

2004 Evaluation of Value Added by the Graduate School

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April 2004

**Report of the
Budget Advisory Committee Working Group
On the Graduate School**

Bob Elde, Peter Hudleston, Linc Kallsen, Jim Parente, Craig Swan (chair), Jim Ysseldyke

Summary

We are pleased to submit our report to the Budget Advisory Committee. The working group met six times between November 7, 2003 and March 2, 2004. Between meetings we had numerous e-mails contacts. We would like to thank Interim Dean Victor Bloomfield and members of the Graduate School staff for their help and openness to our discussions and requests. The working group received over 40 letters that provided a helpful perspective on the operations of the Graduate School. We would also like to thank former Dean Robert Holt who met with the working group.

In terms of the specific questions that were posed to us, we offer the following summary and synopsis of our full report.

What are the essential roles and functions that must be performed to support graduate education at the University of Minnesota? What are the least important?

The essential role for the Graduate School is to be a strong advocate for the importance of graduate education. We recommend that serious consideration be given to allowing professional masters programs to be administered outside of the Graduate School under the oversight of individual colleges. There are other administrative matters for which the Graduate School has the potential to provide important economies of scale, but these matters are secondary to the role of the Graduate School and its Dean as the central advocate for graduate education. There is an important role for the Graduate School as the special champion of interdisciplinary, i.e., cross-college, graduate programs that might otherwise fall between the cracks of budgetary colleges.

Are there strategies for improving the alignment of investments made by the Graduate School with those of the larger University?

We urge that that the Dean of the Graduate School invest the time and effort for on-going, close working relationships with collegiate deans; that the Dean of the Graduate School as Vice Provost be an active member of compact discussions; and that there be a greater sharing of responsibility and authority with collegiate

deans, especially in the case of graduate programs that are wholly within a single college.

How can we streamline and reduce administrative overhead in the Graduate School operations – are there cost savings by relocating activities to colleges/schools or to Admissions/Registrar?

Does the Graduate School currently perform work that is not needed or that is duplicative of work done elsewhere in the University? If so, what are those savings that can be recovered by ceasing or reassigning those activities?

We recommend the appointment of a special working group designed to make specific recommendations to take full advantage of current information systems and avoid duplication of effort by the Graduate School, college and department with an initial set of recommendations by January 1, 2005.

We also recommend the appointment of a separate working group to examine rules and procedures from a policy perspective.

What is the correct role of the leader of graduate education at the University of Minnesota? Dean? Vice provost? A blending of the two? What model is most common among our institutional peer group?

The title of Dean is common at other schools. Some use Vice Provost and Dean or Vice Provost for Research and Dean. We do not have a strong opinion on this point. Dean and Vice Provost for Graduate Education has been suggested, as has Vice Provost for Graduate Education and Dean of the Graduate School.

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We affirm the importance of the Graduate School but at the same time we have some specific suggestions for changes that have been formulated to strengthen and underscore the critical role of graduate education for the University as a whole and to help make the operations of the Graduate School more streamlined and efficient.

We heard from numerous individuals attesting to the importance of the Graduate School. Although different individuals focused on different aspects of the Graduate School, there was broad support for the following roles of the Graduate School:

- Gives central voice and weight to graduate education;
- Provides quality control to programs across the institution;
- Maintains institutional statistics on graduate programs;
- Is an appropriate spot for a wide range of services for graduate students;
- Has a valued base of expertise developed over time that would be expensive to duplicate in departments or colleges. (For example, help with evaluating transcripts from international applicants was noted by a number of individuals);
- Awards (McKnight Professorships, Fellowships) made centrally carry important prestige;
- Central oversight of funds allows them to be directed to most deserving programs / recipients, which may change from year to year as programs wax and wane;
- Workshops for Directors of Graduate Studies and staff assistants were valued; and
- Role in supporting interdisciplinary programs key is critical.

However there are still continuing concerns that at times the Graduate School processes can be too bureaucratic and that there needs to be a closer link between investments made by the Graduate School and collegiate priorities.

We offer the following specific suggestions:

The Graduate School needs a visionary Dean who will be a strong advocate for graduate education across the university and especially for those programs upon which much of the university's national reputation is based. The Graduate Dean should exemplify extraordinary leadership skills that will enable the Graduate School to work in tandem with collegiate units and with the university's central administration to define and promote the centrality of graduate education to the core mission of a public research university. The Graduate Dean should be committed to building powerful intercollegiate

and intracollegiate coalitions to facilitate the advanced training of future researchers, and to serving the collegiate units' priorities for graduate education. The Dean must also ensure that the operations of the Graduate School have a strong service orientation in support of graduate students and programs.

A search for a permanent dean should be initiated immediately and concluded in a timely fashion. It would be best if a permanent dean were in place on or before January 2005. The use of multi year acting and interim appointments in recent years feeds into suspicions that graduate education is not an important priority of the University. The working group feels a strong sense of urgency on this point. Budgetary stresses on all public research universities are forcing critical decisions that could have major long-term impacts on the quality and strength of graduate education. In this sort of environment it is important that a permanent Dean be in place and a vital part of those discussions.

The Dean of the Graduate School should be proactive in working with collegiate deans and University central officers to identify important opportunities in graduate education that reflect emerging intellectual developments and the particular strengths of the University of Minnesota. The Dean should be a leading voice in developing specific plans to exploit these opportunities and should lead efforts to address the formidable budget challenges facing graduate education. To be an equal force in building partnerships the Dean needs control over sufficient resources that s/he can use strategically to advance important initiatives. The Dean needs continued access to recurring dollars to help fund an on-going sequence of one-time partnerships and initiatives.

The Dean of the Graduate School should be a member of the highest councils of the University including the University and Twin Cities Executive Committees. The Dean, who we suggest below should also carry the title of Vice Provost, should be an active participant in compact discussions with collegiate deans and other relevant University offices.

The Dean of the Graduate School must make special efforts to develop strong and close working relationships with many elements of the University, especially with college deans and the Vice President for Research. For programs that are wholly contained within a single college, the Graduate School needs to insure that its actions and those of the budgetary college are closely aligned and not working in opposition.

The Dean of the Graduate School needs to be the champion for interdisciplinary programs that cross college lines. While college deans have felt responsibility for graduate programs that are self contained within their college and a number have raised questions about greater authority, there is no other high ranking University authority in a similar position with respect to interdisciplinary programs. With strong evidence that a number of the most exciting research areas of the future will involve interdisciplinary efforts, it is important that there be a clear champion for these efforts at the University.

As graduate education is so intimately linked to the research efforts of the faculty, it is appropriate that the Dean of the Graduate School play this role.

The Dean of the Graduate School will need to develop a strong and close working relationship with the Vice President for Research. The Working Group expects that much of the work of the Office of the Vice President for Research will focus on issues of regulation, audit and compliance along with issues of technology transfer. These are all important issues that require the sophisticated and full time attention of the appropriate senior officer, but they all have a somewhat external focus. Given the symbiotic links that must exist between the research profile of the University and strong graduate programs, the Dean of the Graduate School should be expected to be a catalyst for championing new initiatives in graduate education and research. The Dean of the Graduate School and Vice President for Research will need to work closely to insure that the efforts of both are in strategic alignment

The Dean should maintain active contact with a wide range of research-active faculty from across the University. Such interactions need to be sustained through the personal interactions of the Dean and are facilitated by the Graduate School's continued administration of important sources of research support such as GRAC, faculty summer monies and the McKnight professorships.

The role of the Graduate School and the Dean with individual programs is likely to vary depending upon the size of a program and whether a program is within a single college or crosses college lines.

Serious consideration should be given to allowing professional masters programs to be administered outside of the Graduate School under the oversight of individual colleges.

The Graduate School should be open to devolving more authority and autonomy in areas of admission and tracking student progress to large graduate programs that are willing to accept these responsibilities. Such changes need to be done with appropriate attention to monitoring program quality. When monitoring program quality the Graduate School should focus on aggregate indicators like the quality of the applicant pool, completion rates and the placement of graduates rather than program decisions about individual students. There should be one admissions letter with programs to decide if they want to send the letter. More generally, the Graduate School should put first the needs and aspirations of prospective and current students by adopting more measured administrative procedures.

The Graduate School should ensure that all elements of graduate program reviews are done in close collaboration and with the full participation of colleges. We understand that scheduling of reviews is currently done jointly with colleges. It is unclear to us whether that collaboration is as strong with regard to the identification and resolution of substantive issues; it should be. For graduate programs that are wholly within a single

college, the Graduate School should be open to experiments under which the college rather than the Graduate School would organize the review. In these cases it is incumbent on colleges to insure that the Graduate School is a full partner in the review.

For interested colleges the Graduate School should be open to more flexible arrangements with regard to block grants and fellowship support. Rather than making an allocation to individual programs within a college, the Graduate School should experiment with grants to colleges that allow the collegiate dean to make decisions vis-à-vis individual graduate programs. The Graduate School needs to retain appropriate flexibility to be able to reallocate funds across college lines in response to University priorities and measures of quality and effectiveness. Some form of multi year rolling allocations subject to review on agreed upon criteria would achieve this end.

The Graduate School should continue to closely monitor the quality of programs and continue to close or consolidate weak programs as appropriate. The Graduate School should be responsive to inquiries from colleges that raise questions about program quality and the continued viability of programs. In these cases the Graduate School and the budgetary college(s) should conduct a joint review.

We conclude with comments on two other matters.

Title. The title of Dean is common at other schools. Some use Vice Provost and Dean or Vice Provost for Research and Dean. We do not have a strong opinion on this point but one member of the committee suggested Dean and Vice Provost for Graduate Education. Reversing these titles to Vice Provost for Graduate Education and Dean of the Graduate School is another and possibly preferable alternative.

Operational Efficiency. While we did not have time to delve into operational issues in great detail we remain concerned that there may be duplications and redundancies as between the Graduate School, graduate programs and central record keeping in PeopleSoft. The PeopleSoft system is relatively new. The capabilities of the system combined with the data warehouse may not be widely understood. Shadow systems and procedures that had been developed in the past may no longer be necessary. We recommend the appointment of a special working group designed to address these issues and make specific recommendations to take full advantage of current information systems and avoid duplication of effort at the Graduate School, college and department level. Membership should include representation from the Graduate School, selected graduate programs, selected college deans offices and the Office of the Registrar. An independent party should chair this working group. We recommend that it be chaired by the Registrar with an initial set of recommendations by January 1, 2005.

It has been suggested that parts of the Graduate School constitution and policy rules may be an additional constraint that limits the flexibility of the Graduate School and its Dean. The constitution may also muddy the lines of authority with respect to

issues like program consolidation and closure. The Dean of the Graduate School should appoint a small working group to review the constitution and policy rules with an eye to streamlining policy and clarifying responsibilities. This group should be small and should include appropriate representation from the Graduate School, one or two research prominent faculty members and a collegiate associate dean. It should be expected to report by the end of fall semester 2005. This group should have a policy focus while the group described in the previous paragraph would focus on operational issues.

Grad School Value Points by People Who Wrote on Our Behalf

Frequency of mention:

Focal point for interdisciplinary, intercollegiate programs	26
Economies/efficiencies of scale	23
High, consistent standards for departments and programs	20
Stature of U-wide fellowships	16
Provision of services to grad students, not just undergrads	15
Expertise on international issues	14
Expertise and helpfulness of GS staff	12
Support of DGSs and DGS Assistants	9
Competitive Grant-in-Aid funding	9
Provides voice for grad students	8
Value of McKnight Professorships	7
Fair and efficient recruitment and admissions processes	7
Pleasure of serving on Grad School committees	6
Central spokesperson for grad programs and grad education	6
Uniform, reliable record-keeping	6
Spokesperson for U-wide perspective and quality	6
Resolution of faculty-student disputes	5
Review and linkage of grad programs in P&R Councils	5
Leadership in technology development/application	4
Encourages and supports diverse grad student population	4
Contributes to respect for U of M in national circles	4
Supports grant funding and student recruiting	4
Sponsorship of faculty and student development programs	4
Financial support of grad students	3
Provides resources for small programs	2
Oversight of grad faculty qualifications and status	1
Synergy of Grad School and college location of grad programs	1
Value of Guy Stanton Ford lectures	1
Usefulness of Postdoc Office	1
Contributes to power and influence of U of M in state	1
Contributes to quality of life in state	1
Provides stature for professional programs	1

✓

From: Martin W Sampson <marsam@tc.umn.edu>
Date: Wed Nov 26, 2003 11:37:15 AM US/Central
To: Victor Bloomfield <victor@umn.edu>
Cc: freeman@polisci.umn.edu
Subject: Excellence of scale, too

Victor,

Thank you for your message. Its points about the importance of the Graduate School are cogent.

The existence of the graduate school enables departments to reach for higher standards than a college would require or reward or enforce. It means something to have fellowship and dissertation awards coming from committees that represent the entire university rather than the intra-college issues that otherwise would have more impact on the distribution of those awards. There is crucial synergy from graduate programs residing in dual worlds of their colleges and the Graduate School.

Current university and college student support services are largely oriented toward undergraduate Minnesotans.

Even without homeland security issues, support of graduate students is a far different enterprise. Colleges taking that over would likely delegate a lot of things to departments, diluting the economies of scale that now exist and driving the DGS role into the ground. (Of course, if that means my department can get Vicki Field, Andrea Scott, Karen Starry, and Myrna Smith, I strongly endorse instant closure of the Graduate School. Good luck to the rest of the campus!)

Your points cover these observations. They omit one angle about which I feel strongly, however. The talent and dedication of the Graduate School staff is extraordinary. Lose those people and the economies/excellences of scale that happen because of how well they do their jobs also vanish. It would be well for a review group to ask what an institution's ability to nurture and retain such people says about the effectiveness of the institution. It is crucial that a review group think very carefully about the effects of losing such people and the support their institution has provided for the graduate program.

Martin Sampson
Recovering ex-DGS

From: james fetzer <jfetzer@d.umn.edu>
Date: Wed Dec 3, 2003 11:29:00 AM America/Winnipeg
To: Victor Bloomfield <victor@umn.edu>
Cc: james fetzer <jfetzer@d.umn.edu>
Subject: Re: URGENT - FUTURE OF THE GRADUATE SCHOOL

Vic,

The most important reasons not to dissolve the Graduate School as an administrative entity include:

- (1) the functions would have to be maintained, even if at a now lower level (increasing the work load for units with graduate programs);
- (2) the efficiency of processing would diminish, since now instead of having centralized expertise, it would have to be multiplied many times;
- (3) there would be a dramatic loss of quality control, since programs could have variable standards, a patchwork quilt of graduate programs;
- (4) there would be a multiplication of the need for representation for each autonomous program, rather than having one voice speak for all;
- (5) there would be a loss of respect for the University of Minnesota, since there would be no entity insuring the maintenance of quality;
- (6) the net effect would be a reduction in the power and influence of the University of Minnesota at great expense to the people and the state;
- (7) this loss of influence would affect the quality of life throughout this state and manifest through a wide range of subtle but real effects.

We have just had a meeting of our Graduate Council and you should be receiving a resolution from us around 15 December. With best wishes,

Jim

On Wed, 26 Nov 2003, Victor Bloomfield wrote:

Jim:

Thanks for the incisive thoughts and the support. You could contribute by writing a letter, and by working with your UMD colleagues (and students) to indicate campus support.

Cheers - Vic

On Tuesday, November 25, 2003, at 09:50 PM, james fetzer wrote:

Vic,

You must have the Business School put together a presentation on the cost/benefit analysis of the contributions of the Graduate School to the business climate and economic prosperity of the state. There is overwhelming evidence that the Graduate School has a multiplier effect

on business and economics, which is overwhelmingly positive for those who work and conduct business here. Cut it and Minnesota becomes just another Mississippi. Is that what these "visionaries" have in mind?

