

MOTION TO RESTRUCTURE UW-MADISON'S RESEARCH ENTERPRISE

Motion

Recommendation I: Retain a close relationship between research and graduate education within the Graduate School.

- A. ~~Maintain close association between the UW-Madison research enterprise and graduate education, with responsibility for both in a single administrative structure, which is the Graduate School. The UW-Madison research enterprise must continue its close association with graduate education, with responsibility for both in a single administrative structure, which is the Graduate School. Excellence in research and graduate education is a cornerstone of our mission. We educate through research, and the intimate relationship between the research enterprise and graduate education is a great strength and the foundation of our success as an institution. This structure underpins our strong training program for future research leaders. Without maintaining a strong connection to graduate education, a rigorous and robust research endeavor cannot be sustained.~~
- B. Existing Graduate School centers, including the Wisconsin Institute for Discovery, will remain in the Graduate School. These centers will be under the authority of the new vice chancellor for research and dean of the Graduate School (see Recommendation II.A.). The creation of new centers, as well as the restructuring of existing centers, will follow existing policies and procedures.
- C. ~~The Graduate Faculty Executive Committee of the Graduate School (GFEC) will be restructured, with expanded responsibility for both research and graduate education. Members of the new GFEC will be elected from each faculty division and will continue to serve four-year terms. The function of the new GFEC and its relationship to the Research Policy Advisory Committee requires further discussion. The structure of the Graduate School Academic Planning Council (APC), its relationship to a restructured GFEC, and representation thereon by academic staff, requires further discussion. All changes to the structure and function of GFEC and the Graduate School APC will require amendment of FP&P after due consideration by the Faculty Senate.~~
- ~~D.—~~The four divisional executive committees of the faculty shall annually each appoint one individual from their divisional ranks to be available as direct and independent advisors to the WARF Board of Trustees and to the chancellor in regard to the WARF resource allocations. ~~These appointed faculty members would, only upon request by the trustees, share their expertise and insight with the board. The chancellor shall routinely seek the advice and counsel of this group in the formulation of annual requests to the WARF board. The disposition of WARF funds by the university should be transparent to the WARF board.~~

Recommendation II: Create a new position of vice chancellor for research and dean of the Graduate School.

- A. Create a new position of vice chancellor for research and dean of the Graduate School to replace the current position of dean of the Graduate School with the working title of vice chancellor for research. The responsibilities for research and graduate education, and their close association, shall reside with the individual occupying this formally integrated position. Responsibility for either function, research or graduate education, shall not be fully delegated to other individuals. ~~This new formally integrated position for research and graduate education will report to the chancellor on matters of research and report to the provost on matters of graduate education.~~

- B. The WARF funds gift to the Graduate School will be under the authority of the vice chancellor for research and dean of the Graduate School, who, in consultation with the faculty, shall administer the allocation of those funds.
- C. Working closely with the four divisional associate deans (see Recommendation III.) the new vice chancellor for research and dean of the Graduate School will have responsibility to develop mechanisms within the Graduate School to: 1) document and integrate the existing efforts of faculty and staff on national advisory boards and other research agenda-setting activities; 2) seek out and stimulate engagement of members of our community in representing the visions of UW-Madison faculty and staff in emerging areas of research investment; 3) broker spokesperson and advisory roles for the campus with national and international bodies; and 4) serve as a clearinghouse for information gathering and sharing.

Recommendation III: Expand and support the roles of the four divisional associate deans of the Graduate School.

- A. The current duties of the four divisional associate deans that represent the four faculty divisions will be expanded to serve the new vice chancellor for research and dean of the Graduate School ~~not only in both research but also in and~~ graduate education. The appointment percentages of the divisional associate deans will be increased, as appropriate, to enable them to carry out their expanded roles. ~~In light of this expansion of the academic associate deans' roles and the principle of keeping graduate education and the research enterprise united, the new vice chancellor for research and dean of the Graduate School should consider whether a position at the level of associate dean for graduate education is necessary.~~

Recommendation IV: Move the Office of Research and Sponsored Programs (RSP), ~~and responsibility for compliance and safety~~ to the vice chancellor for administration.

