

**Report of the Provost's Ad Hoc Advisory Committee
to Evaluate the Cluster Hiring Initiative
University of Wisconsin-Madison
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Prepared and submitted on behalf of the Committee
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Executive Summary

In September 2002, Provost Peter D. Spear appointed an Ad Hoc Advisory Committee to Evaluate the Cluster Hiring Initiative (CHI). The Committee gathered information to determine how well the program is accomplishing its goals, how the campus is reacting to the program, and how we can improve the Initiative.

The Cluster Hiring Initiative grew out of the campus strategic planning process of the mid 1990s. It was part of the Madison Initiative, an innovative proposal spearheaded by Chancellor David Ward designed to: 1) improve academic programs via enhancing teaching and learning with technology, strengthening libraries and expanding research opportunities for undergraduates; 2) improve financial assistance for students in need; 3) renovate and repair aging buildings; and 4) improve strategic hiring and retention of faculty and staff. In particular, the Initiative proposed to hire 150 new faculty to keep UW-Madison at the forefront of research and knowledge and to advance the state's economy. The Madison Initiative was passed in 1998 with financial support from the State of Wisconsin, reallocation of UW-Madison resources, and private funding through the University of Wisconsin Foundation and the Wisconsin Alumni Research Foundation.

A key component of the Madison Initiative was the Cluster Hiring Initiative for advancing knowledge at interdisciplinary crossroads by providing an alternative to the usual departmentally-based hiring practices and norms. The initiative involved a Provost-coordinated campus-wide competition to identify groups of new faculty hires, or "Clusters," to work together on interdisciplinary programs and emerging areas of inquiry. Through 2003, 49 clusters with 137 new faculty lines were authorized with central funding and schools/colleges matched six additional cluster faculty positions. Five additional clusters with 15 faculty lines were also approved in 2002, but are on hold due to the recent state budget cuts.

The objectives of the Cluster Hiring Initiative are to: 1) enable the campus to devote a critical mass of faculty to an area of knowledge that would not be addressed through existing departmental structures; 2) provide for new research tracks and collaborative opportunities; 3) address complex societal problems; 4) advance the Wisconsin Idea by serving society's needs through interdisciplinary research, learning and service; 5) encourage and foster cooperation within an already strong faculty and staff; 6) create new curricular offerings on the undergraduate and graduate levels; and 7) assist in the fulfillment of other missions of the University, in particular increasing campus diversity.

Quantitatively, it is too early to assess how well the Cluster Hiring Initiative is meeting its goals and objectives since the number of cluster faculty is too small and the program too new to generate statistically significant data. However, campus deans, department chairs, and faculty support its continuation. And the qualitative information indicates that faculty hired through the initiative are engaged in interdisciplinary teaching, research and outreach.

While the committee heard more enthusiasm than criticism about the promises and activities of the initiative, there are concerns among faculty and departments that need to be addressed. The cluster hiring process takes more time than ordinary faculty hiring and has been administratively complex and cumbersome. When departments were not involved early in a cluster faculty search and screen, some believe that the range of cluster candidates was too narrow. Others believe that if forced to choose between accepting a CHI position or making a request for a replacement faculty hire, departments have considered less qualified faculty whose interests were marginal and whose teaching may not have addressed a discipline's core. Cluster faculty with multiple departmental affiliations may not experience a strong connection with a department and departments participating in a cluster cannot expect cluster faculty to participate with the same level of commitment in all departmental activities as departmental faculty.

There is also a perception among some faculty that cluster faculty are a privileged class given preferential treatment resulting in better start-up packages, higher salaries and easier teaching loads. Other concerns revolve around salary disparities within clusters, the high cost of start-up packages, and space assignment preferences. Further, junior faculty may be disadvantaged during the tenure review because it may be harder to judge interdisciplinary scholarship than traditional scholarship. Cluster faculty activities may not be adequately recognized in oversight reviews and the faculty may suffer during the annual merit process. There is also concern that all probationary cluster faculty are not receiving the attention they should in the mentoring process. And there is uncertainty about the institution's long-term commitment to the Cluster Hiring Initiative, the financial development of clusters, and whether or not cluster faculty will be replaced if a position becomes vacant. Furthermore, while the number of cluster faculty hired is appreciable, many believe it is still too low to cause long-term departmental change through the substantive integration of collaborative and interdisciplinary work into ongoing departmental activities.

