internal grant and support programs, but may divide specific involvement as they see fit for equitable time management.

As faculty members the Associate Deans will play key liaison roles with the faculty and leadership of their respective schools, colleges and departments. They will work with

school and college faculty and staff as well as staff to the graduate school to assist graduate students with their professional development including the knowledge and internalization of strong research ethics. The associate deans will share and divide responsibilities for working with relevant faculty governance committees including Graduate Faculty Committee (GFC) and Research Policy Committee (RPC).

**Selection Criteria**

- Tenured faculty members in one of the departments, schools and colleges within the relevant area
- Evidence of ongoing scholarship and continued commitment to scholarly excellence.
- Demonstrated success in leadership and collegial team building and problem solving
- Experience with governance committees
- High integrity
- Ability to appreciate diverse holistic view of academic inquiry and research
- Demonstrated commitment to innovation
- Success in securing outside research support preferred

Responsibilities	DEAN OF THE GRADUATE SCHOOL and Vice Chancellor for Research and Economic Development	Associate Dean Natural and Biomedical/Health Sciences and Engineering	Associate Dean Social Sciences, Education and Business	Associate Dean Arts, Humanities and Architecture
Consult with school/college specific dean regarding research plans & graduate education,	X	X	X	X
Collaborate with sponsored res staff collectively for planning and operations	X	X	X	X
Collaborate with senior staff regarding graduate education and enrollment planning	X	X	X	X
Collaborate with	GFC & RPC	GCC, GPR	GCC, GPR	GCC, GPR

governance chairs and staff for smooth functioning		Fellowships	Fellowships	Fellowships
Attends meetings as needed per agenda	GFC, RPC, GCC, GPR, Fellowships	GFC, RPC, GCC, GPR, Fellowships	GFC, RPC, GCC, GPR, Fellowships	GFC, RPC, GCC, GPR, Fellowships
Establish external partner relationships with respective deans and relevant faculty	X	X	X	X
Collaborate to facilitate international education opportunities	X	X	X	X

**B. Current staff vacancies:** There are a number of open staff positions. These include the following:

1. A student status examiner in the Office of Graduate Academic Programs and Student Services (presently being recruited),
2. A Director of the Office of Sponsored Programs,
3. A proposal development/coordinator,
4. Administrative assistant,
5. Two positions related to graduate student development/recruitment/fellowship, IT.
6. Director of economic development.

**Recommendations:**

- There should be rapid action to fill all vacant staff positions in a timely manner, ideally no later than December 2010.
- An operating principle is to have sufficient staff who are cross-trained to ensure ready succession planning and implementation.

## II. LONG TERM CHALLENGES AND OPPORTUNITIES IN GRADUATE EDUCATION/RESEARCH

The goal is for UWM to be a premier research university; ranked among the top 100 universities in the USA with a committing commitment as an urban research university. The Graduate School plays a critical role in reaching these aspirations. State support for UWM per student is much closer to that of comprehensive universities rather than those of that of the other research university. Moreover, overhead on external grants and income from licensed technology presently provides limited support to UWM's programs. It is not surprising that UWM departments and programs do not receive the level of resources needed.

There are a number of responsibilities that lie within the purview of the Graduate School that have been also under review. The growth in graduate student enrollment, the importance of graduate program and student excellence and the reputation of UWM's graduate programs, graduates, and research rankings require on-going attention. The challenges and opportunities below will be refined in concert with the new associate deans, graduate school staff and the governance committees.

### Challenges and Opportunities

**1. *Support for graduate students:*** Increased funding for graduate students is a priority. This should encompass innovative ways to increase funding mechanisms for all graduate students. This should include a focus on external funding for stipends and assistantship. We need to increase both the number and level of internally assistantships and fellowships, bringing them to the median national level and adjust annually to remain competitive.

The aggregate quality of our graduate programs contributes greatly to the overall reputation of UWM. For all doctoral programs and many masters programs, university funding is critical to attract the strongest students. Doctoral programs in the humanities, arts and qualitative social sciences are particularly dependent upon university funding to attract and retain excellent students. Support for graduate education in the form of additional Teaching Assistantships serves both the research and teaching missions of UWM. Graduate TAs provide teaching services at a relatively low cost to the university. Graduate TAs help manage the growing workloads of undergraduate teaching for faculty, indirectly enhancing research productivity and freeing faculty time to advise rising numbers of graduate students. They also offer additional opportunities for professional mentorship between faculty and graduate students, and enrich graduate education by allowing students to cultivate important transportable skills. Our students will be better prepared for a competitive postgraduate marketplace if they have more teaching experience, and such opportunities help UWM attract excellent students.

Graduate cohorts represent, on the whole, greater cultural and socio-economic diversity and gender balance than the body of faculty. Their ability to connect with undergraduates and recognize their difficulties constitutes a critical piece of the puzzle in recruiting and retaining a more diverse undergraduate population.