- A. RSP and administrative responsibility and oversight for compliance functions, including chemical safety, biological safety, and radiation safety ~~will be~~ are assigned to the vice chancellor for administration. The vice chancellor for administration will create a new unit and administrative officer position to oversee research compliance and provide quality assurance. Adequate funding and continual evaluation of the performance of this unit must be assured. These functions, although essential to the research enterprise and to the university community as a whole, are largely administrative in nature and need not reside in the Graduate School. It is essential that clear lines of responsibility and accountability be delineated, including direct reporting from the administrator of research compliance and quality assurance to the chancellor, whenever federally mandated.
- B. ~~Create an~~ The Office of Research Policy under the new vice chancellor for research and dean of the Graduate School ~~to~~ will establish research policy for select functions for which federal law requires Institutional Official/Responsible Official oversight, federal mandates are in flux, terms or conditions are highly variable, or specialized research expertise is essential, ~~and to administer these functions.~~ The new Office of Research Policy will also oversee ~~pre-award industry contracts, conflict of interest, and the use of human subjects, vertebrate animals, and select agents.~~ This office will coordinate research policy implementation with relevant faculty governance groups and with the vice chancellor for administration. It is essential that clear lines of responsibility and accountability be delineated, including direct reporting to the chancellor, whenever federally mandated.

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- C. The vice chancellor for administration will work with the new vice chancellor for research and dean of the Graduate School to develop policies and mechanisms to facilitate and promote relationships with industry. Responsibility for pre-award contract negotiation will reside in the ~~Office of Research Policy~~ Graduate School and post-award contract management with RSP. Collaboration between the new vice chancellor for research and dean of the Graduate School and the vice chancellor for administration is critical because of the need for a seamless handoff for industry contracts between the ~~Office of Research Policy~~ Graduate School and RSP.
- D. The Faculty Senate will establish a governance committee that shall provide advice and consultation to the ~~new~~ Office of Research Policy, RSP, and the safety and compliance units. This new committee will ensure effective and rapid resolution of problems involving research. The committee will be comprised of five faculty members, including a chair appointed by the University Committee and one faculty member appointed by each faculty divisional committee, and two members of the academic staff appointed by the Academic Staff Executive Committee. Establishment of this committee will require amendment of FP&P after due consideration by the Faculty Senate.

Resolution adopted by the Faculty Senate at its meeting on 2 November 2009 (Faculty Document 2159):

WHEREAS the administration's proposal to reorganize the Graduate School has been presented without a detailed written plan and without time for due consideration of the implications of such a plan for research and graduate education;

THEREFORE, BE IT RESOLVED that the Faculty Senate opposes any action to implement such a plan, e.g., through the creation of a new vice chancellor for research or changes in the functions of the Graduate School, until the administration provides a fully developed written plan in response to the University Committee's ad hoc committee report and recommendations, which has been reviewed and approved by the University Committee and the Faculty Senate with appropriate opportunity for comment by all members of the faculty.

Report of the Ad Hoc Committee to Determine the Needs and Structure of UW-Madison's Research Enterprise

19 February 2010

During the summer of 2009, the administration proposed reorganizing the research enterprise at the University of Wisconsin-Madison. The University Committee charged a group of faculty members with generating a report on the needs and structure of UW-Madison's research enterprise. The principal recommendations of this committee are: retain a close relationship between research and graduate education within the Graduate School; create a new position of vice chancellor for research and dean of the Graduate School; expand and support the roles of the four divisional associate deans of the Graduate School; and move the Office of Research and Sponsored Programs, and responsibility for compliance and safety, to the vice chancellor for administration.

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Introduction

The research enterprise sustains the University of Wisconsin-Madison at multiple levels and is intimately intertwined with its educational mission. For decades the university has achieved uncommon success in research, scholarship, and artistic endeavors, consistently placing among the top handful of institutions in nation-wide rankings and research expenditures.

The single greatest portion of our funding comes from federal agencies, but various other sources, both private and public, provide critical support to all types of our scholarship, creativity, and discovery. Collectively, these funds drive the activities that make the university the dynamic place of higher learning and provider of the “beneficent influence” that President Charles Van Hise in 1904 famously said should reach “every home in the state.” They make possible noteworthy advances and achievements that bring distinction to the faculty, enrich the student experience, and render the University of Wisconsin-Madison a global leader in the production of knowledge that benefits all humankind. With so much at stake, we must strive to ensure that the research enterprise at the UW-Madison maintains its preeminence, and this calls for diligent stewardship.

For UW-Madison to continue to thrive requires an administrative structure that serves its researchers, scholars, and artists well and allows them to function to their fullest potential. In addition to its faculty and staff, the UW-Madison has a great asset in the Wisconsin Alumni Research Foundation (WARF), an agency independent of UW-Madison, which since 1928 has been returning proceeds from faculty inventions in the form of the “WARF gift” for the support of research conducted by the faculty, students, and staff of the university. The WARF allocation is a key feature of the university’s research enterprise. It is undoubtedly a major component of the university’s success, and we must sustain and steward this resource to maintain the University of Wisconsin-Madison’s preeminence in research and graduate education.