Jim

P.S. You let me know if there is more that I can contribute to this.

UNIVERSITY OF MINNESOTA

Twin Cities Campus

*Minnesota Center for
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Department of Psychology*

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Thursday, December 4, 2003

President Robert H. Bruininks
Morrill Hall
Campus

Dear President Bruininks,

It has come to my attention that the Graduate School is under review with the idea that perhaps some cost savings might be found by reorganizing parts of the structure or perhaps disbanding the unit altogether. While I have not participated in graduate school activities in the last few years, I was actively involved with the Graduate School for many years previously. On the basis of this experience I would like to share one important observation with you.

I believe a careful review of records and interviews with members of distinguished departments with graduate school experience would reveal that over the years the Graduate School has done more to maintain both consistent and high academic standards at this university than any other administrative unit. Individual academic and administrative units are under constant pressure to produce cost savings, increase enrollment, increase the graduation rate, etc. These are all laudable goals and they certainly should constantly be pursued. Nevertheless, they inevitably seduce departments and programs to lower their admission, curricula and graduation standards. The Graduate School is the primary locus of standard setting at this institution. Anyone being pressured to lower standards can say no and blame the Graduate School. This is a useful and undervalued bureaucratic function. Unless you are very sure that the intellectual standards that have been painstakingly built up at this institution over the years will continue to be maintained and nurtured successfully in some other manner any financial savings obtained by disbanding the graduate school are illusory as the intellectual prestige of this university is priceless.

I could make a number of other arguments in support of the Graduate School but I know how busy you are so I will leave it at that.

Sincerely,

Thomas J. Bouchard, Jr.
Professor of Psychology

Cc: Craig Swan, Chair of the Budget Advisory Committee Working Group on the Graduate School

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From: "Robert P. King" <Rking@apcc.umn.edu>
Date: Mon Dec 8, 2003 10:57:20 AM America/Winnipeg
To: swan@umn.edu
Cc: victor@umn.edu
Subject: Budget Proposals for the Graduate School
Reply-To: rking@apcc.umn.edu

To: Craig Swan
From: Robert King
Re: Budget Proposals for the Graduate School

I am writing to you in your capacity as Chair of the Budget Advisory Committee Working Group on the Graduate School. I recently learned that a proposal to dissolve the Graduate School is being considered by your Working Group and by the Twin Cities Deans Council. Based on my experience as a faculty member, as a Director of Graduate Studies, and as a member of several Graduate School committees, I believe this would be a very serious mistake.

The Graduate School plays a critical role in our University. As the mechanism for centralizing key activities related to admissions and maintenance of records on student progress, the Graduate School makes it possible to capture scale economies in processes that are common to all programs, and it is an important source of expertise on academic credentials for students from around the world. It also helps ensure uniformly high quality standards across programs and serves as the focal point for interdisciplinary programs that cut across not only departmental but also collegiate boundaries.

My own experiences as Director of Graduate Studies for the program in Agricultural and Applied Economics help illustrate the value of the Graduate School.

* Participation in the Social Sciences Policy and Review Council helps link our program to others in the social sciences. This is the proper venue for us to learn about innovative initiatives in related programs and to have proposals for changes in our program reviewed by scholars who are knowledgeable about our field. Participation in a similar council of graduate programs in the College of Agricultural, Food, and Environmental Sciences would not be as valuable for us.

* Like Directors of Graduate Studies in programs throughout the University, I relied on experts in the Graduate School to help interpret the academic qualifications of international applicants and to provide general information on the quality of educational institutions in other countries. It would be disastrous for programs to operate without this expertise, and it would be very costly to duplicate it in each college.

* The fellowship programs operated by the Graduate School are a critical source of resources for our program. Having the

competition for fellowships at the all-University level adds to their prestige and to their value in attracting the best students. The nomination and selection processes also help each program gauge the quality of its applicants, students, and faculty in a rich competitive environment.

* As you know, the graduate program in Agricultural and Applied Economics is closely linked to the graduate program in Economics. I believe the Graduate School has played an important role in fostering cooperation and coordination between these two programs and in resolving occasional conflicts. This relationship that benefits both programs would be more difficult to maintain if graduate programs were administered by colleges.

In closing, I recognize that it is essential to consider a wide range of alternatives for increasing efficiency and eliminating unnecessary duplication in the University. However, the Graduate School plays a unique, central role in supporting a critical aspect of our mission, and I believe it would be unwise to dissolve it. If it would be helpful to your committee, I would be willing to meet with you to discuss these issues further.

Professor Robert P. King
Department of Applied Economics
249f Classroom Office Building
St. Paul, MN 55108
Phone: 612-625-9732 Fax: 612-625-6245
Email: rking@apec.umn.edu
<http://www.apec.umn.edu/faculty/rking>

Date: Mon, 8 Dec 2003 17:13:48 -0600 (Central Standard Time)
From: "Jessica M. Matteson" <matteson@atlas.socsci.umn.edu>
To: <swan@umn.edu>
Cc: <scott002@umn.edu>, <mgsmith@umn.edu>
Subject: Graduate School Workshops

Dear Professor Swan,

I recently attended a Graduate School Workshop on recruiting graduate students. I found it to be invaluable in helping me to do my job at the University. As you may know, there was once a Director of Graduate Studies Handbook that provided job-related training for Directors of Graduate Studies and their assistants. Now, we rely primarily on Graduate School workshops and our peers in other departments. I am aware that the current economic climate is quite poor. However, it's essential that those of us who work to recruit the best graduate students continue to receive the support we need to do so. I have attended other Graduate School workshops in the past (particularly the ones focused on evaluating the admissions files of international students) and have found them to be very informative. I encourage you to recommend continued funding for these essential workshops.

Best,

Jessica Matteson

Jessica Matteson -- matteson@atlas.socsci.umn.edu
Graduate Program Assistant
PH: 612/624-2093 FAX: 612/624-7020
University of Minnesota
Dept. of Sociology
909 Social Sciences Building
267 19th Avenue South
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From: jpastor@nrri.umn.edu

Date: Wed Dec 10, 2003 10:52:24 AM America/Winnipeg

To: Craig E Swan <swan@tc.umn.edu>

Cc: grad@d.umn.edu, jpriehl@d.umn.edu, Christine M Maziar <cmaziar@tc.umn.edu>, Victor A Bloomfield <victor@tc.umn.edu>, biolgradfac@d.umn.edu

Subject: Future of the Graduate School

Reply-To: jpastor@nrri.umn.edu

Dear Vice-Provost Swan,

We understand that the Budget Advisory Committee Working Group on the Graduate School will examine whether and how to transfer any or all functions of the Graduate School to individual undergraduate colleges and departments. We also understand that the Twin Cities Deans Council is considering the possibility of dissolving the Graduate School altogether.

We are puzzled that the charges to your working group do not include a consideration of the possible impacts on the quality of graduate education and the University's standing as a world-class research university. While we welcome, and would gladly participate in, any study to examine ways to streamline the administration of the Graduate School, we believe that divestment of various functions of the Graduate School would decrease efficiency and open the door to non-uniform standards of graduate education. In addition, it would send a clear message to foundations and federal research agencies which support graduate student training that the University of Minnesota does not value graduate education and its graduate students.

The Office of the Graduate School at the University of Minnesota Duluth is a vital and active part of the operation of every UMD graduate program. Important functions of the office include: 1. responding to requests for application forms and recording new applications, 2. informing faculty and students of new rules established by the administration, 3. informing faculty of new opportunities for funding and training of graduate students, and 4. providing sound and timely advice to graduate students to help them achieve the quality education they desire and deserve. Recently, the Graduate School office has performed heroic service for all of us by addressing new, complicated, and rapidly changing federal regulations regarding the admission of international graduate students. It is imperative that these functions remain centralized so that all students and faculty are accurately informed and regulations are not overlooked.

Transferring these functions to departments would overburden staff who have already taken on additional duties to meet recent budget cuts. The Department of Biology, like most other departments, would need to hire additional staff to perform these functions. In the end, this would probably cost more than it would save.

The Directors of Graduate Studies and the Associate Dean of the Graduate School at UMD meet several times each semester to discuss new course and program proposals and other issues

pertaining to quality graduate education. Common discussion of proposals and issues by all directors of graduate studies with the dean maintains uniform standards and expectations across a wide diversity of programs. Through Graduate School review, uniformly high standards are maintained across all graduate programs, standards which are the basis for the high regard that graduate education at the University of Minnesota enjoys.

As biologists, we are keenly aware of the need for maintaining the University's excellent reputation for graduate education. Agencies such as the National Institutes of Health, the National Science Foundation, and other major funders of biological research require that proposals include support for graduate students. These funding agencies and our faculty are especially concerned with the need to train the next generation of biologists, as also emphasized by President Bruininks in his recent State of the University address. Should the Graduate School be dissolved or divested of many of its functions, these funding agencies would likely get the impression that the University of Minnesota is willing to reduce the quality of graduate education or training. Although we know that you do not intend to give this impression, it is difficult to see how such an impression would not be conveyed. We feel that there is a strong possibility that our research support from these agencies would be eroded by dissolving the Graduate School or divesting it of many of its functions.

In closing, we urge you and the administration to devise means of strengthening the Graduate School rather than dissolving it or divesting it of functions that benefit graduate education and the reputation of the University.

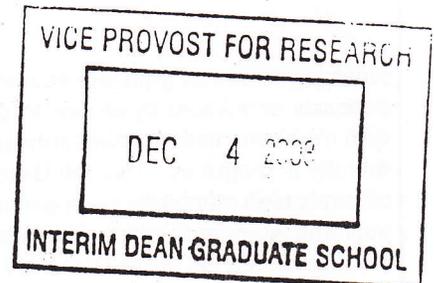
A signed copy of this letter follows in the mail.

Sincerely yours,

John Pastor
Professor and Director of Graduate Studies
on behalf of the Graduate Faculty of Biology, UMD

December 2, 2003

Craig E. Swan, Chair
Budget Advisory Committee Working Group
on the Graduate School
234 Morrill Hall



Dear Craig:

I write this message in support of the Graduate School at the University of Minnesota. I learned a few weeks ago of the group that you chair concerning the Graduate School, which has been charged with "developing strategies for both short- and long-term improvements in operational efficiencies while maintaining the highest level of service." In the intervening time, I have had the opportunity to talk with a number of colleagues and think about what the Graduate School provides for, and means to, this university.

What comes to mind first is what I am most familiar with--the Graduate School Welcome Kit. As you know, the project was begun seven years ago for undergraduate students as the Internet Welcome Kit, primarily to enable new admits to get online before coming to campus. During that first year, the Graduate School approached us about doing a similar version for new graduate students, with an added emphasis on including more background information on the University and the Graduate School, providing more "readiness" content on services, and getting the kit mailed early enough to persuade students who had not yet committed to Minnesota to come here for graduate studies. Since that time, Graduate School members on the Welcome Kit committee have provided direction, financial support, and content development to produce a kit that has won awards, is appreciated by students and staff, and gets better every year. We are here because of, and to serve, students--and I think this is but one example of a valuable "service" for students that would not exist without the Graduate School.

Your group has also been asked to identify accompanying cost savings in the strategies for accomplishing operational efficiencies. I have been at this university for more than 30 years, through times of prosperity and unequalled growth to retrenchment and reallocation directives that included the closing of a campus. Those experiences, and what I currently see happening, lead me to believe that disbanding the Graduate School would not produce cost savings and may indeed incur greater costs because of the need to provide essential services at the college and/or departmental level. This seems counter-intuitive and contrary to other moves being undertaken by many collegiate units during the current budgetary crisis, namely, to stop providing services locally that can be better accomplished centrally. In our case, we are increasing our partnership efforts with colleges as well as providing more support centrally as they cut personnel to streamline operations within current and projected fiscal constraints.

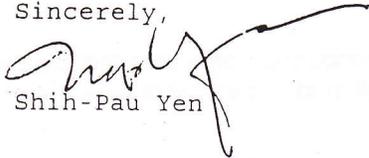
Another area of concern is interdisciplinary initiatives, which require a central administrative home to ensure quality, visibility, and efficiencies. These Graduate School efforts include a variety of programs and services for a number of audiences--from new majors and

minors, to professorships and student awards, to training and support for collegiate advisors and student services personnel. As with the Graduate School Welcome Kit project, experience and expertise of personnel is a major factor in the existence and success of these initiatives.

What does all of this mean? It culminates in what I believe is most important and the most difficult to quantify in terms of cost, and that is the centrality of what is accomplished by the culture and philosophy that is the Graduate School. We are all members of the University of Minnesota community, and it is organizations such as the Graduate School that maintain and promote quality programs and services for the University as an institution. This enables faculty and students to think beyond departmental affiliations and be contributing, successful, and proud citizens of the University of Minnesota. This, in turn, brings more exceptional students and faculty here, further raising the quality of the institution.

I know that your deliberations are necessary and will not be easy, and I extend appreciation to you and your committee for your service. I also thank you for your consideration of my and others' support as you continue with your work.

Sincerely,



Shih-Pau Yen

Cc: Robert H. Bruininks, President
Christine M. Maziar, Executive Vice President and Provost and
Chair, Budget Advisory Committee
Members of the Budget Advisory Committee Working Group on the
Graduate School: Robert Elde, Peter Hudleston, Lincoln
Kallsen, James Parente, James Ysseldyke
Victor A. Bloomfield, Interim Dean of the Graduate School and
Vice Provost for Research

RESOLUTION

Council of Graduate Students – University of Minnesota

Date: December 4th 2003

Author(s): Britt E. Johnson

Topic: Possible Funding Cuts or Elimination of the Graduate School

Preamble

It has come to the attention of the Council of Graduate Students that the University administration is considering cutting funding to the Graduate School as one possible source to compensate for University wide deficits. Bearing this possibility in mind, the General Assembly of the Council of Graduate Students submits the following:

Whereas the Graduate School, by virtue of its extensive pass through funding, supplies graduate students with awards and assistantships, and through block grants and grant-in-aid provides crucial flexibility to departments and programs for faculty research initiatives that lead to graduate student jobs and mentoring opportunities;

Whereas the majority of the budget for the Graduate School is passed on to graduate students, providing graduate students and graduate programs with the flexibility necessary to provide quality post-graduate education which supports both retention and recruitment of excellent graduate students;

Whereas the Graduate School provides a much needed third party, non-partisan source of intervention for departmental disputes, as well as aiding in solving systemic problems reported in many different graduate programs;

Whereas the Graduate School provides university-wide competitions and recognition programs that cannot be made available through departments or colleges, and that greatly benefit all graduate students by virtue of their availability and prestige as centralized, university-wide awards;

Whereas graduate students are integral to the quality of education at the University of Minnesota – including undergraduates, faculty, and the larger University community – and the Graduate School gives support to graduate students, thereby benefiting the University of Minnesota as a whole;

Whereas the Graduate School provides for international students necessary recourses in translation, communication, and advocacy that could not successfully exist if diffused through departments or colleges, creating an additional hardship for international students;

Whereas the Graduate School provides resources and opportunities the support and encourage diversity and community among the graduate student body;

Whereas the Graduate School completes an innumerable amount of tasks in good faith for graduate students and graduate programs throughout the Twin Cities campuses, and the dissolution (to any degree) of the Graduate School and outsourcing of these duties to colleges or departments will create more of a burden to overloaded faculty, staff and Directors of Graduate Studies while increasing costs to the University of Minnesota and decreasing efficiency of said duties;

Whereas it is in large part the healthy working relationship with the Graduate School that allows COGS to successfully advocate for the needs, concerns and aspirations of graduate students in all matters relating to academics, quality of life, and the mission of the University of Minnesota;

Be it resolved that:

We, the General Assembly of the Council of Graduate Students of the University of Minnesota, urge the President and Provost to recognize the importance of the Graduate School and the services it provides as a key element in fulfilling the University of Minnesota's pledge to its graduate students;

Be it further resolved that:

The reduction of assistantships, fellowships, awards, and other financial resources made possible by the Graduate School, or the restriction of access to those resources, threatens the quality of life and education received by graduate students, and thereby undergraduate students, faculty, staff, and the entire university community of the University of Minnesota.