Support for graduate education in the form of research assistantships and project assistantships can directly increase the research productivity of faculty and of the university as a whole. The probability of success for graduate student researchers seeking outside research funding is increased by evidence that the university has already recognized their high potential. It reflects well on UWM when our students can bring in their own fellowship support.

The McNair and AOP programs are assisting our efforts to recruit a more diverse student body.

**Recommendations:**

- Support for graduate students should be a high priority for the institution, for instance for future DINs and development (e.g. fundraising from alumni and others) activities.
- An important objective will be that the level for assistantships at UWM to be at least at the national median and adjusted annually. The Graduate School will take a strong advocacy role.
- When resources become available in the Graduate School, support for graduate students will receive priority. As overhead grows, it is possible to envision increasing the number of fellowships awarded by the Graduate School by 10 in AY11/12.
- In addition we will be looking for innovative ways to increase funding for all graduate students.
- Our efforts to attract a more diverse graduate student body need to be intensified. A committee of faculty and graduate school staff (chaired by one of the associate deans) will be charged with developing a plan for implementation in Spring 2011.

**2. Research Support to Faculty, Staff and Students:** Infrastructural support for research is severely lacking at UWM with few core facilities (i.e. facilities with state-of-the-art equipment such as our electron microscope facility and our developing high performance computing cluster) and other critical research infra-structure missing (statistical services in the social sciences, chemistry and physics stock rooms), substandard (e.g. our electronic journal and other collections in the library and size of the vivarium) and/or not coordinated across schools and colleges (e.g. machine shops). Experience from other universities is that in the long term, such core facilities will be self sustaining using the model of a charge back system from grants/contracts and from industry. However, there is a need for substantial early investment for both equipment and high caliber support personnel. Moreover, our library needs more adequate research resources, first and foremost in the form of books and journals.

**Recommendations:**

- Resources for such infra-structural support are a high priority. There is a need for substantial investment (a minimum of \$1-2 million per year for equipment and personnel for 5 years) in infra-structure that directly supports research. In addition, on-going support might be accomplished by dedicating a fixed percentage of the increase in overhead to support research infra-structural support.

- Support for the research collections of the library is required.
- The Research Policy committee should be charged with evaluating the RGI.
- The RGI provides important support for faculty seeking external grants such that preliminary data can be development, there is insufficient funding for areas where external funding is not available. With some further investment, basic grants available to continuing faculty through the Graduate Research Committee to seed independent research projects can be brought to a level to allow support of graduate students performing dissertation research.

**Other support to researchers** is needed and includes the following:

**A. Proposal development:** There is a need to move up the level of support and the staffing provided by Office of Research Development including the following: professional development in grant writing and managing research groups for ongoing and new researchers; coordination of complex proposals including center proposals, budget preparation, and proposal writing.

**Recommendation:**

- Increased support for faculty and staff seeking external grants is needed. A grant coordinator is slated to be hired to assist faculty developing large grant proposals. There is need for additional staffing in the Office of Research Development including additional grant writers/coordinators. This could be funded from increases in overhead (at \$100,000 in FY11).

**B. Pre- and post- award management at the Schools and Colleges** is mixed and is not at the level in a tier one research university. In our competition, there are professional staffs at both departmental and college levels. Detailed information was requested by the working group and not received. Reports from faculty and RPC indicate inadequacies in the system.

**Recommendation:**

- A funding model is proposed tying resources dedicated to the support of funded research at the schools and colleges to the level of external funding to UWM. One approach would be to assign a percentage (say 10%) of the increase in overhead to support of funded researchers (i.e. support/management for external awards) at the departments, schools and colleges.

**C. Office of Sponsored Programs** provides both pre-award and post-award services to faculty and academic staff. As we experience continuing expansion in the numbers of research active faculty and staff and hence in the number of proposals, grants, contracts and awards, the work of this office increases. The level of staff has been brought to a level appropriate to UWM's research productivity with DIN and other funding. As we grow the size of our externally funded programs and faculty/staff with funded awards, there will be pressure on the staff within the Office of Sponsored Programs. There is again little scope for economies of scale. Increased external funding without adequate personnel in the office could result in the risk of reductions in the quality of service with,

for instance, proposals not submitted in time and penalties imposed by Federal auditors for lack oversight of awards.

**Recommendations:**

- A funding model is required tying resources dedicated to the Office of Sponsored Programs to the level of external funding to UWM. One approach would be to assign a percentage (say 3%) of the increase in overhead to support Sponsored Programs and research development.
- Funding is available for faculty and research staff to visit Federal agencies, foundations and other funding sources. This should continue as should the funding of travel for faculty and research staff to visit potential collaborators for a specific grant application.
- Professional development programs (such as “Writing a winning proposal”) are available to faculty and research staff through the Graduate School to improve the quality of grant applications. These should continue.
- Across UWM, the policies, procedures and practices go at a “snail’s pace” to quote a researcher. This applies to many facets of the university including HR, purchasing, travel and facilities. The Graduate School will take an advocacy role to ensure that processes are in place to enable research and a change in culture to “how can we help you”.