The *ad hoc* committee has established a set of principles that it believes must form the foundation of any change to our research structure. These principles are:

1. UW-Madison is a world-class academic institution heavily committed to the integration of research and education. Therefore, an important goal for the institution is to maintain and improve an organization of the research enterprise that underpins and strongly supports education. The synergistic relationship between graduate education and research should be facilitated, not fractured, by any change to the administrative structure.
2. The faculty at the UW-Madison is comprised of accomplished, independent scholars, who, on their own and in combination with others, are the initiators of the research conducted on our campus. The administrative structure should facilitate engaging faculty in setting the direction for scientific research and scholarship while supporting and enriching investigator-initiated directions in research. The research landscape is changing. For example, interdisciplinary, multiple investigator projects are becoming increasingly common. The administrative structure needs to evolve to support this changing landscape.
3. Financial support arising from faculty discoveries and the stewardship of WARF for more than eighty years has supported a rich and diverse research and education enterprise for the campus. Faculty input in the allocation and distribution of WARF funding remains important to this successful enterprise.

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4. The system of faculty governance has served UW-Madison well. By state statute, the faculty has the primary responsibility for the governance of the institution and for academic matters. In matters of education and research, the administration must seek faculty consultation and the faculty must rise to meet this challenge.
5. Administrators of the research enterprise should be held to clear performance standards. Disappointments in or unrealized expectations of specific individuals should be managed through supervisory interventions and should not serve as the basis for re-organization or the creation of new administrative structures.
6. Safety and regulatory compliance are essential to the research operations of the university. The lack of adequate and necessary resource allocation to support safety and compliance should not be used to justify re-organization or the creation of new administrative structures. The governance role of the faculty in the problems of safety and compliance must not be ignored. Faculty must be engaged in addressing these problems.

The Administration's Justification for Restructuring

In the fall of 2009, Chancellor Martin and Provost DeLuca proposed restructuring the UW-Madison research enterprise, which included creating a vice chancellor for research position and narrowing the duties of the dean of the Graduate School. According to a document on the provost's website entitled "Organizing for Success: Research and Graduate Education DRAFT" dated October 16, 2009, the administration sought to change the research structure in order to address problems that threatened the institution's research efforts and funding, and to improve UW-Madison's research enterprise. The bullet points from the provost's website are listed below in quotation marks. Because elaboration was not provided in the provost's document, the committee's understanding of each of these appears in italics.

1. "Compliance and Enforcement Issues." *An inadequate compliance structure has created a number of significant problems that put the institution and its personnel at risk, particularly in the area of safety compliance.*
2. "Grants Management." *The Office of Research and Sponsored Programs has failed to manage grants in a timely manner, and has been unresponsive to the faculty regarding the status of grants.*
3. "Advocating and Collaborating with National Funding Agencies and Foundations." *UW-Madison would benefit from an office at the national level to provide advance notice of opportunities to our faculty and to provide the UW-Madison's input on policies, direction, and methods to funding agencies.*
4. "Resource Development and Support for Large Projects." *UW-Madison's ability to compete for large grants would be enhanced by a centralized structure that could provide matching or seed funds to stimulate new research.*
5. "Industry Agreements." *UW-Madison has not been particularly successful in securing research agreements and funding from industrial sources.*
6. "Connect Researchers and Ideas on Campus." *UW-Madison lacks an administrative position at the rank of vice chancellor with responsibility for coordinating research throughout campus.*

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Findings of the *Ad Hoc* Committee

RSP, Animal Care and Safety Concerns

The current research administration structure, illustrated in the 10/16/09 document on the provost's website referenced above, indicates that the dean of the Graduate School is responsible for all research activities on the campus. The areas identified as of significant performance concern by the chancellor and the provost, including Research and Sponsored Programs (RSP), safety, and compliance, fall under the purview of the dean of the Graduate School. In 2009, the chancellor, provost and the Graduate School took significant steps toward ameliorating problems in several areas of concern.

One of the major problems cited by the administration as the basis for its proposed restructuring is the inadequacy of the Office of Research and Sponsored Programs. In 1992, the administrative accountability of RSP was transferred from the Office of Business Services to the Graduate School. That transfer did not include the funding authority for the Graduate School to increase the RSP staffing to levels necessary to keep pace with increases in the number and dollar amount of research awards. Rather, any resource allocation decisions for increased support for this critical research enterprise component required, and still require, approval by the Office of the Chancellor. That separation of funding authority from the responsibility for the management of research administration, and a significant lag in the allocation of funded positions to RSP, seem likely to have contributed to many of the problems in this area.