UNIVERSITY OF MINNESOTA

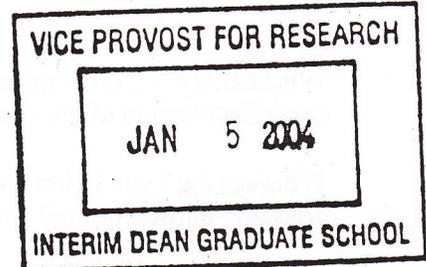
University Senate

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December 17, 2003

Vice Provost Craig Swan
Office of the Executive Vice President and Provost
234 Morrill Hall



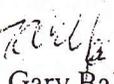
Dear Vice Provost Swan:

As chair of the Senate Research Committee (SRC), I am forwarding you a resolution that was passed without dissent by the members of the committee in support of the Graduate School.

The Senate Research Committee's fundamental charge is to act in support of research at the University of Minnesota. The SRC, and representatives of central administration speaking to the SRC, are on record stating that research and graduate education are inextricably intertwined in a Research I institution such as ours. The SRC is on record in recognizing the important role of the Graduate School, to the extent that the Dean of the Graduate School should have structural ties to central administration and the Executive Committee. Any proposal to restructure the delivery of graduate education within the University, therefore, falls centrally within SRC's charge. We also note the experience of Michigan State University, which dissolved its graduate school years ago only to reconstitute it later at great expense, after realizing the value of its essential functions.

The members of SRC would be happy to share our thoughts on the Graduate School with your committee and the Twin Cities Deans Council, if given the opportunity.

Regards,


Gary Balas, Chair
Senate Research Committee

cc: The Senate Research Committee

Senate Research Committee
University of Minnesota

Resolution regarding the Graduate School of the University of Minnesota

Whereas the central administration of the University of Minnesota has requested an examination of the cost-effectiveness of the Graduate School, and

Whereas the Twin Cities Deans Council is examining the processes by which pass-through funds for graduate fellowships and faculty grants-in-aid are awarded across Twin Cities campus units, and

Whereas the Graduate School provides essential and cost-effective functions to the University, including:

- * **Efficiencies of scale:** The Graduate School's Office of Admissions, Graduate Student Services and Progress, and Outreach functions are performed with fewer employees than would be required if these functions were devolved to colleges and departments;
- * **Experience and expertise:** The staff of the Graduate School embody a wealth of experience and expertise for addressing the complex, difficult, and diverse challenges of contemporary graduate education; for example, the impact of Homeland Security, problems between individual students and faculty advisors, international transcript evaluation, development of technological solutions such as program data reports and on-line forms, and uniform custodianship and consistent reporting of graduate student data, essential to the University's standing in national rankings.
- * **Promoting diversity:** The Graduate School as a whole and its programs such as the Community of Scholars promote, support, and assure diversity within the graduate student population; facilitate the recruitment, retention, and completion rates of a diverse student body; and work to enhance the graduate experience for students of color, international students, women and other under-represented groups, in ways that the colleges would not have the resources to accomplish.
- * **Support for Directors of Graduate Studies and departmental offices:** The Graduate School provides workshops for Directors of Graduate Studies on issues central to graduate education and research. When difficult issues arise, or when new Web-based processes such as ApplyYourself are instituted, departmental staff persons turn to the Graduate School for help and training. In addition, the Graduate School governance structure requires the designation of a Director of Graduate Study for each program, with direct links to the Graduate School. If these links were to the respective colleges, the DGSs would be subject to the exigencies of college budgets and workloads, and the valuable oversight and advocacy functions of the DGS could easily be superseded by competing demands.
- * **Assurance of uniform academic standards:** Graduate School review of proposals for new programs and courses draws upon faculty expertise and evaluations from a range of academic units, enforcing University-wide consistency and quality with respect to academic expectations and performance, and the quality of graduate education overall. Central review protects against local interests and constraints outweighing broader University standards.
- * **Advocacy for graduate students:** The Graduate School works to enhance the quality of the graduate student experience, through such diverse efforts as negotiating health insurance, encouraging education in professional skills and career preparation, and participating in national efforts to improve graduate education.

* Provides prestigious University-wide competitions: The Graduate School sponsors University-wide competitions for graduate fellowships, dissertation fellowships, faculty McKnight Professorships and Grant-in-Aid research grants which, if won through local-level competitions would not carry nearly the same stature. University-wide competitions direct funds annually to those who win on merit, regardless of their college affiliation.

* Support of interdisciplinary programs: The Graduate School is recognized as the primary supporter of interdisciplinary research and graduate education activities. A large and growing proportion of graduate programs involve more than one department or college; Graduate School support for interdisciplinary research, scholarship, and creative activity nurtures important new areas. Without the broad oversight and coordination of the Graduate School, these activities likely would become much more fragmented and compartmentalized, thus undermining the University's ability to compete for federal research funds and to attract the best students—both of which depend increasingly on interdisciplinary programs; and

* Oversight of graduate faculty status: The Graduate School, through its Policy and Review councils, allows the graduate faculty to set standards and criteria for membership in the graduate faculty of the university, thus assuring its continued quality and competence while maintaining a strong element of local control among clusters of programs.

* Locus of graduate student governance: Graduate education is a collaboration between graduate students, graduate faculty and the Graduate School, which fosters the development of scholars and professionals. One of the keys to a high-quality graduate education is the involvement of graduate students in the provision and monitoring of the graduate student experience. The Graduate School is the *only* means through which graduate students at the university communicate *directly* with Graduate School and central administrators, through the Council of Graduate Students (COGS), and can work on issues such as affordable housing, professional development, academic and research mentoring, graduate assistant employment conditions, and a host of other issues that constitute crucial aspects of the broader scope of graduate education. The graduate student voice and a nuanced and insightful understanding of the graduate experience are essential to creating and maintaining a positive environment for graduate education. Without this specialized governance function, graduate students would be left to advocate for the issues that are particular to graduate education within a disparate array of colleges and departments, which would substantially dilute their collective voice and make them much more likely to seek external representation, or would leave them as only one lone voice among many within GAPSA, to compete with the very different and divergent interests of students within the several professional schools; and

Whereas the quality of research supported by graduate fellowship and faculty grant-in-aid monies is best evaluated by committees of researchers from across the University, and

Whereas the Senate Research Committee finds proposals for cost-savings by devolving the functions of the Graduate School to collegiate units to be false economies, and

Whereas the Senate Research Committee's fundamental charge is to act in support of research at the University of Minnesota,

Therefore, be it resolved that the Senate Research Committee of the University of Minnesota finds the Graduate School to be an essential unit for maintaining quality in the education and training of researchers at the University of Minnesota, and

be it further resolved that the Senate Research Committee strongly supports the continuing existence and functioning of the Graduate School, and opposes any initiatives that would dismantle the Graduate School or devolve its functions to the collegiate level, or shift oversight of graduate education at the university to a provostal office, and

be it further resolved that the Senate Research Committee strongly supports the current practice of allocating pass-through monies for graduate fellowships and faculty grants-in-aid via University-wide committee structures such as the Graduate Research Advisory Committee and Biomedical Research Advisory Committee.

Background:

In late October 2003, four ad hoc committees were commissioned by the President and the Provost, to examine targeted areas in which efficiencies might be improved and/or redundancies eliminated. One of the committees' goals is to identify, by January 1, 2004, potential sources of cost savings to help meet the University's \$9 million budget shortfall. One of the four committees is reviewing the Graduate School's functions, to determine whether it would be more cost-effective to devolve some of all of its functions to the collegiate level, or to other central offices, or possibly to eliminate some functions.

A separate initiative is under way in the Twin Cities Deans Council, to examine the possibility of moving control of pass-through monies (graduate fellowships and faculty grants-in-aid, currently allocated by the Graduate School) to the colleges, which would then distribute the monies internally.

Both of these initiatives are being undertaken with very short time horizons. Consultative bodies that will meet during this period bear a responsibility to address these processes.

The Senate Research Committee's fundamental charge is to act in support of research at the University of Minnesota. The SRC, and representatives of central administration speaking to the SRC, are on record stating that research and graduate education are inextricably intertwined in a Research I institution such as ours. The SRC is on record in recognizing the important role of the Graduate School, to the extent that the Dean of the Graduate School should have structural ties to central administration and the Executive Committee. Any proposal to restructure the delivery of graduate education within the university, therefore, falls centrally within SRC's charge. We also note the experience of Michigan State University, which dissolved its graduate school years ago only to reconstitute it later at great expense, after realizing the value of its essential functions.

Adopted without dissent December 15, 2003

UNIVERSITY OF MINNESOTA

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9 December 2003

Dr. Craig Swan
Office of the Exec VP and Provost
234 Morrill Hall

Dear Craig,

I am writing on what seems to me the remote possibility that the University would close the Graduate School and mandate individual colleges to carry out Graduate School functions for themselves. This is a very bad idea.

Of all administrative units in this University, the Graduate School is the only one whose sole mission is to promote academic excellence. It does this regardless of whether the student or faculty member is studying

molecular biology or ancient Greek. If graduate school functions were to be administered by a college, there would (will) be pressure on a dean to disperse funds by methods not entirely tied to academic excellence, e.g., to provide more fellowships or admit more students to "hot" or federally well-funded disciplines even if the applicants are not very good. If I were head of a department that didn't attract fantastic students, I would consider it my duty to lobby my dean for graduate pork. S/he he might succumb. The dean of the Graduate School would not succumb.

In addition to being a gatekeeper for academic excellence, the Graduate School is the only academic unit that can or is willing to foster among college interdisciplinary programs. Yes, individual colleges do this sometimes. But my experience in fighting to keep the Graduate Program in Conservation Biology viable suggests that without the support of the Graduate School this excellent program would have withered for lack of support from individual deans whose higher priorities were to support their colleges' central missions rather than their interacting edges. The Graduate Program in Neurobiology likewise owes much of its strength to the Graduate School. As disciplines become increasingly multidisciplinary and multicolligate, the Graduate School is ever more important.

The Graduate School carries out its mission at a very low overhead rate. There is an economy of scale in having graduate education overseen by one unit. Passing those responsibilities down to each college will require replication of the committees and administrators now present in the Graduate School. That isn't an effective use of college funds or faculty time. I also think that the quality of the committees and administrators would be lower because the pool from which to choose would be smaller and less diverse.

I will not go on for pages about additional benefits of keeping our Graduate School, unless this rumor acquires some substance.

Best regards,

Patrice Morrow
Professor

cc: Victor Bloomfield

Date: Thu, 04 Dec 2003 16:01:53 -0600
To: swan@umn.edu,
 hudle001@umn.edu
From: Sally Gregory Kohlstedt <sgk@umn.edu>
Subject: Graduate School Review
Cc: hudle001@umn.edu

Dear Craig,

At a recent meeting of the Graduate School Executive Committee, I learned that you are chair of a committee appointed by President Bruininks to examine the efficiency and cost effectiveness of the Graduate School with the goal of identifying cost savings perhaps by reallocating Graduate School functions to the colleges or other central units. For those of us who have been Directors of Graduate Studies or have worked with the Graduate School in other capacities, the implications are staggering. If the university were to make major changes in an operation that has a effective and responsive staff managing the essential paperwork, oversight, and activities relating to graduate studies, we would find our colleges and departments handling much of this work. Personally, I rely on the accumulated and focused expertise of skilled staff who now oversee on-line admissions, international credentials examination, all-university fellowships, and a myriad of other details that maintain high and consistent standards throughout the university.

Before writing this memo, I consulted with the administrative assistant in our office. She affirmed the important help that she regularly receives from the Graduate School staff and indicated that as other central offices and support systems on campus have become less careful and effective in the past couple of years, perhaps because of budget cuts, the Graduate School offices (despite their own elimination of two associate deanships and other economy measures) continue to contribute essential, helpful services. She was deeply skeptical about efforts to decentralize many of the functions.

Many years ago when I taught at Syracuse University, the administration eliminated the Graduate School Dean's position and distributed responsibilities. The experiment, as I recall, lasted just a couple of years and then the Graduate School was reconstituted but took additional time to get back to the earlier efficiencies. This experience has heightened my anxiety around the current discussion of the efficacy of the Graduate School.

Thank you for your attention to these matters.

Best wishes,

Sally Gregory Kohlstedt
DGS and Professor of History of Science and Technology
Chair, Engineering, Physical and Mathematical Sciences Policy and Review Council

Date: Fri, 5 Dec 2003 08:35:02 -0600
To: swan@umn.edu,
hudle001@umn.edu
From: "Steven L. Girshick" <slg@umn.edu>
Subject: eliminate Graduate School?
Cc: victor@umn.edu,
sgk@umn.edu

Dear Craig and Peter,

I am writing to you because I understand that you are serving on a committee that is considering "dissolving" the Graduate School. I just want to let you know that as DGS of a large graduate program I find this possibility alarming. The Graduate School performs a myriad array of valuable functions for us. If these functions were to devolve to individual programs as an unfunded mandate (or even, probably, as a funded mandate) the consequences would be serious. Aside from the purely administrative issues of processing applications and the like, the Graduate School staff constitute a source of expertise we turn to on a regular basis to help us with many thorny questions that arise during the year. It has to be born in mind that the terms of office of DGSs in many programs are three years (in ours it happens to be five years), so the existence of a centralized, "permanent" staff to help with university-wide issues is crucial. So I hope that your committee considers carefully what the implications would be of dissolving the Graduate School, both the obvious ones and the inevitable unintended consequences.

Best regards, Steve Girshick

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Steven L. Girshick
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<http://www.me.umn.edu/people/faculty/Girshick.html>

Date: Fri, 5 Dec 2003 17:25:18 -0600 (CST)
From: "Naresh C. Jain" <jain@math.umn.edu>
To: swan@umn.edu
cc: Robert H Bruininks <bruin001@tc.umn.edu>,
Christine M Maziar <cmaziar@tc.umn.edu>
Subject: The Graduate School

Craig Swan, Chair
Budget Advising Committee Working Group

Dear Craig:

I learned that your committee is considering, as a cost-saving option, the disbanding of the Graduate School. I believe such a move would not be in the best interests of the University and probably would not lead to any saving in costs anyway. I would like to share some thoughts in this regard with you and the Committee.

I was Director of Graduate Studies in the School of Mathematics, 1986-89. I also served as department head, 1995-2003. In these capacities, I had to deal with the Graduate School on a pretty regular basis. When I started my work as DGS and someone asked me at that time about disbanding the Grad School, I would wholeheartedly recommend that action. All my predecessors in my department had a very frustrating experience dealing with the Grad School. Much of their time was wasted in trying to convince the staff there that the department decisions about admitting graduate students were sound. What bothered us was the fact that the personnel there had no expertise in math and they were always questioning our judgement. After I took over, I saw the then dean, Bob Holt, and discussed these matters with him. He was very responsive and made many changes which allowed us to function efficiently. Since then I have noticed a steady improvement in the functioning of that office. The dean and the associate deans always look to help us in the most cordial and efficient manner.