**3. Inter/multi-disciplinary programs:**

**A. Graduate programs:** There does not appear to be clear institutional and administrative support/responsibility for inter/multi-disciplinary graduate programs. There is an increasing trend for such graduate programs across the nation.

**Recommendation:**

- One of the responsibilities of the Associate Deans in the Graduate School will be coordination of inter/multi-disciplinary graduate programs working closely with faculty, staff and students. There need to be assistantships and other resources assigned to inter/multi-disciplinary graduate programs.

**B. Inter/multi-disciplinary research programs:** There is an increasing trend for inter/multi-disciplinary research programs across the nation frequently with centers and institutes. For instance, at Madison there are 17 research centers/institutes that report to the Graduate School with \$110 million in research expenditures from Federal grants per year. At UWM, there has not been clear institutional priority to develop further our array of such inter/multi-disciplinary research programs.

**Recommendations:**

- One of the responsibilities of the Graduate School Associate Deans will be to work with faculty, research staff and schools/colleges to advance the development of inter/multi-disciplinary research programs, centers and institutes. An organizational structure based on divisions will facilitate associate deans working closely with our existing programs, centers and institutes (e.g. 21<sup>st</sup> Century

Studies and Laboratory for Surface Studies) and working with faculty and other researchers to catalyze the further development of new programs, centers and institutes (potentially institutes for social science research, medical informatics and energy and sustainability).

- Resources to support such initiatives are critically needed. One approach is to dedicate a fixed percentage of the increase in overhead to multi-interdisciplinary research initiatives. The goal will be to establish at least one new center/institute during FY11.

**4. Services to Graduate Programs and Students:** The Graduate School provides many services to graduate programs, faculty, staff and graduate students. This includes oversight of student recruitment (with a goal of increasing number, quality and diversity), admissions, transcripts, fellowships, theses and dissertations, professional development, program review and support for governance committees. As we experience continuing expansion in the numbers of graduate students and graduate programs, there are concomitant increases in the workload. There is only limited scope for economies of scale. Thus, there is a growing tendency for staff to become overworked and stressed with the risk of reductions in the quality of service. With vacancies for staff positions unfilled, there has not been a focus on how processes might be simplified or re-engineered to ensure high quality service and that each step in a process has “value added”.

The staff of the Graduate School plays invaluable support roles for the Graduate Faculty Committee, its sub-committees (curriculum, fellowships, review of programs and research awards) and Research Policy Committee. The Graduate School is a resource for developmental opportunities for graduate students throughout the academic year. Currently, programs specific to sponsored research are available to faculty and staff but during the AY 2009-2010, workshops specifically for graduate students were limited. It is envisioned that workshops for 10/11 will include research ethics and preparation for the professoriate.

**Recommendations:**

- There needs to be a funding model tying resources that are dedicated to graduate academic programs and students to increased student numbers. The most reasonable approach to the issue of the increasing number of applications would be for the application fee to go to the Graduate School. Investigation of this is on-going but the option does not look promising. An alternative approach would be to assign a percentage (say 5%) of the marginal tuition from graduate students (for instance that marginal tuition between 80 and 85%).
- The professional development programs for graduate students will be strengthened.
- There will be an on-going program involving senior staff, associate deans, the GFC and the Grad Reps to examine processes with the goal of improving quality, responsiveness and communications. Technology will be employed to improve efficiency and timeliness.

- Staff support for governance committees will be examined to remove any unnecessary duplication.
- Generation of data for graduate program review will continue with refinement such that decisions can be data-driven.

**5. *Technology Transfer and Economic Development:*** Research universities across the world license technology developed by faculty, staff and students. The rationale for support in this arena comes both from a faculty and community perspective. From the perspective of providing faculty with the services expected in a research university, there needs to be strong and systematic UWM support for technology transfer (working with UWMRF).

The vision of UWM playing a significant role in economic development needs further development. What is envisioned include the following: development (or coordination) of a series of technology/creativity based business incubators/accelerators [Funding has already been received for such an incubator at GLRF and additional opportunities exist for US Department of Commerce EDA funding along with the Small Business Administration (SBA) and regional foundations], assistance to university spin-off and partner companies in preparing SBIR applications with sub-contracts to UWM and with mentoring, coordination of the availability of laboratory space and equipment to regional companies with fees set at a market rate. Among the metrics for success are the following: number of invention disclosures, patents, copyrighted materials, licenses, spin-off and partner companies, SBIR and STTR awards with sub-contracts to UWM, companies in UWM incubators.

**Recommendation:**

- There is need for more professional staffing in the Office of Technology Transfer and Economic Development.