The important areas of research compliance, biological and chemical safety, research animal issues, and facility and security issues are shared among the Graduate School associate dean for research policy, the associate vice chancellor for facilities planning and management, and the associate vice chancellor and chief of police. This collaborative arrangement, with expertise that collectively covers the full spectrum of safety concerns, is critical and needs to be preserved. However, a clear line of leadership and responsibility appears to be lacking. As with the situation for research administration, it appears that insufficient funding was provided to units responsible for research compliance, rendering them unable to execute effectively crucial oversight functions. In addition to lack of funding that led to insufficient staffing, performance failures by key individuals exacerbated developing problems.

The committee fails to see how the administration's proposed broad reorganization would have prevented the recent problems our university has experienced any better than if the current structure had been adequately funded and if all personnel had met performance expectations. Rather, the committee believes that strengthening existing administrative roles, reassigning administrative accountability for some functions to different administrative units, adequately funding existing administrative units so they can effectively execute their mission, and preserving the strong integration of research and graduate education will more effectively meet the goals of addressing problems than the new administrative structure proposed by the chancellor and provost.

Improving UW-Madison's Research Structure

A major question before the committee is whether significant restructuring of the research enterprise is necessary to ensure the university's pre-eminence in research and education well into the future. The committee notes that UW-Madison has remained in the top five U.S. universities with respect to research funding and other measures of scholarship, a ranking that has existed for as long as such records have been kept. Although there is no question that the faculty and the administration must be vigilant and continually examine whether changes should be made that would enhance research and education while preventing future problems, structural changes should be carefully evaluated for potential negative consequences to our profoundly successful education and research missions. That said, the committee believes that the strategic restructuring presented in the following recommendations will enhance our research enterprise as we meet the challenges of the 21st century.

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Recommendations

The *ad hoc* committee advances the following specific recommendations that it believes, if implemented, will strengthen the research organization at the University of Wisconsin-Madison, preserve the essential link between education and research, and position our institution for continued success.

Recommendation I: Retain a close relationship between research and graduate education within the Graduate School.

- A. That the UW-Madison research enterprise must continue its close association with graduate education, with responsibility for both in a single administrative structure, which is the Graduate School. Excellence in research and graduate education is a cornerstone of our mission. We educate through research, and the intimate relationship between the research enterprise and graduate education is a great strength and the foundation of our success as an institution. This structure underpins our strong training program for future research leaders. Without maintaining a strong connection to graduate education, a rigorous and robust research endeavor cannot be sustained.
- B. That the Graduate School is the best administrative home for the existing Graduate School centers, including the Wisconsin Institute for Discovery. These centers should be under the authority of a new position of vice chancellor for research and dean of the Graduate School. The creation of new centers, as well as the restructuring of existing centers, should follow existing policies and procedures.
- C. That the Graduate Faculty Executive Committee of the Graduate School (GFEC), be restructured to have eight members, two elected from and by each faculty division, with expanded responsibility for both research and graduate education. The restructured eight-member GFEC should also serve in the capacity of the Graduate School's academic planning council. Members of the new GFEC should continue to serve four-year terms. This re-structured committee would facilitate faculty responsiveness in both research policy and graduate education, and play a more responsive role in the overall functioning of the Graduate School.
- D. That the four divisional executive committees of the faculty shall annually each appoint one individual from their divisional ranks to be available as direct and independent advisors to the WARF Board of Trustees and to the chancellor in regard to the WARF resource allocations. The institution would be well served to take greater advantage of the faculty's intellectual capital to inform the use and allocation of WARF funds. These appointed faculty members would, only upon request by the trustees, share their expertise and insight with the board. However, there would be the expectation that the chancellor routinely take advantage of this group in the formulation of annual requests to the WARF board. This recommendation emphasizes that the faculty is not only grateful for WARF's support, but also wishes to be supportive of the trustees' actions by ensuring that the expertise of the faculty is readily available to them. The university should make every effort to assure the WARF board and the WARF managing director that the faculty hold WARF's efforts on our behalf in the highest regard. Further, the disposition of WARF funds by the university should be transparent to the WARF board.

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Recommendation II: Create a new position of vice chancellor for research and dean of the Graduate School.