Most faculty members who have not dealt with the Graduate School in recent years would naturally think of the old notorious baggage, but those of us who had to deal with them on a regular basis do notice a sea change which is good for the University. Their fellowship program is administered through faculty committees and has been extremely effective. I cannot say enough about the McKnight program. Again, faculty members from across the Campuses serve on these committees and make very impartial decisions. I can testify as a former department head that we owe a great deal to our very successful recruiting and retention program because of this important component of the Graduate School. In these days when there is so much emphasis on interdisciplinary activities, we need the facilitating role that the School plays. I can give a very long list of very useful

activities conducted by the Grad School, but to make it short I would like to point out that we have a very responsive organization now which truly cares and plays a very vital role. It will be very easy to dismantle it, but the needs will have to be met and then finding the right people with the expertise and experience will take a long time. I also don't believe that such a move will result in any cost-saving.

I would like to recount a couple of examples of how the Graduate School responded to some of our needs recently. Just a few years ago, we were thinking of starting a math-biology seminar and we advertised it on the web. I got a call from Vic Bloomfield that he would be very happy to provide some funding for it and would also talk to his colleagues in biology areas. It helped us a lot in developing our new initiative in math-biology. In another mundane matter, last year our faculty attracted three NSF postdocs. Since the postdoc salaries were fully paid by the NSF in the first year, technically they were not university employees, so could not get health coverage. They were also not eligible for the bus passes. I thought about this vexing situation and called Associate Dean, George Green, of the Graduate School. I am happy to report to you that he got it done as efficiently as one could hope for inspite of having to fight the entrenched computer programs! What has really impressed me most is the general attitude there of willing to work with us and help, a remarkable change from the way it used to be.

In the matter of graduate admissions I think the pendulum has swung a bit too much in the other direction of not interfering with the decisions of the departments. I believe the Graduate School as an agency removed from the departments can play a very constructive role here without being obstructionists. It would help the departments if the Graduate School did raise some questions which don't have to be based on expertise but simply on the general appearance of the file. This suggestion will raise a lot of eyebrows, but I believe a good line can be drawn maintaining a decent balance.

I hope I have managed to convey what was on my mind. If this helps your Committee in any way, I will feel rewarded.

With warm regards,
Naresh Jain
Professor of Mathematics

From: "Joseph A. Konstan" <konstan@exchange.cs.umn.edu>
To: "swan@umn.edu" <swan@umn.edu>
Cc: "bruin001@umn.edu" <bruin001@umn.edu>,
"cmaziar@umn.edu" <cmaziar@umn.edu>,
"hudle001@umn.edu" <hudle001@umn.edu>
Subject: Thoughts about the Graduate School
Date: Thu, 4 Dec 2003 20:41:21 -0600

I just heard today that you are chairing a working group exploring the question of whether it would be cost-effective (and presumably educationally effective) to replace the Graduate School with a more decentralized administration of graduate programs, along with a central office to handle such matters as cannot be handled by the Colleges and programs. While I support the idea of holding "no cows sacred" and looking creatively at ways to improve service and cut costs (indeed, that is why I volunteered to serve on the committee studying the question of a three-semester schedule), I am writing to provide input to the process--and that input is to emphatically urge you not to decentralize the key functions of the graduate school.

I beg your pardon for the length of this letter, but I have strong feelings (and rather extensive experience) in this matter. In particular, I served as DGS of the Software Engineering program for two years, am now in my second year of a three-year appointment as DGS of the Computer & Information Sciences program, and have served on a number of committees underneath the aegis of the Graduate School, most significantly the committee commissioned by then-Dean Maziar to update the Graduate School Constitution.

I raised the very question "Why do we need a separate Graduate School?" during the constitution-writing process. At the time, I heard several strong responses, not all of which I believed. But now, after more experience as a DGS, I believe them. They are:

1. The graduate students at the U of M need a strong, central authority that advocates for them and serves their needs. I heard over-and-over from students on that committee, and in later hearings, that many graduate students feel their needs are not met by their departments and colleges. The Graduate School addresses these items in many ways, from working with students on issues of assistantship terms and working conditions, to providing centralized educational resources on teaching and post-graduation professional life, to providing extensive orientation, to providing an office and a Dean--if only as a moral force within the University--who can help address perceived unfairness and other issues. This role is even more important today, when the focus of some units on generating tuition (for IMG) may lead to reductions in the number of graduate (and therefore smaller) classes as well as larger classes or sections for TAs to teach.

2. The graduate programs depend upon a plethora of efficiently-delivered services that are not economical to replicate in the graduate-serving colleges. Chief among these is application handling. The graduate school's efficiency and expertise in handling applications--especially ones with transcripts from foreign schools--is laudable. They collect, verify, and help interpret application data from a wide variety of schools around the world. As someone who now runs a large program--with a very capable staff member who has learned to parse apart Universities across India and China--I still depend regularly on the expertise of people like Andy Lucas who can quickly assess programs we don't know (such as last year's unexpected batch from South Korea) and provide consistent guidance on admissibility (i.e., bachelor's degree equivalency and typical GPA) and transfer credit. I honestly cannot imagine that we could replicate this expertise in the individual colleges--especially the smaller ones. And I fear that we would be left with another unfunded mandate--go do this yourselves with no resources to do it professionally. I would point out that application-handling isn't the only service. The work the graduate school does in maintaining statistics for our programs (and providing data on comparable programs), on providing marketing advice for graduate programs (which saved a lot of money when we were advised that there wasn't much benefit advertising ourselves through certain listing guides), production of catalogs, and most generally in providing guidance and expertise through the staff's knowledge of the dozens of programs we offer has been tremendously valuable.

3. The Graduate School's P&R Council structure and program review mechanisms are the most effective example of faculty governance of program quality I know of in the University. I have been involved in many course proposal reviews, program change reviews, and new program proposal reviews. In nearly every case I was astounded by the thoughtfulness and thoroughness of the review process and the high quality outcome. Few programs were approved without rounds of revision--ones that I believe turned mediocre proposals into excellent ones and strengthened the program. Course proposals regularly had to justify their differentiation from seemingly similar courses--even when those courses cross collegiate lines. Certainly, there are aspects of this process that could be faster; I've joined and sometimes led the chorus to find faster ways to review changes and to make it faster to start new programs. But, to put it simply, if the review process were removed, or relocated to colleges (some of which lack effective faculty governance structures), I'd be very concerned about quality control.

While I'd prefer not to embarrass specific programs in this letter, I can cite two examples I'm very familiar with where the desired proposal would likely have done a significant disservice--in one case to the students in the program, in another to the instructors teaching in it.

4. The Graduate School provides a great deal of support to DGSes that can only be provided by a high-status officer off of the reporting line. From my own experience, I know that it has been valuable to be able to consult with the Dean and staff of the Graduate School when I have concerns about how my department may be short-changing the graduate program and its students. I could not get that advice or support from my collegiate Dean (i.e., my Department Head's boss) or the Provost's office (i.e., my Dean's boss) without the perception (and reality) of going over my boss's head, with all the baggage that contains. Furthermore, the structures of the graduate school have made it much easier for me as a DGS to consult with my peers (across college lines) to better understand both best practices and norms. Specific examples of that resulted in successfully arguing for more effort (another faculty member assigned) and money (a substantial budget) to do graduate student recruiting in my program.

5. The Graduate School has been instrumental in giving "some semblance of normalcy" to interdisciplinary programs, and to interdisciplinary participation within graduate programs. As a member of several graduate faculties--some of them housed outside my college--I appreciate this significant contribution. Moreover, among the strongest advocates for a strong graduate school during the constitution-drafting meetings were students and faculty in programs without a dominant department.

6. Programs such as the Graduate School Fellowship program, while they often annoy me (because I'd much rather just have "the money"), really do help in recruiting. The pressure of competing against other programs causes my program to invest much more effort in selecting fellowship candidates and then recruiting those with offers. And the fellowships carry significantly more prestige for the students who receive them (making them a more powerful recruiting tool than the internal fellowships we can award).

I could go on and on, and would be happy to elaborate if you would find it useful. But I'll close with just two observations. First, I actually think it would be useful to have more--rather than fewer--resources pass through the graduate school. In particular, I'd like to see the graduate school get the 25% of tuition that IMG awards to the advising college. Of course, most of this money should be passed right back to the graduate programs to allow them to administer their operations, but this would ensure that the money is spent as intended--on supporting graduate program operations--rather than diverted to support other activities. Second, to make sure I wasn't overreacting to what I see as a threat, I decided to check a handful of schools I respect:

Berkeley -- has a Graduate Division headed by a Dean

Michigan -- has a Graduate School headed by a Dean

Harvard -- has a Graduate School of Arts & Sciences headed by a Dean

Wisconsin -- has a Graduate School headed by a Dean (also VC for Research)

Illinois -- has a Graduate College headed by a Dean

Stanford -- no Graduate School, but separate Graduate Admissions, Graduate Life, Graduate Fellowship, and Graduate Student Information offices (centralized)

SUNY Binghamton -- Graduate School headed by a Dean (and vice-Provost)

Maryland -- has a Division of Research and Graduate Studies (headed by a VP Research / Dean)

Without significant evidence of the ability to carry these functions out efficiently in a distributed environment, I repeat my strong advice not to decentralize the functions of the Graduate School.

JK

--

Joseph A. Konstan

Associate Professor

Department of Computer Science and Engineering

Director of Graduate Studies, Computer & Information Sciences

former Director of Graduate Studies, Software Engineering

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Date: Fri, 05 Dec 2003 20:03:35 -0600
From: Karen Mesce <mesce001@umn.edu>
X-Accept-Language: en
To: swan@umn.edu,
bruin001@umn.edu
Subject: Graduate School's Future

Dear Craig-

I am sending this message to you regarding the Graduate School, and its importance to me personally. Briefly, its existence has had a major impact on my scientific career. Through the Graduate School, I was awarded the McKnight Land-Grant Professorship in the early '90s. This grant helped me to extend the scope of my first 5-year NIH grant and fund my first graduate student. The McKnight award gave me "a warm fuzzy feeling" about the U of M and introduced me to other scholars outside my own discipline. This early psychological boost gave me confidence in myself and created my allegiance to the U of M. When I was between grants, I was gratefully assisted by the Grad School's Grant-in-Aid-Program. I have now had over 15 years of continuous funding from NIH and NSF. Over the years, many of my best students have been honored with various Grad School awards. The prestige of these inter-collegiate awards, for myself and for my students, have enabled us to compete successfully for other awards, grants and jobs (2 of my students are tenured Associate Professors).

Over the years I have had the pleasure, and I truly do mean that, of serving on various Grad School Award committees. Thus, I can fairly say that I know what the selection process is like and how tough the competition can be. I know first hand that in order to reward the "best" at the U of M, funds can not typically be distributed to a department the same way all the time. Here resides the beauty of the Grad School, for we can reward the best applicants, independently of their department. There are times when the applicant pool in a given department is stellar and then, the following year, is quite poor.

I also have served on the Guy Stanton-Ford lecture committee, and have had the pleasure of inviting to the U of M the famed author Margaret Atwood and the Pulitzer Prize winning scientist Bert Holldobler, who has become a friend. Endowments that afford us this fantastic lecture series are through the Grad School, not through a specific department. I feel that the loss of the Grad School would jeopardize future endowments.

Since I have been a faculty member at the U of M, I have sadly witnessed the creation of departmental fiefdoms, fighting for teaching dollars and other resources. The Grad School is one of the ONLY institutions on

campus that enables me to feel that I am a part of a "greater" and "great" institution. I think that its dismantling would be appalling, and make the U of M a place I would consider leaving.

Thank you for letting me share with you my thoughts and views on the importance of the Grad School.

Sincerely,

Karen A. Mesce, Professor
Dept. of Entomology, Dept. of Neuroscience
and Graduate Program in Neuroscience
219 Hodson Hall

From: "Frances Lawrenz" <lawrenz@tc.umn.edu>
To: <swan@umn.edu>
Cc: <bruin001@umn.edu>
Subject: Support of the Graduate School
Date: Tue, 25 Nov 2003 14:09:36 -0600

The purpose of this email is to show my support for the graduate school and my fervent desire that it be continued. The graduate school is an extremely valuable resource for the University and I believe the quality of graduate education would suffer if the graduate school were disbanded.

The graduate school provides efficiencies of scale in terms of admissions and student progress that would be impossible to duplicate at the program level. The graduate school offers great service to students in terms of answering questions and recruiting that programs would not be able to supply. This also applies to providing a voice for students through COGS. Furthermore many issues involving graduate students (immigration rules for instance) must be dealt with centrally. The graduate school also provides a forum for everyone to discuss and reach consensus on issues of academic quality and how best to maintain it.

Having student (and faculty) awards processed through the graduate school guarantees fairness and equal representation as well as providing an important forum for interaction of people from throughout the University. It is critical that faculty and administrators be able to meet and accomplish things together and the award process does just that; developing insight and understanding across the University. Receiving a university wide award also has more prestige and more "vita power" than receiving a college or program based award. This across University understanding and awareness is especially enhanced through the interdisciplinary work supported by the graduate school.

In short, I think it would be a disaster if the graduate school were disbanded. Thanks
frances

Frances Lawrenz, Chair
Educational Psychology
Wallace Professor of Teaching and Learning
University of Minnesota
612-625-2046
lawrenz@umn.edu

Date: Tue, 25 Nov 2003 14:38:12 -0600 (CST)
From: Edward Schiappa <schiazza@tc.umn.edu>
To: Craig Swan <swan@umn.edu>
Subject: Graduate School Future

Dear Professor Swan:

It is my understanding that you are Chair of the Budget Advisory Committee Working Group on the Graduate School established by President Bruininks to consider the possibility of decentralizing most of the current activities of the U of M Graduate School.

I write as the Director of Graduate Studies of Communication Studies here at the U of M, as a former DGS at Purdue University, and as a former Associate Dean of the Graduate School here at the U of M.

As I am not familiar with any details of any particular proposals, I write neither "for" or "against" anything, but rather simply to stress that I believe a centralized Graduate School is an extremely valuable and efficient means to administer the many and diverse graduate programs here at the U of M.

Since the most radical hypothetical proposal would be the elimination of the Graduate School, let me suggest several reasons I think that would be a bad idea. No doubt you have heard these concerns before, but they are worth repeating.

* Efficiencies of scale: If the functions of the GS's Office of Admissions, Graduate Student Services and Progress, and Outreach were to be "outsourced" to colleges and departments, substantially more people would have to be hired in the units than are employed in the Graduate School. Without additional resources, this would be an unfunded mandate imposed on the units. I do not think money would be saved.

* Experience and expertise: Serving graduate students is not a trivial process. It requires experience in dealing with difficult situations such as the impact of Homeland Security and problems between individual students and faculty. It also requires expertise in diverse areas such as international transcript evaluation and development of technological solutions such as program data reports and on-line forms. The Graduate School is responsible for uniform custodianship and consistent reporting of graduate student data, which is important both for local use and for national survey purposes.

No doubt it is assumed that there could be an office created in the Provost's Office to assume some of these duties. But I cannot help but think that either we would end up creating an infrastructure that largely duplicates what is already in place, or else there would be serious gaps left. Again, I doubt that significant money could be saved, or if much WAS saved I would worry about what value was lost as a result.

* Assurance of uniform academic standards: Graduate School review of proposals for new programs and courses draws upon faculty expertise and evaluations from a range of academic units, enforcing University-wide consistency with respect to academic expectations and performance. If this review were done only locally, local interests and constraints could outweigh broader University standards.

I think this is a VERY serious point to consider. I have been involved (in one stage or another) with many new graduate program proposals over the past 8 years. The Graduate School is the ONLY place where careful and systematic review takes place. The U of M already grants more separate graduate degrees than any other program in the nation (and probably the world). It is vital that centralized control and review of these proposals continue.

In my capacity as an Associate Dean, one of my tasks was to coordinate the review process for new graduate degree programs. With every proposal I sought the feedback of a TEAM of experts, including Andrea Scott (the Director of Admissions), Karen Starry (the Director of Graduate Student Services & Progress), and Vicki Field (Special Assistant to the Dean of the Graduate School). This was a mighty team, indeed, and their collective wisdom concerning graduate programs was considerable. I have serious concerns about future proposals if the review process is decentralized. The new graduate program in Asian Languages & Cultures took YEARS to refine and develop, but it is now a fine proposal largely due to the efforts of this very fine team at the Graduate School.

* Advocacy for graduate students: The Graduate School works to enhance the quality of the graduate student experience, through such diverse efforts as negotiating health insurance, encouraging education in professional skills, and participating in national efforts to improve graduate education. We are the means through which the Council of Graduate Students (COGS) communicates with the University administration, and can work on issues such as affordable housing. Without the Graduate School, crucial aspects of the broader scope of graduate education would be overlooked.

* Prestige of all-University competitions: When students win graduate fellowships or dissertation fellowships, or when faculty win McKnight Professorships or GIA research grants, they have the pride (and can put on

their vita) that they won in an all-University competition. Awards at the local level do not have nearly the same stature. All-university competitions direct funds annually to those who win on merit, regardless of their college affiliation.

* Support of interdisciplinary programs: The Graduate School is recognized as the prime supporter of interdisciplinary research and graduate education activities. A large and growing proportion of graduate programs involve more than one department or college, and our support for interdisciplinary research, scholarship, and creative activity nurtures important new areas. If the Graduate School were disbanded, the University's activities would likely become much more fragmented and compartmentalized, and our ability to compete for federal research funds and to attract the best students - both of which depend increasingly on interdisciplinary programs - would be damaged.

Please feel free to call upon me if you wish any more specific feedback to the various proposals you are considering. I quite agree with the notion that the U of M needs to consider any and all options to make the U more efficient, but I fear that this is one area where considerable damage could be caused with no significant net savings.

Sincerely,

Edward Schiappa, Professor
Paul W. Frenzel Chair of Liberal Arts
Communication Studies Department

Date: Tue, 25 Nov 2003 15:05:51 -0600
To: swan@umn.edu
From: Christian Teyssier <teyssier@tc.umn.edu>
Subject: Graduate School
Cc: victor@umn.edu,
upres@tc.umn.edu

November 25, 2003

Professor Craig Swan
Chair of the Budget Advisory Committee Working Group on the Graduate School
University of Minnesota- Minneapolis

Dear Professor Swan:

I have become aware that the existence of the Graduate School is being challenged once again; this letter to you and your committee is to provide perspective from a Director of Graduate Studies, and more generally a citizen of this University. The Budget Advisory Committee Working Group on the Graduate School has the specific mission to identify potential operational efficiencies and cost savings. This task is certainly important, and the Johnson report (Graduate School Review) produced in the early nineties should provide a sound starting base for your committee. However, the goal of my letter is to urge your committee to examine the broader implications of the activities taking place in the Graduate School, beyond the budgetary considerations.

First, I would like to express strong support in favor of keeping the Graduate School as a separate entity within the University. I do not see how the efficiency of the Graduate School could be improved significantly; any alternative scenario would have to generate at least the equivalent staffing. What makes the strength of the Graduate School, like all communities, is the quality of the staff and their collective experience. As Director of Graduate Studies I feel very fortunate to be a phone call or e-mail message away from such competent staff members as Karen Starry, Alison Skoberg, and Vicky Fields, to name just the few people with whom I communicate on a regular basis. This centralized resource saves me time and energy, and allows me to resolve problems swiftly, to the students' ultimate benefit.

I believe that the changes brought about following the Johnson's committee review in the early 90s were very positive. The Graduate School is now trim, efficient, and friendly and helpful to the students. Your committee will be the ultimate judge of this, but my feeling is that the Graduate

School has operated very effectively in the last 10 years under its new regime.

However, my support goes beyond the administrative services provided by the Graduate School, and gravitates toward the concept represented by a Graduate School. Below are two arguments that I feel very strongly about:

1. The Graduate School promotes a spirit of academic excellence that transcends departmental, college, and provostial activities.

Units in the University's colleges and provostial areas are inevitably in competition with each other, and the potential for political maneuvering is great. A separate Graduate School that forms its own layer is necessary, in my opinion, to ensure that the driving force of graduate education remains the quality of the students admitted and the quality of the research programs. Having the Graduate School as an independent layer solidifies, in my view, the very definition of a "university". Graduate fellowships and faculty grants are awarded on a University-wide basis, and resources are allocated to a wide variety of academic fields irrespective of the amount of external support these fields bring in to the University. Doing away with the Graduate School may put some graduate programs in harms way, particularly in the Arts, where students and faculty depend heavily on graduate fellowship and tuition fellowships. Any alternative model to the Graduate School would have to ensure that the independence and wide representation now provided by the Graduate School is preserved.

2. The Graduate School is a forum for faculty to meet and interact across the departmental and collegial boundaries.

As a direct result of the broad function served by the Graduate School, I have had the chance to participate in many University-wide committees. The best meetings I have had in my 18-year career at Minnesota have taken place in Johnston Hall, as I served on Fellowships committees, Fulbright selection committees, a Strategic Planning committee, etc. If it were not for these activities, I, a professor of Geology, would probably never meet faculty from the performing arts, literature, history, medicine, agriculture, etc. I have colleagues and friends now in these areas of the University, thanks to the opportunity provided to me by the Graduate School. At a time when the University's rhetoric is to improve the sense of community, I find it disturbing that it is considering doing away with the unit that has promoted the greatest level of faculty interaction.

In summary, I think it would be a great mistake on the part of the University to dismantle the Graduate School. The new structure that resulted from the Johnson report over 10 years ago, and the positive

mission changes that occurred as a result, have improved the graduate experience tremendously for both students and faculty. The Graduate School has an unusually experienced, knowledgeable, and dedicated staff to take care of admission (particularly of foreign students), and support of the students during their graduate experience. My experience with the graduate School is that it is a trim and well managed administration. In addition, the Graduate School has promoted faculty interaction and enhanced the reputation of the University of Minnesota through major faculty awards such as the junior and senior McKnight Professorships. I hope your committee will examine all the facets of the Graduate School before making dramatic decisions on this important component of the University.

Sincerely,

Christian Teyssier
Professor Geology and Geophysics
Director of Graduate Studies
2003 Distinguished Teacher

cc:

Robert Bruininks, President of the University
Victor Bloomfield, Dean of the Graduate School

Christian Teyssier
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<http://www.geo.umn.edu/people/profs/TEYSSIER.html>

Date: Wed, 26 Nov 2003 07:59:43 CST
From: larga002 <larga002@umn.edu>
Subject:
To: swan@umn.edu

Dr. Craig Swan
Chair, Budget Advisory Working Group
on The Graduate School
University of Minnesota

Dear Dr. Swan:

I am writing to express my strongest possible support for the continued existence of a strong, central University of Minnesota Graduate School. The Graduate School, as currently configured, is in the best possible position to support faculty and graduate programs in ensuring a fair and efficient admissions process, maintaining adequate standards of excellence in graduate education across the university, recognizing and rewarding and success, and in encouraging new initiatives in research, scholarship and education. I count my past involvement with the Graduate School as one of the big benefits of having chosen to accept a position at the University of Minnesota.

The continued presence of a well-supported graduate school is central to maintaining Minnesota's strength as a research institution. It is inconceivable to me that a better solution to the mission of the Graduate School would be found by de-centralization. Thank you for taking time to consider my input on the project in which you are engaged.

Sincerely,

David A. Largaespada, Ph.D.
Associate Professor
Margaret and Harvey Schering Land Grant Chair in Cancer Genetics
Department of Genetics, Cell Biology, and Development
and University of Minnesota Cancer Center
Leader, Genetic Mechanisms of Cancer Program
Director, Mouse Genetics Laboratory

From: "Jeffrey Kahn" <kahnx009@umn.edu>
To: <swan@umn.edu>
Subject: grad school issues
Date: Wed, 26 Nov 2003 11:09:34 -0600

Hi Craig--I'd like to add my voice to those weighing in on the current discussions regarding the future of the Graduate School. From the perspective of one who leads a large interdisciplinary effort on campus, it would be a serious mistake to dissolve the Graduate School and the central functions that it performs, in favor of moving graduate education oversight into the colleges. Much of what we do spans schools, colleges, and programs, and the Grad School provides both a central location and acts as an advocate for interdisciplinary education, research, and programs. Without this role, we will face even greater compartmentalization without offsetting advocacy--which could be a toxic combination. Given Pres. Bruinink's stated commitments to interdisciplinary efforts, I urge your task force to carefully consider the implications of your decisions not only on the budget, but on their impact on cross-cutting programs. I would be happy to speak with you or to the group to answer any questions you may have. Best regards,

Jeff Kahn

Jeffrey Kahn, PhD, MPH
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Date: Thu, 27 Nov 2003 11:22:32 -0600
To: swan@umn.edu
From: Gloria Leon <leonx003@umn.edu>
Subject: Graduate School planning
Cc: bruin001@umn.edu

Dear Craig,

It clearly is a challenge for the University to live within the severe budget constraints that have been imposed, and to come up with creative and effective solutions to these problems. A thorough evaluation of administrative functions and assessment of possible duplications across different parts of the University is always good. However, I understand that the Twin Cities Deans Council is considering the option of dissolving the Graduate School. I have worked closely with the Graduate School over the years in my varying roles in administering the clinical psychology graduate program, fellowships for graduate students, etc., my activities as a member of the Graduate School Advisory Committee, and as a recipient of several grant-in-aids.

The Graduate School serves a unique function, and an important part of this is the reality that on many issues, the decisions made relate to the University as a whole (such as GRAC review panels, etc.). I frankly don't see how the multi-varied activities and important new initiatives of the Graduate School (such as Center grants) could be folded into the various Colleges and Schools. It is so important to have a central place to deal with the student and faculty issues that the Graduate School now carries out, and to have consistency in these procedures, as affecting new and continuing students. I can only foresee a very chaotic situation if the Graduate School functions are redistributed.

In these difficult times, let's not throw out the baby with the bath water!

Regards,

Gloria

--

Gloria R. Leon, Ph.D.
Professor of Psychology
University of Minnesota
Elliott Hall, 75 E. River Rd.
Minneapolis, MN 55455
Phone: (612) 625-9324
Fax: (612) 626-2079

Date: Sun, 30 Nov 2003 16:38:18 -0600
To: swan@umn.edu
From: Claudia Neuhauser <CNeuhaus@cbs.umn.edu>
Subject: Future of the Graduate School

Dear Dr. Swan,

I am very concerned about relocating activities from the Graduate School to other units. A little while ago, when I first heard about this, I sent an e-mail message to Dean Elde and more recently to Dean Bloomfield. I would like to share with you the concerns I shared with them:

Why Do We Need a Graduate School? A Personal Statement.

I will argue below that the Graduate School is a central part of graduate training that has not lost its importance over time. Here are my reasons:

As faculty, we train graduate students as members of graduate programs not as members of departments or colleges. The distinction between departmental faculty and graduate faculty, though confusing to outsiders, has the distinct advantage that graduate training in a graduate program is provided by a much larger pool of faculty than would be possible if membership in a graduate program was tied to departmental units. It removes institutional barriers and fosters cross-disciplinary and interdisciplinary research. It allows for flexible training of graduate students that can quickly adapt to new challenges, in particular in interdisciplinary research, since new departments need not be created. Other schools, like the University of Wisconsin (I used to be there before I moved here), don't have this flexibility. Faculty members there need to have 0% appointments in the respective departments, which resulted in departments being very hesitant to allow "outsiders" into their faculty to advise their students and discouraged interactions across disciplinary boundaries. In a time where interdisciplinary research is becoming more and more important, it would be detrimental to the mission of the University of Minnesota if graduate education become college based and interdisciplinary programs would find themselves without a home.

In hiring new faculty, I have always used the Graduate School as one of the reasons why someone should come here. I have been at a number of universities besides the U as a faculty member (University of Wisconsin, University of Southern California, and UC Davis) and the U has been the only place where departmental boundaries are no obstacle to interdisciplinary research--this is in no small part due to the Graduate School.

Graduate students are enrolled in the Graduate School and thus have to follow rules that hold across all programs. In my experience as DGS, the Graduate School is very efficient and proficient in administering graduate programs. There is little bureaucracy; the rules are simple, straightforward, and logical. If every unit developed their own graduate program with their own rules, there would soon be a multitude of different ways to administer programs that would not necessarily be better but would certainly make it

difficult for faculty to navigate different programs. Centralized administration of graduate programs likely results in less administrative load and should be less costly than if every college ran their own programs. The Graduate School provides many services to DGSs and graduate students. This includes training programs and very knowledgeable staff; they have been particularly helpful to programs when dealing with international students.

The Graduate School maintains uniform academic standards. The combined knowledge of faculty from different programs can help when new programs are proposed. I have been on program review committees and I was glad to see that programs were reviewed by other programs to remove inconsistencies that were more apparent to someone from the outside who was trying to understand the proposed program structure.

The Graduate School provides valuable support to graduate programs in the form of fellowships. A University-wide fellowship provides more prestige than a fellowship that is distributed at the college level. There seems to be some grumbling about how fellowships are awarded to graduate programs. (CLA affiliated graduate programs are eligible for a large number of first year and last year fellowships, though they bring in little grant money compared to IT or CBS; however, CLA brings in substantial tuition.). If funding for graduate students was distributed according to research funds that departments bring in, many fields, like philosophy, English, classics, etc. would disproportionately suffer. Graduate programs in the liberal arts have a much more difficult time to obtain funding for their graduate students from federal agencies (NSF or NIH) than graduate programs in the sciences or engineering. We should not dispense with the luxury of training students in fields that are not economically sustainable. After all, there is „a Common Bond through all the Arts.%o

I strongly support the Graduate School and hope that its role will not be diminished due to budget considerations.

Regards,

Claudia Neuhauser
Professor, Interim Head, and
Director of Graduate Studies
Ecology, Evolution and Behavior
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<http://biosci.cbs.umn.edu/eeb/faculty/NeuhauserClaudia.html>

VOICE 612-624-6790
FAX 612-624-6777

From: "James D. Tracy" <tracy001@umn.edu>
To: "Craig Swan" <swan@umn.edu>
Subject: reasons for not dissolving the Graduate School
Date: Mon, 1 Dec 2003 15:09:24 -0600
X-Priority: 3

Dear Craig,

I understand from Vic Bloomfield that your committee is charged to consider "dissolving the Graduate School" as one of a number of possible cost-saving measures.

I have felt for a long time that our cherished regimen of academic professionalism has some unintended consequences, one of which is that a trendy field of inquiry, once granted status in the academy, can define standards for itself in ways that would not pass muster in more established areas. There is not much to be done about this, but I do have the sense that such a unit, if encouraged by the example of other units, can gradually begin to raise its sights. In other words, the problem may not be a very serious one, but it might become so if we abolish the Graduate School, whose committees and reviews are about the only way in which faculty at large get a sense of what is going on in other units.

It is also my experience that the intellectual (and to some extent partisan) fault lines that are always visible within the walls, so to speak, of a given College are just not very visible at the Graduate School level. For this reason, I would not want to see all our research awards handled by College-level committees.

Finally, I have also been impressed over the years by the sheer professionalism of the people who work for the Graduate School. I fear that, should this accumulation of skill and experience be dispersed, we and our graduate students should not soon see its like again.