- A. That the administration create a new position of vice chancellor for research and dean of the Graduate School to replace the current position of dean of the Graduate School with the working title of vice chancellor for research. This new formally integrated position for research and graduate education should report to the chancellor on matters of research and report to the provost on matters of graduate education. This reporting structure is in no way intended to separate research from graduate education, but rather to elevate the research enterprise to vice-chancellor status. The new vice chancellor and dean of the Graduate School position should be charged with leading a reorganization of the Graduate School to meet the research and graduate education needs of the 21st century.
- B. That the WARF funds be under the authority of the new vice chancellor for research and dean of the Graduate School position, who would work closely with the faculty regarding the allocation of those funds.
- C. That the new vice chancellor for research and dean of the Graduate School position have responsibility to develop mechanisms to: 1) document and integrate the existing efforts of faculty and staff on national advisory boards and other research agenda-setting activities; 2) seek out and stimulate engagement of members of our community in representing the visions of UW-Madison faculty and staff in emerging areas of research investment; 3) broker spokesperson and advisory roles for the campus with national and international bodies; and 4) serve as a clearinghouse for information gathering and sharing. One of the roles of the four associate deans of the Graduate School could be to collect this information from their divisional faculty, who already serve on national committees, foundations, and other organizations and associations, and make that information available to other faculty and staff. We make this recommendation because we believe that the establishment of a new office at the national level to increase the flow of resources to the campus is ill-advised because it would be costly and unlikely to be effective across the disciplines. Rather, we favor a structure that better encourages and enhances the ability of UW-Madison to capitalize on emerging opportunities while supporting our faculty to initiate and develop research according to their interests and abilities.

Recommendation III: Expand and support the roles of the four divisional associate deans of the Graduate School.

- A. That the current duties of the four divisional associate dean positions that represent the four faculty divisions be expanded to serve the new vice chancellor for research and dean of the Graduate School position not only in research but also in graduate education. The committee furthermore recommends that there be consideration of increasing the appointment percentages of the divisional associate deans to enable them to carry out their expanded roles. In light of this expansion of the academic associate deans' roles and the principle of keeping graduate education and the research enterprise united, the new vice chancellor for research and dean of the Graduate School should consider whether a position at the level of associate dean for graduate education is necessary.

Recommendation IV: Move the Office of Research and Sponsored Programs, and responsibility for compliance and safety, to the vice chancellor for administration.

- A. That RSP and administrative responsibility and oversight for compliance functions, including chemical safety, biological safety, research animal resources, radiation safety, and human subjects research be assigned to the vice chancellor for administration, and that the vice chancellor for administration create a new unit and administrative officer position to oversee these functions. The responsibilities now attached to the current position of associate dean of research policy in the Graduate School would

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reside in this new unit. Adequate funding and continual evaluation of the performance of this unit must be assured. These functions, although essential to the research enterprise and to the university community as a whole, are largely administrative in nature and need not reside in the Graduate School. It is essential that clear lines of responsibility and accountability be delineated.

- B. That the vice chancellor for administration work with the new vice chancellor for research and dean of the Graduate School to develop policies and mechanisms to facilitate and promote relationships with industry. In doing so, RSP will be expected to negotiate expeditiously university-industry contracts.
- C. That the Faculty Senate establish a governance committee to provide oversight to the new RSP, safety and compliance unit. This new committee would ensure effective and rapid resolution to problems involving research. The committee would be comprised of five faculty, including a chair appointed by the University Committee and one faculty member appointed by each faculty divisional committee, and two members of the academic staff appointed by the Academic Staff Executive Committee. Non-voting student participation should also be considered.

Concluding Statement

Research and graduate education at UW-Madison are succeeding brilliantly. The members of the *ad hoc* committee have appreciated the opportunity to participate in this important discussion about the future of UW-Madison. We are grateful for the time that others readily gave to our process and for their insightful and frank conversations with us as we sought information and perspective on the future of our great institution.

Respectfully submitted by the members of the *ad hoc* committee,

Steven Ackerman, Professor of Atmospheric and Oceanic Sciences
Physical Sciences Representative

Richard Amasino, Professor of Biochemistry
Biological Sciences Representative

Patricia F. Brennan, Professor of Nursing, and Industrial Systems Engineering
Social Studies Representative

Hector F. DeLuca (chair), Professor of Biochemistry
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Thomas Kuech, Professor of Chemical and Biological Engineering
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Steven Nadler, Professor of Philosophy
Arts and Humanities Representative

Edgar Spalding, Professor of Botany
Biological Sciences Representative

Barbara L. Wolfe, Professor of Economics, and Population Health Sciences
Social Studies Representative

Susan Zaeske, Professor of Communication Arts
Arts and Humanities Representative