Yours,

Jim Tracy

Date: Tue, 02 Dec 2003 09:38:21 -0600
From: "Larry McKay" <LMCKAY@che.umn.edu>
To: <bruin001@umn.edu>,
<cmuscop@umn.edu>,
<sbaugher@umn.edu>,
<swan@umn.edu>,
<victor@umn.edu>,
<wschafer@umn.edu>
Subject: The Graduate School

December 2, 2003

Dr. Craig Swan
Chair of the Budget Advisory Committee Working Group

Dear Dr. Swan:

I have been a faculty member at the University of Minnesota for almost 34 years, and I nearly wept with dismay and disgust when I heard that the Budget Advisory Committee Working Group was considering relocating activities from the Graduate School to colleges/schools or to Admissions and the Office of the Registrar, and that the Twin Cities Deans Council, in its efforts to propose solutions to the FY05 budget problem, was considering an option of „dissolving the Graduate School, putting all forms of student aid into the colleges to be administered through separate accounts.‰ I consider the Graduate School and its mission to be at the core of the University of Minnesota. If we want to continue to be a leading research University with high standards, retaining the Graduate School as a separate entity is essential. It is unthinkable to me that the University of Minnesota would even contemplate dissolving the Graduate School in favor of a decentralized system in the colleges or departments.

First, let me say that I fully endorse the many statements from Vic Bloomfield concerning the contributions of the Graduate School.

Second, I feel that the price of decentralization goes beyond the mere cost of replicating documents, materials, clerical assistance, etc. It ignores the „lost opportunity‰ cost of redirecting the research and teaching activities of multiple faculty members to learning and conducting the myriad, essential activities of a Graduate School.

Third, diverting budgets to colleges would result in the mingling of graduate program funds with undergraduate, research, outreach, administrative, and operating funds within each college or department. Not only does this compound the administrative problem, but it may also result in graduate funding not reaching the appropriate destination. Graduate education would never be a primary focus of the unit as it has been in the Graduate School.

Fourth, let me remind all those proposing this move that many graduate programs span several departments and/or colleges. The negotiations on those types of programs would be onerous if they were to operate at a collegiate or departmental level.

Fifth, one should never forget the quality management function that the Graduate School performs. No one likes to suggest that without Graduate School oversight some programs might lower the bar, but it is a real possibility, and the reputation of the entire University would suffer from it.

From my perspective, the proposal for eliminating the Graduate School has far more points on the downside than it has supporting the idea. I sincerely hope that all viewpoints and the potential outcomes for all plans will be considered before a decision is reached.

Sincerely,

Larry McKay

Professor of Food Microbiology
Director of Graduate Studies in Food Science
University of Minnesota Award for Outstanding Contributions to Postbaccalaureate,
Graduate, and Professional Education
University of Minnesota Academy of Distinguished Teachers

Cc President Bruininks
Interim Dean Victor Bloomfield
Dean Muscoplat
Dean Baugher
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Lawrence R. Jacobs
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Dear Craig:

I understand that there is a proposal afoot to abolish the Graduate School and devolve many of its functions to the Colleges. Although I do believe in institutional innovation and welcome the opportunity to rethink how the Graduate School's functions might be performed in creative new ways, the proposal to shift more authority and money to the Colleges is, in my view, bad policy and will exacerbate the already substantial barriers to working across units.

A word about my perspective on these issues. I have recently participated in several significant evaluations for the Robert Wood Johnson Foundation and the Pew Charitable Trusts that focused on the leading public and private universities in the country. "Low walls" and cross-unit collaboration are the watchwords at other universities and at the major foundations. In addition, I have tried to work across units at the University of Minnesota, reaching outside CLA to work with colleagues on major projects in the Humphrey Institute, COAFs, CNR, the Med School and elsewhere. And, I often feel like a salmon trying to swim upstream.

The bottom line, as you well know, is that low walls are critical to facilitating cutting-edge work, which is increasingly requiring collaborations across disciplines, departments, and colleges – neuroscience and cognitive psychology, public policy and science, and so forth. I have co-directed an institute on the St. Paul campus with a molecular biologist that is developing a model for governing biotechnology; our blueprint was just published in the flagship journal, *Nature Biotechnology*. These kinds of seemingly odd collaborations – a political scientist and molecular biologist working together? – are increasingly common across the country. Innovation is no longer proceeding along the old lines that initially determined the organization of the university; new issues, technologies, and processes are requiring different ways of organizing universities.

The University of Minnesota finds itself with powerful incentives that reinforce unit orientations. On different parts of campus, you find the functional equivalent of China's Great Wall. The reason is simple and a rational working out of the system's incentives: collaboration is costly in unit-specific terms even though it often offers rich benefits for the University as a whole. Faculty that collaborate or teach a course in another unit are

not teaching within their home unit and therefore are "just cost." Institution building falls in the same boat: the home unit gets "only cost" and "no benefit." What is the lifeblood of intellectual innovation at the best universities in the country is too often penalized or resisted at the U of M.

In short, the challenge at U of M is that *we have generated particularistic definitions of "benefit" that intensify and radically expand the already factionalized nature of a large university. There are few parts of the U of M that define "benefit" in non-unit terms.* This is a substantial problem and it is growing challenge as we move forward.

The Graduate School has been one of the very, very few spots in the University that encourages a non-unit orientation. I received a McKnight grant, which led to articles in my profession's flagship journals including the *American Political Science Review* and a book with a major university press. In addition, I have served with enthusiasm on its grant selection committee for a number of years. This selection committee's discussions about broad, cross-university research parallel those that funders at the largest foundations and universities are having.

Devolving the Graduate School's functions to the colleges moves the U of M in the wrong direction by adding to the already significant institutional bias against cross-unit collaboration and it will do this at the very moment that innovation requires this kind of collaboration.

We need vibrant cross-university entities like the Graduate School. Indeed, we need more (not less) such entities to encourage cross-unit collaboration.

Regards,

Larry

From: Lawrence Rudnick <larry@astro.umn.edu>
Date: Mon Dec 29, 2003 2:39:09 PM America/Winnipeg
To: swan@umn.edu, Victor Bloomfield <victor@umn.edu>, Lawrence Rudnick <larry@astro.umn.edu>
Subject: Budget working group/grad school
Reply-To: larry@umn.edu

Craig -

Sorry this note is so late, but my Mom passed away suddenly and life has been crazy for the last month.

I got a note from Vic Bloomfield about the Grad School, as a unit, being on the table in terms of possible breakup and distribution of its functions into colleges. I'm writing to express my opinion that this would be quite a bad thing for the U as a whole.

I was the Astrophysics DGS for 14 years. During that time, I had many 'battles' with the Grad School re: functions that I felt were duplications of what was happening at departmental level. This situation has improved dramatically to the point where I can identify little, if anything, that is redundant in our functions.

I simply cannot picture the functions now carried out in the Grad School done more efficiently at college level. Visa issues, just to open a can of worms. You don't want each college trying to figure out that system, for sure. Reliable/unreliable places for GRE scores - develop that expertise in each college? Issues of grad support - I remember when Bob Holt pushed the first tuition waivers and medical coverage - clearly again a major factor in our competitive positioning and one that would have been much harder to pull off with functions distributed.

Interdisciplinary programs? As someone who worked for awhile across college boundaries with the undergraduate "Our Changing Planet" course - the overhead in not having some administrative structure finally just wore me down, and we didn't survive the semester transition.

At any rate, I see either a much greater cost to perform functions at college level, or a severe reduction in the support for high quality, competitive graduate programs if things were to be split up.

Good luck with your unhappy tasks.

Larry

From: David Tilman <tilman@umn.edu>
Date: Mon Dec 22, 2003 11:41:30 AM America/Winnipeg
To: Craig Swan <swan@umn.edu>
Subject: The Graduate School

Dear Craig,

I write to express my deep concern about some of the proposals being considered for the Graduate School. In my 28 years at the University, the major force -- and often the only force -- encouraging and supporting excellence in faculty research and graduate education has been the Graduate School. Because the Graduate School is University-wide, it has been able to allocate scarce resources to support the most promising graduate students, graduate programs, and new faculty from across the University. This has four major and highly beneficial effects. First, the University attracts and supports the best applicants to our graduate programs independent of program or college. Second, new faculty start their careers knowing that the University cares about and invests in their research, but only when it meets high standards. Third, a clear message is sent to new faculty and programs that do not receive such support that they need to raise their standards. Fourth, graduate faculty groups that can build a strong program are able to compete for resources even though the program may not be in a financially well-endowed college.

For the University to continue to have highly ranked research programs, it is essential that the University invest in our strengths on a University-wide basis that is unbiased by college or campus. The Graduate School does this extremely well. The various Graduate School committees on which I have served (GRAC, including chair, McKnight University Professor Committee, etc.) have always pursued their missions in a refreshingly open, even-handed and intellectual manner that has been unbiased by departmental or collegiate politics.

I strongly believe that it would be a major mistake to turn over many of the functions of the Graduate School to the various Deans. The reorganization that occurred when Yudof was President gave the Deans much more responsibility and power than ever before. The Deans, though, are already overburdened and their decisions already carry great weight. The Graduate School provides an essential balance of power. It also remains the only part of the University fully dedicated to excellence in research.

I do not know all the internal working of the Graduate School well enough to claim it should be free from some reforms. However, I do know that, in broad form, the Graduate School has been an essential force for quality. The University needs the Graduate School. If there are to be any changes to the Graduate School, the changes should strengthen it by giving it greater resources to invest in our strongest students and younger faculty.

Sincerely,

David Tilman
Regents Professor,
McKnight Presidential University Chair in Ecology and
Director, Cedar Creek Natural History Area

Department of Ecology, Evolution and Behavior
University of Minnesota
1987 Upper Buford Circle
St. Paul, MN 55108 USA

From: Rodney Johnson <johns022@umn.edu>
Date: Mon Dec 22, 2003 11:00:42 AM America/Winnipeg
To: victor@umn.edu
Subject: Graduate School Budget Advisory Committee Working Group

Dear Vic:

I sent an e-mail message to Dr. Swan a couple of weeks ago concerning the Graduate School Budget Advisory Committee Working Group. I just realized that I forgot to cc you so I've reproduced the message I sent below. At our McKnight Committee meeting last Friday I found out that the College of Pharmacy dean was one of those questioning the continued existence of the Graduate School. I was disappointed to hear this but not surprised knowing our dean. Please don't hesitate to contact me if there is anything else I can do regarding this issue.

Bob

Dear Dr. Swan:

I understand that your group as well as the Twin Cities Deans Council is looking at the future of the Graduate School. It is my understanding that one of the issues being addressed is to identify potential operational efficiencies and cost savings. I support such examinations as I am sure does the Graduate School, because we need to become more efficient. I would hope that this also is occurring in all units, although I have not heard of any such examination in my unit. In fact in my unit over the last 8 years, the administration and its structure has grown exponentially to a point where we now have a one dean/associate dean for every 7-8 faculty.

I understand another issue under consideration is the actual future existence of the Graduate School. As a 25 year member of the graduate faculty, a past DGS, and a member of several Graduate School committees over the years, I write to offer my strong support for continuing the existence of the Graduate School. I believe it serves several important functions. Perhaps its most important function is that it provides an umbrella under which a set of uniform academic standards are put in place and enforced. Without this units and programs would certainly develop their own standards and in the long run this would be disastrous for this University's reputation.

As a former DGS, I can also attest to the vital resource function the Graduate School serves for all sorts of important issues dealing with graduate students. This would be lost if the Graduate School were disbanded. Each individual unit would have to develop their own expertise. Even if they were provided the resources to do this, which seems highly unlikely, this seems very inefficient.

Finally, I believe the Graduate School serves as a means of identity to a function that is one of the most important aspects of a major research university; the education of graduate students. Much of this University's scholarly activity and research is linked to this endeavor. Even in these tight economic times, the University is missing the boat if it is not looking at how it can strengthen the Graduate School.

Sincerely,

Rodney Johnson, Ph. D.
Professor
College of Pharmacy

Rodney L. Johnson, Ph.D.
Professor
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From: "James Reinardy" <JREINARD@che.umn.edu>
Date: Thu Dec 18, 2003 4:36:48 PM America/Winnipeg
To: <swan@umn.edu>
Cc: "Jean Quam" <JQUAM@che.umn.edu>
Subject: Future of the Graduate School

Dr. Craig Swan
Chair, Budget Advisory Committee
on the Graduate School

Dear Dr. Swan:

At our December 18, 2003 Graduate Faculty meeting, the School of Social Work faculty discussed the future of the Graduate School and, specifically, the option of dissolving the School, putting its student aid funds into colleges, and moving its other responsibilities to various administrative units. To put it simply, not one of the 25 faculty members participating in the meeting thought it to be a good idea. Several concerns were raised. Overall, there was an unease about what appears to be a temptation, at universities as well as within many organizations with resource problems, to see administratively distinct units as low hanging fruit--with the danger of not fully appreciating long-term consequences. Given the long-established use of Graduate Schools in research universities that are similar to ours, the SSW faculty didn't think it prudent for the University of Minnesota to spearhead such an experiment. One member of our faculty mentioned that Michigan State had once dissolved its Graduate School, only to reinstate it.

The experience of our faculty and administrative staff has been that the Graduate school is very efficient and effective in its operations, and especially productive for its relatively small size. It has been most helpful with the expert consultation it has provided us in a variety of issues that affect graduate students, including the evaluation of transcripts and problems that occur with the admission of international students. Faculty members also mentioned the quality assurance role the Graduate School, its Policy and Review Councils, and its dissertation criteria play in assuring academic excellence. Finally, faculty members raised additional and major concerns from our perspective as a professional program. Membership in the University of Minnesota Graduate School gives our program a status and credibility it would not have if it were simply a member of a collegiate unit. Additionally, and most importantly, membership in the Graduate School helps to build the interdisciplinary relationships that are critical to a profession such as social work, which integrates knowledge from several disciplines represented throughout many of the colleges. The Graduate School has served as a catalyst and bridge for the building of interdisciplinary or dual programs that serve to enhance our curriculum and academic status, including the Minor in Gerontology, the MSW-Master of Public Policy Dual Degree, and, most recently, the MSW-Master of Urban and Regional Affairs.

In summary, our faculty strongly believes that it would be a mistake to dissolve the Graduate School. We also believe that, as your committee studies the data, it will come to the same conclusion.

Sincerely,

James Reinardy, M.S.W., Ph.D
Associate Director & Director of Graduate Studies
School of Social Work
105 Peters Hall
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St Paul, MN 55108
612-624-3673

From: "Gordon E. Legge" <legge@umn.edu>
Date: Wed Dec 17, 2003 12:02:02 PM America/Winnipeg
To: "Craig Swan" <swan@umn.edu>
Cc: "legge@umn.edu" <legge@umn.edu>
Subject: Working Group on the Grad School - Comments

Dear Craig and Colleagues in the Working Group,

I am writing in my role as director of the Center for Cognitive Sciences (CCS) to comment on the proposal to disband the Graduate School.

CCS is an interdisciplinary unit with faculty and student members from 6 collegiate units, funded through a mix of federal grants and university sponsorship (contributing units for FY03 included CLA, CEHD, IT, CSOM, the Medical School, and the Graduate School.) Our mission is to train grad students and foster research collaboration in the interdisciplinary field of cognitive science.

During our Center's entire 35 year history, the Grad School has played a pivotal role in our success. Here are two recent examples.

) In June 2001, Dean Maziar convened a meeting of the deans of our sponsoring units to review the Center and develop an appropriate funding distribution across units. Following the meeting and subsequent data reporting by the Center, Dean Maziar arranged a 3-year funding plan involving the 6 units listed above. Without the coordination and oversight implemented by Dean Maziar and the Grad School, our Center would have had to struggle through unilateral dealings with six different sponsoring authorities.

) During the current year, we have a lapse in funding for our major NIH graduate training grant. (Our renewal application has very high priority score of 117, so I anticipate resumption of funding in 2004.) The Graduate School has played a key role in providing us with interim funding to maintain commitments to ongoing graduate trainees, and to sustain the infrastructure of our Center.

The larger point here is that interdisciplinary centers, such as ours, depend critically on the Graduate School, in particular, on its lateral, interdisciplinary scope and mission. In a large university like ours, interdisciplinary fields like cognitive science, have widely distributed pockets of faculty and students. Interdisciplinary units, like the Center for Cognitive Sciences, must contend with this fragmentation. Without a cross-cutting administrative unit like the Grad School, the fragmentation will increase.

Switching hats for a moment, I'd like to mention two other contexts in which the Grad School has been especially important to my career as a faculty member at Minnesota. First, I have benefited from membership in the interdisciplinary Graduate Program in Neuroscience (GPN). I doubt that neuroscience would have gained its current prominence at Minnesota without the Grad School's early support for GPN. Second, I have been honored by designation as a Distinguished McKnight University Professor. This professorship program, administered through the Grad School, has contributed to my academic success at Minnesota, and has also encouraged me to serve the University as director of our Center for Cognitive Sciences.

I wish you well in your examination of the Grad School. I do hope that your recommendations will result in an even stronger presence for the Grad School on campus.

Yours sincerely,

Gordon

Gordon E. Legge, Ph.D.
Director of the Center for Cognitive Sciences, and
Distinguished McKnight University Professor

University of Minnesota

From: Marc Jenkins <marcj@mail.ahc.umn.edu>
Date: Thu Dec 18, 2003 7:38:25 AM America/Winnipeg
To: swan@UMN.EDU
Cc: Victor Bloomfield <victor@UMN.EDU>
Subject: BRAC

Dear Craig

I am the Chair of the Graduate School Grant-In-Aid Biological Research Advisory Committee. Our committee reviews faculty Grant-In-Aid proposals, about 40% of which receive funding from the Graduate School. Priority for funding is given to new faculty members and established investigators who need bridge funding due to a lapse in a federal grant. This program is legendary throughout the University because it is one of the few programs that puts internal research dollars directly in the hands of deserving faculty members on a competitive basis. Much of the funding goes directly to support the thesis research projects of graduate students, and certain programs in nationally underfunded areas rely heavily on the Graduate School Grant-In-Aid program to fund their research. Although it is conceivable that this program could be moved out of the Graduate School, I have witnessed the outstanding expertise and leadership that the Graduate School staff provides. It is my opinion that the dissolution of the Graduate School Grant-In-Aid program or moving it to a less qualified administrative unit would be an error with negative consequences for faculty members and their graduate students. Given that many faculty members parlay their Graduate School Grant-In-Aid funding into larger federal grants, it also makes financial sense to retain this program. Please consider these arguments in your deliberations as Chair of the Budget Advisory Committee Working Group on the Graduate School.

Marc

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Distinguished University Teaching Professor
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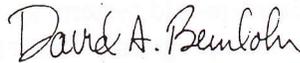
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December 15, 2003

TO: Craig Swan
Chair of the Budget Advisory Committee Working Group on the Graduate School

FROM: David Bernlohr
Head, Biochemistry, Molecular Biology and Biophysics



RE: Evaluation of the Graduate School

CC: Robert Bruininks, President
Christine Maziar, Executive Vice President and Provost
Frank Cerra, Sr. Vice President for Health Science
Victor Bloomfield, Interim Dean of the Graduate School and Vice Provost
David Hamilton, Interim Vice President for Research
Robert Elde, Dean of the College of Biological Sciences
Deborah Powell, Dean of the Medical School

I am writing with regard to the issue of the Graduate School and the evaluation of its role and financial structure within the fabric of the university. I have been a university faculty member for 18 years and in my administrative capacity as Head of Biochemistry, Molecular Biology and Biophysics (BMBB), report to two Deans who in turn report to two different Vice Presidents. In addition, our discipline is heavily linked to graduate education and technology core facilities and as such, I interface with the Dean of the Graduate School and Vice President for Research. Overall, because of the complex organizational structure of BMBB I have had an opportunity to connect to a variety of offices and assess the relative role of the Graduate School in not only facilitating the educational mission of BMBB, but also faculty development and the fostering of scholarship broadly within our university. My comments are framed within the broad charge to the Graduate School to promote, coordinate and integrate graduate education at the University.

Firstly, let me state my own personal frustration, and that echoes by the faculty broadly, with the fiscal issues within the Graduate School. The high cost of graduate education at Minnesota (high fringe rates) is viewed as an enormous negative impact on research productivity. A major criticism of our university was recently levied during the December 2003 external review of BMBB for the high cost of graduate education. The view of the external review committee is that compared to peer institutions, the consumption of research budgets by the high fringe rate is

significantly hampering productivity and the compromising the faculties ability to produce results, renew grants, and obtain new funding. Either fairly or unfairly, the Graduate School is blamed for such a rapid increase in the fringe rates (both tuition and non-tuition costs) and the faculty feel that the Graduate School has not been their advocate on this issue. Moreover, the taxation of research budgets by charging for predoctoral (8666) and doctoral thesis credits (8888) is viewed broadly as "taxation without representation" and is inherently unfair, and perhaps illegal. This cost of \$15,000-20,000 for each PhD student trained appears to serve no role other than to take funds from PI's and transfer them to another unit. Overall, the combination of a high fringe rate and excessive phantom charges has established an adversarial relationship between the graduate faculty and Graduate School.

I want to balance the arguments against the Graduate School with the many positives that it plays. Our department has benefited enormously over the years through a variety of Graduate School sponsored programs including the Grant-in-Aid system, sponsorships of interdisciplinary centers and seed grants, and faculty development programs. Interestingly, while faculty always remember the charges to their grants the Graduate School levies, they too often forget the financial support the graduate school provides through bridge funding and student scholarship and fellowships.

BMBB faculty members utilize the Grant-in-Aid system to assist in bridge funding, to transition between projects, the purchase unanticipated equipment, and to generally provide a component of a "safety net" that supports productive laboratories. This mechanism is seen as a positive by faculty outside of the university and is generally applauded as far-sighted and progressive. The Department also enjoys a number of faculty honors due to the awarding of McKnight Land Grant and Distinguished McKnight University Professorships. Nationally, these programs play a major role in our ability to not only attract new faculty, but also retain our stars. Along the same lines, the Graduate School often assists in partnering with Colleges to assist in new technology purchases. For BMBB, this has lately taken the form of assistance in developing several proteomics initiatives. The availability of state of the art infrastructure thereby allows for the recruiting of top faculty and training of students. Overall, the seed money focused on technology cores contributed by the Graduate School effectively allows for an increase in scholarship to all researchers. One caveat to this is that it is not clear what the relative roles of the Graduate School and Vice President for Research play. To the faculty (and Heads) this is a confusing duplication of effort that should be clarified. In addition, our graduate program, as well as others (e.g., Neuroscience) has benefited from seed money provided by the Graduate School. It is not clear if such graduate programs would have progressed as far without such funds.

Administratively, the Graduate School serves as an advocate for students. This is a necessary function and its loss cannot be replaced by decentralized functions without significant duplication of administrative costs in multiple units. Of course, the Graduate School serves an essential function in administration of graduate applications and record keeping. I see no way to decentralize this without massive duplication. In fact, I foresee an increase in costly administration if such functions of the Graduate School are transferred to individual colleges or schools. Each Dean has a tendency to feel that they can do things better than another, yet I think this is one function that can be more efficiently organized through a central unit.

Recommendations:

- **Eliminate** the adversarial relationship between the Graduate School and the faculty (who in turn complain to Heads and Deans) by eliminating the charges for thesis credits. This results in no net change in finances to the university but transfers significant dollars into the hands of the PI's who earned them. Increased funds available to faculty will, in turn, reduce the need for the Grant in Aid system.
- **Retain** a strong Graduate School for the purposes of coordinating and integrating graduate education. Focus the efforts of the Graduate School on the administrative functions of facilitating graduate education and on student advocacy. Included in this are the retention of the faculty development programs, interdisciplinary educational seed programs, student fellowships and honors systems.
- **Define** the role of the Vice President for Research and the Dean of the Graduate School in fostering new research ventures and support for core technologies. Transfer responsibilities to one or another office to provide a one-stop system with defined responsibilities.
- **Commit** to clarification and simplification.

I would be pleased to discuss any of these issues with you at your convenience.

From: Penny Beuning <beuning@MIT.EDU>
Date: Sun Dec 14, 2003 9:17:50 PM America/Chicago
To: <swan@umn.edu>
Cc: <victor@umn.edu>, <cmaziar@umn.edu>, <bruin001@umn.edu>
Subject: Letter in Support of Graduate School

Dr. Penny Beuning
Dept of Biology, 68-653
MIT, 77 Massachusetts Ave
Cambridge, MA 02139
14 December 2003

Dr. Craig Swan
Vice Provost for Undergraduate Education
University of Minnesota

Dear Dr. Swan:

I am writing with regard to the ad hoc committee that you currently chair, to support retention of the Graduate School as a central academic support unit. I was a graduate student in Chemistry at Minnesota from 1994 to 2000, and then a postdoctoral associate until 2001. As a graduate student, I was active in the Council of Graduate Students (COGS), Women in Science and Engineering (WISE), and also participated in the Preparing Future Faculty Program.

When I was a second-year graduate student, my advisor, Prof. Karin Musier-Forsyth, obtained seed money from the Graduate School to fund an interdisciplinary group, the Nucleic Acids Interest Group (NAIG). Once a month, many of the groups across the University of Minnesota who were interested in various aspects of research on nucleic acids met for presentations and discussions. I personally was involved in two different collaborations that were a direct result of the discussions at NAIG, both of which resulted in publications. The groups involved came from departments as diverse as Chemistry, Biochemistry, Medicinal Chemistry, Chemical Engineering, Dentistry, the Veterinary School, Pathology, and the Cancer Center. Not only were a great diversity of research labs from the University involved, there were also scientists who regularly came from the Mayo Foundation in Rochester to participate. This was invaluable for us graduate students and postdocs who participated. Not only did we gain experience by presenting our research to a broad audience, but we also were able to garner new ideas and insights and expand our network of scientists and informal advisors.

I was a member of COGS for several years, serving on the Policy and Review committees, as an executive officer of COGS, and as a COGS internal committee member. In the Policy and Review committees, it became clear that the Graduate School serves a crucial role in the education and professional development of graduate students as a cohort. The Graduate School also sponsored workshops and programs for the benefit of graduate

students, such as job searching programs, grant-writing workshops, and Preparing Future Faculty. At a university as large as Minnesota, where career services are decentralized into colleges, it is the important role of the graduate school to make sure that graduate students have career development resources at their disposal. As a COGS officer, I was well aware that some college career offices were capable of assisting graduate students, while others were uninterested and incapable. It is appropriate that some career services and professional development activities be maintained at the level of the graduate school, as there are separate issues specific to the graduate student population. I served on an ad hoc COGS committee to focus on professional development of graduate students. We at COGS together with the Graduate School Deans were very concerned that problems they were seeing could be prevented if we could help graduate students navigate the entire process, from acceptance to graduation and beyond, better. With moral support and a small amount of funding (for printing costs) from the Graduate School, our committee produced written resources that are still being distributed on the COGS web site. We also conducted several workshops for graduate students and new faculty to help them explore and make explicit their assumptions about the roles and responsibilities of graduate students and graduate mentors. Not only did we get very positive feedback from the workshop participants, the committee itself formed a sort of interdisciplinary working group. None of this would have been possible without the support of the Graduate School. I also participated in Preparing Future Faculty (PFF), which is a phenomenal program that is maintained with the support of the Graduate School. The Graduate School played another important role in the professional development of graduate students by ensuring that advanced graduate students (who no longer pay tuition) were able to participate in PFF in their later years when it made the most sense for them to do so.

Women in Science and Engineering (WISE) had a membership that was about half graduate students and half undergraduate students. I was involved with WISE for four years. The Graduate School provided us with partial funding for almost all of the programming we did. Much of our programming was focused on career issues for women in science, much of it focused on or applicable to graduate students. We also held events that were focused on undergraduate issues, including "The Decision to go to Graduate School", that clearly the Graduate School would have an interest in supporting. We (WISE) also co-sponsored with the Graduate School a conflict resolution workshop featuring Dr. Karen Klomparens from Michigan State.

Through WISE, I first became aware of the CIC. It seems to me that most if not all of the CIC institutions have a graduate school. This seems a reasonable use of resources given the important role a graduate school plays in maintaining the quality of research and graduate programs; fostering interdisciplinary research, and supporting initiatives that improve the professional development and quality of life of graduate students.

Sincerely,

Penny Beuning

+++++

Penny Beuning, Ph.D.
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+++++

Island too small for continental egos;
continent too vast for island souls.

--Daniel Berrigan

+++++

10 December 2003

To: Craig Swan, Vice Provost for Undergraduate Education and Chair, Budget Advisory Committee Working Group on the Graduate School

From:

UMD Graduate Council (Steve Adams, Chair)

Re:

PROPOSAL TO DISSOLVE THE GRADUATE SCHOOL

The UMD Graduate Council met on 3 December 2003 to discuss the proposed dissolution of the University of Minnesota Graduate School. While we think that the Graduate School, like all University units, should be regularly reviewed for efficiency and performance, the Council voted overwhelmingly (18 yes, 0 no, 4 abstentions) to convey its strong opposition to this shortsighted and dangerous proposal.

Among the many objections raised by UMD's directors of graduate studies, the following are the most salient:

1. Standards and quality control in graduate education will most likely deteriorate. The Graduate School helps to maintain high standards by providing consistent expectations and peer review across all programs. If admission and degree requirements, graduate faculty appointments, etc. are left entirely up to individual units, there will be no consistency across the University and standards may well fall as local concerns and pressures (e.g., to keep enrollments up and costs down) take precedence. There would no longer be a meaningful distinction between "Graduate School degrees" and "other advanced degrees" at the University of Minnesota and whatever that has meant in the past will certainly be "diluted" at best.
2. Especially, interdisciplinary graduate education – so crucial in so many areas today – would probably suffer. The Graduate School effectively promotes programs that cross department and even college lines. Without the encouragement and incentives that it provides, interdisciplinary study could fall victim to the insularity, compartmentalization and fragmentation resulting from competition among small units for scarce resources.
3. Dissolving the Graduate School would likely result in no genuine savings – or money might be saved to the detriment of service and performance. If Graduate School duties and responsibilities are shifted to colleges and departments, those units will have to hire and train personnel to assume them, probably at a greater expense to the University because of a new duplication of efforts.

Or if those responsibilities and services are transferred to units without additional funds to handle them – the more likely scenario, given the University's budget crisis – performance can be expected to plummet. Already overburdened collegiate and department staffs will simply not be able to handle the extra work, nor do they have the expertise that Graduate School personnel have accumulated over time (e.g., in complex and difficult matters relating to international students after 9-11).

4. Accrediting bodies and funding agencies such as the NSF and some others (which encourage and monitor the participation of graduate students in research projects) may get the message that the University no longer values graduate education; such an impression would adversely affect the funding of research, with serious consequences to the University and state.

We strongly urge the Budget Advisory Committee Working Group to recommend against the dissolution of the Graduate School.

cc:

President Robert H. Bruininks

Executive Vice President Christine Maziar

Dean Victor Bloomfield

Associate Dean Stephen Hedman

Dean James P. Riehl

From: Gene Allen <ceallen@umn.edu>
Date: Mon Dec 15, 2003 1:15:36 PM America/Chicago
To: Craig Swan <cswan@atlas.socsci.umn.edu>
Cc: Vic Bloomfield <victor@tc.umn.edu>, Robert Jones <jones012@tc.umn.edu>
Subject: Graduate School's Role and Future

Craig--

Recently I learned that the role and future of the Graduate School is being challenged as a result of the FY05 budget situation. I am writing to share my own personal concerns and perspectives. The Graduate School (GS) and the Office of International Programs (OIP) currently interact around issues related to two different fellowship programs that we each contribute to, a variety of issues related to international students and scholars, details related to off-shore certificate and degree programs, and two years ago an accreditation review of degree programs in Poland and Austria. In addition, as a faculty member I have had a long-standing linkage to the Graduate School through service as a DGS, member of three intercollegiate graduate faculties, the Hill Visiting Professorship program, numerous fellowship selection committees, service on committees/task forces related to intellectual property and patent policies, service on committees/boards related to intercollegiate programs, and for many years I served on the General Research Advisory Committee (GRAC). I mention this association as background for my following comments and perspectives. In other words, I believe that I have a very broad perspective of the role of the Graduate School, its programs and the kinds of issues that it has had to resolve over more than 30 years that I have worked with the Graduate School in many different roles. Following are my comments and perspectives:

It is inconceivable to me that the following kinds of things could be done more effectively (cost and coordination) in a decentralized (collegiate model) than in a centralized (GS) model:

**Coordination of program information, admissions and a variety of services to graduate programs, prospective students and enrolled students. For the U of M graduate programs to go out to the world with a front consisting of all our colleges with graduate programs rather than our GS plus the current professional schools would be very confusing to prospective students especially as application costs, admission standards, etc begin to differ among colleges. This would lead to a real mess! There is also something to be said about efficiencies of scale and multiple experiences in dealing with transcripts, etc from all over the world, issues related to federal mandates such as SEVIS, establishment of common databases, etc. The collection of colleges cannot do this as effectively for graduate students as the graduate school working and coordinating this with faculty and their colleges. Admittance to our professional schools and large programs like the MBA program are not good arguments for decentralizing the GS because these are highly specialized and in some cases very large programs. The GS has to serve programs of all sizes from small to large, as well as intercollegiate programs, and a larger

international student body.

**Intercollegiate graduate programs would fall on hard times just when there needs to be even more emphasis on intercollegiate or interdisciplinary programs that cross colleges. This would be a real loss in terms of the visibility of such programs and their ability to compete for federal funds. Regardless of what deans say about supporting intercollegiate programs, it is a rare situation when such programs are among their high priorities. I say this based on experience with many intercollegiate programs associated with the GS (as well as others) and the difficulties over the years associated with getting support from one or more deans whose faculty are logical participants in an intercollegiate program. This has even happened in the absence of the dean putting up hard cash!

**Graduate education for which universities like ours have become so distinguished around the world has primarily happened in model that allowed faculty members and students to come together in the pursuit of knowledge with some oversight beyond their college. The primary role for this is assigned to the GS and involves standards and policies for students, faculty, programs, program reviews, fellowships/professorships, internal grants, etc. Sometimes these reviews and policies are not readily accepted by colleges because it does not always fit their program views or their narrower view of program needs that go beyond the department or college. The GS serves as this other voice and perspective. Without this voice, I predict that the overall strength of some of our graduate and therefore research programs will weaken, and the collaboration and coordination of programs and faculty across units will suffer significantly. This is in fact an ideal tension between the GS and the colleges with whom graduate faculty are associated. The loss of this second view and broader university perspective would be a great loss for our university.

**The GS also serves as an advocate in multiple ways for graduate students. These range from fellowships and quality of experience issues to work in resolving faculty-student disputes. As all-university awards, graduate student fellowships are generally very prestigious. This would not be the same coming from a college and since institutional memory is so short, after a while these funds would be lost among other collegiate funds and lose their significance. Colleges have no advantage in administering these funds since they usually across colleges.

Two additional things. First, in your review and efforts you may find areas where change or improvement is needed. After considering all the pros and cons, the appropriate ones among these should be done. Secondly, I would not recommend the transfer of any significant portions of the Graduate School to EVPP because it would simply be a move to an office that is already overburdened with too many issues and responsibilities.

Finally, I know how difficult it is to make change such as closing units or merging programs because I have been deeply involved in these and

continue to be. As a result, my concern about this idea is not because of tradition, but what I see as multiple issues with major consequences to our university. Therefore, the idea that one of the largest and highly regarded graduate school units in the world could be dissolved is unthinkable! Best wishes in your task.

Gene

December 12, 2003

Craig Swan, Ph.D., Chair
Budget Advisory Committee Working Group on the Graduate School

Dear Craig:

I am writing to you to express my concerns about the proposal under consideration to disband the Graduate School and to move its functions to the individual colleges and other administrative entities. I fully support efforts to develop innovative solutions to increase efficiency and eliminate redundancy in order to meet the fiscal crisis faced by the University. I also appreciate that these solutions should have minimal impact on the educational and research mission of the University.

A move to disband the Graduate School would have a negative impact on efforts to increase the diversity of the graduate student body. It would also have a detrimental effect on the strides made during the last five years to develop and increase the coordination among the Summer Undergraduate Research Programs, which serve as a successful recruitment tool for the Graduate School.

As a Co-director of a summer research program (in the behavioral sciences) I can attest to the importance of the Office of Graduate School Outreach in providing a base and the leadership in the coordination of programs which are housed in different colleges and schools. We have shared resources, expanded all program activities, negotiated food and housing contracts to the benefit of all. We have refined our individual programs as a result of discussions at our meetings. One prime example is the writing workshop presented by Dr. Stephen Wilbers. Small programs such as ours, Physics, and Electrical programs combine to share his fee. This addition has proved one of the most successful additions according to the participants. We could not have afforded the cost individually. Another example is a successful all program symposium at the end of the eight to ten week sessions. Other educational and team building activities could not have been developed without the coordinators meetings and the willingness of the Graduate School to serve as the clearing house and the central liaison. This assistance has allowed the directors and staff of the individual independent programs to concentrate on programmatic content and to spend more time with the participants themselves. Much of this progress and cost saving would be lost we did not have access to a central, disinterested office.

Another important aspect of the contribution of the graduate school is the coordination of recruitment activities, particularly with regard to increasing diversity. The graduate school has developed a calendar of recruitment activities. This allows us to disseminate materials about our individual programs as well as general information to many more institutions and programs. For example, I include material developed by the Graduate School about the general application process and information on graduate programs other than those in behavioral sciences when I visit schools or programs to discuss graduate school options.

The Graduate School has also been instrumental in developing programs that address the retention of students particularly those from underrepresented groups (e.g., the Bush

Foundation funded Community of Scholars). These programs cut across college and departmental boundaries. Although retention may be a University wide issue, the factors involved and the interventions proposed are different for graduate students than for undergraduate students. Thus, to have an entity that focuses primarily or exclusively on graduate education is a distinct advantage in attracting applicants.

There is also the issue of graduate fellowships. It is not clear how the system could be structured so that the funds go to the most outstanding and potentially successful students, irrespective of discipline or college.

Increasingly, graduate studies in so many areas are becoming more and more interdisciplinary, not just multidisciplinary. As we talk to potential graduate students we stress this fact. There has been a significant increase in the number of RFAs from NIH and NSF that request or strongly encourage interdisciplinary activities be they training grants or program projects. Thus, it seems counterproductive and regressive to eliminate an entity that is interdisciplinary.

The assumption is that the purpose of the proposal to disband the Graduate School in to that of cost saving during the funding crisis. The programs that the Graduate School oversees would still require staff. There is risk of duplication of effort and therefore increased cost.

There are other reasons not to disband the graduate School that others can address with more expertise. I have tried to focus on those issues under the purview of the Graduate School that have the most impact on the summer research programs, and efforts to increase the diversity of the graduate student body. From my perspective, the proposed change would have only a negative affect.

Please contact me if you have any questions. Celia Gershenson

From: "Hal Grotevant" <hgrotevant@che.umn.edu>
Date: Fri Dec 12, 2003 8:11:06 AM America/Winnipeg
To: <swan@umn.edu>, <victor@umn.edu>
Cc: "Jan McCulloch" <jmccullo@che.umn.edu>, "Shirley Baugher" <sbaugher@che.umn.edu>, "Jean Bauer" <jbauer@chemail1.che.umn.edu>, "Marilyn DeLong" <mdelong@che.umn.edu>, "Hal Grotevant" <hgrotevant@che.umn.edu>
Subject: reflections on the future of the Graduate School
Reply-To: <hgrotevant@che.umn.edu>

Dear Craig,

I understand that the Budget Advisory Committee Working Group on the Graduate School, which you chair, is meeting soon to consider the feasibility of budget cuts in order to realize efficiencies and cost savings. I would like to contribute a few observations to the discussion, based on my experience as department head (1990-1995, 2001-2003) and DGS (1998-2001). I have also served on the Social Science Policy & Review Council and the interdisciplinary research committee (which evaluated proposals for interdisciplinary programs and centers).

I understand that the university's budget challenge necessarily puts all activities "on the table." Nevertheless, there are a number of Graduate School activities that I believe are best served by a central unit such as the one we currently have. I do not believe that the colleges have the infrastructure or personnel to handle the many day-to-day services that the Graduate School provides. Our college's student services area is already stretched thin. As more duties roll down from central administration to the colleges, even more roll down to the departmental level, where resources are extremely limited. I predict that dissolving the Graduate School and moving its functions to the colleges would place enormous burdens on college and department personnel, to the detriment of the graduate students who are paying substantial tuition and expecting decent service. In my 13 years at the university, I have seen a rapidly growing number of unfunded mandates being pushed down to the department level, and there is simply no more room for any additional tasks. Staff are already underpaid and overburdened; staff FTEs have borne the brunt of budget reductions so that more work is being done by fewer people. I fear that the best will leave the university when the right opportunity comes along.

I would hope that the funds currently used for graduate fellowships and faculty research awards would not be allocated directly to colleges, but would continue to be available for university-wide competition. Allocating such substantial funds to specific units would "lock in" their location and make it very difficult for funding patterns to change or innovative programs to be supported.

In my work as DGS and department head, I have found the Office of Graduate Student Outreach to be an invaluable resource in attracting and retaining students of color. The DOVE fellowship program and Community of Scholars program provide critically important resources. If these activities were allocated out to colleges and departments, I suspect that we would quickly lose some of the substantial gains this university has made with regard to minority recruitment and retention.

Graduate students also have administrative needs for program progress that are best met by specialists. I do not think it would be realistic for college staff who work with undergraduates to suddenly become experts on the

intricacies of graduate programs as well. And since the purpose of the task force is to identify budget reductions, I doubt that such a change would allocate additional resources in colleges or departments to administer the graduate programs.

Regardless of the fate of the Graduate School, the university also needs to reserve vigorous advocacy for and support of interdisciplinary programs. The Graduate School has provided effective leadership in this arena. Without it, the activity would have to be re-created elsewhere, likely with little cost savings.

When units are being considered for elimination or reduction, my first reaction is, "Show me the money." Before any decisions are made, I hope your committee will painstakingly review not only the administrative possibilities, but the cost implications of each scenario. As a faculty member and constituent of the Graduate School, I would want to be convinced that dissolution and/or reconfiguration of the Graduate School would result in substantial cost savings. I would be particularly concerned about scenarios that push additional work to the departmental level without resources. Nevertheless, these hard questions must be asked. I wish your committee well and would be happy to discuss any of these points with you.

Best wishes, Hal Grotevant

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From: Susan Grotevant
Sent: Wednesday, December 10, 2003 10:14 AM
To: Craig Swan
Cc: 'Lincoln A. Kallsen (Lincoln A. Kallsen)'; 'Peter Hudleston (Peter Hudleston)'; 'elde@umn.edu'
Subject: Graduate School Review

Craig,

I was asked if I would be willing to share my experience and any insights or observations resulting from our work with the staff of the Graduate School to develop reports for the graduate faculty. Since our collaboration and business partnership has been a very successful and productive one, I am pleased to be able to share that information with you and members of your working group that I am acquainted with.

My experience in the years following the implementation of PeopleSoft has repeatedly shown a strong correlation between the quality of our relationships with various business/system owners and the quality of the information solutions we deliver to faculty and staff. In the case of the Graduate School, several thousand graduate faculty members have easy access to information about their classes, students, advisees, program applicants and committee assignments as a result of the cooperation and assistance provided by the staff of the Graduate School to Information Management Systems (IMS).

The current reports could not have been done as quickly or as successfully without the cooperation and assistance of a number of Graduate School staff. A desire to provide better service and a willingness to try something new or think about problems differently are invaluable assets in the work we do and are attributes commonly found in the Graduate School staff we have had the opportunity to work with. I want to especially recognize the contributions of the MIS Director, Brad Bostrom and Genny Rosing. Other staff that have also supported and contributed to the development of Graduate School information solutions include Andrea Scott, Karen Starry, and Vicki Field.

As a result of the work we do, my staff and I are particularly aware that it is almost impossible to obtain accurate, comparable and timely management, programmatic and operational information without the consistent application of common business processes, policies and data definitions. This is one of the most basic, and

sometimes underappreciated, functions that an office such as the Graduate School provides. Having had the opportunity to contrast the effort required to report critical information for programs under the aegis of the Graduate School with programs that are not, only serves to emphasize the value and importance of just one of the functions this office provides.

I will close by recognizing that achieving consensus and support for implementing change in an established organization with a long history and a broad range of services and constituencies is especially challenging. So much so that, many times, the easiest and most successful option often appears to be to start over rather than invest the considerable effort required to redesign complex processes, address difficult management issues or transform organizational cultures. If there is any information or assistance that I or my staff could contribute to this effort, I hope you would not hesitate to ask.

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From: Tom Scott <scott001@umn.edu>
Date: Fri Dec 12, 2003 1:52:38 PM America/Winnipeg
To: Craig Swan <swan@umn.edu>, Victor Bloomfield <victor@umn.edu>
Subject: Graduate School

12 December 2003

Craig: I am writing to you in your capacity as chair of the group looking at the Graduate School and its various responsibilities. I don't know the full range of issues you are considering and even if I did, I'm certain there are many about which I know little.

However, I do have one general concern and it involves the ways in which the University has organized itself during the past decade or so.

Increasingly, we have decentralized and devolved authority and resources and, while it appears that much good has resulted from this, it is also important to maintain sufficient central authority, resources, and infrastructure so that we continue to be a university rather than a multiplex of separate and discrete post-secondary educational units. Certainly, the compact process and the daily efforts of those of you in Morrill Hall, especially, play essential roles in helping to maintain the appropriate balance between a centralized and a decentralized organization.

Nonetheless, as your committee goes about its work, I hope you will be mindful of the importance of the Graduate School as one of a small number of units with some authority, resources, and infrastructure that can also help maintain a university-wide perspective on important issues.

The two most important efforts at the university in the past 40 years have been (1) the persistent and consistent drive to strengthen the quality of the faculty (and its research), graduate students, and graduate programs and (2) the more recent attention to the undergraduate experience.

With respect to the first, I know the graduate school has played various roles during this 40 years but, on the whole, in my judgement, it has been important in raising the quality of faculty research and graduate work throughout the entire institution. I hope your committee can keep this history in mind and take this as an opportunity to examine the value of an all-university perspective and capacity in the context of a decentralizing institution. And, I hope the focus can continue to be on assuring the future quality of the graduate faculty, graduate students, and graduate programs for the entire university.

Thank you Tom Scott.