After careful deliberation and analysis, the Committee respectfully offers the following recommendations to strengthen cluster development and improve the cluster process:

- I. The UW-Madison should continue to maintain its support for the currently approved and authorized 143 faculty lines. The Committee believes that the Cluster Hiring Initiative competitive process is one way to identify new faculty hiring priorities that foster collaboration in interdisciplinary research, teaching and outreach. When additional funds are allocated through the state budget process and/or through internal reallocation of resources, and after consultation with campus deans, the Provost should hold additional competitions and new clusters should be funded. The Provost should also offer the unfunded Round 5 clusters with 18 positions an opportunity to request funding.
- II. The Provost should convene an ad hoc committee to conduct a thorough assessment of the Cluster Hiring Initiative in three to five years, at which time clusters should be more fully developed and the institution would be better able to assess whether the initiative is meeting its objectives.

- III. The Chancellor, Provost, and deans should create other, less permanent, more flexible opportunities to foster collaboration and interdisciplinary research, teaching and outreach. Examples include Graduate School- or Provost-sponsored competitions to fund collaborative interdisciplinary research or programs, and annual awards for outstanding collaborative or interdisciplinary research, teaching, and outreach.
- IV. The Provost's Office should continue to coordinate the Cluster Hiring Initiative by:
- continuing to conduct campus-wide competitions to identify new cluster opportunities;
 - continuing to conduct cluster faculty recruitment and hiring workshops for search committees, departmental chairs and deans;
 - conducting workshops designed to improve administration of clusters;
 - organizing periodic campus-wide symposia, seminar series and other opportunities to share the results of cluster research, education and outreach;
 - improving and maintaining a Provost's Office Web site on the Cluster Hiring Initiative for submission of proposals, comments and reviews of proposals, for providing background information on all clusters, and data and other information on cluster accomplishments;
 - developing mechanisms for improved cluster-related communication among deans, department chairs and cluster faculty;
 - continuing to provide Cluster Enhancement Grants to support the coordination of cluster activities or disseminate the work of the clusters to the campus and beyond;
 - collaborating with the Executive Committees of the Faculty Divisions to develop guidelines and criteria for the preparation of tenure dossiers that document collaborative and interdisciplinary teaching, research and outreach scholarship;
 - working with the Lead Deans to identify the school/college cluster data needed to successfully monitor, evaluate and improve the CHI; and
 - working with Lead Deans to develop a campus-wide policy to address how to replace a cluster faculty position when that position becomes vacated.
- V. Lead Deans, department chairs and cluster coordinators should continue to be responsible for oversight of the clusters by:
- providing fiscal and administrative support to strengthen clusters;
 - overseeing cluster faculty hiring, mentoring and development including the:
 - determination of cluster faculty tenure homes;
 - development of memoranda of understanding that detail the roles and responsibilities of new and existing cluster faculty;
 - creation of appropriate mentoring committees and vigorous oversight of cluster faculty mentoring;
 - review of the annual merit exercise and how cluster faculty fare; and
 - management of merit processes that involve input from the schools/colleges and departments within which cluster faculty are involved.
 - collaborating on the development of present and future clusters;

- preparing and submitting data to the Provost's Office by May 1 of each year that may include, but not be limited to such measures as:
 - the number and names of cluster faculty interviewed, and hired by department, rank, gender and race/ethnicity;
 - the number and names of cluster faculty who are promoted to associate or full professor;
 - cluster faculty who have been granted and denied tenure;
 - cluster faculty teaching loads and new courses that were developed;
 - cluster faculty annual grants and research awards;
 - assessments of how departments are evaluating the quality of clusters;
 - cluster faculty outreach activities;
 - cluster related patents and start-up companies, and other cluster-influenced business or economic activity; and
 - other qualitative measures, such as the number of scholarly articles, awards and citations that indicate cluster advances in research, teaching and outreach.
- interviewing faculty who accept cluster positions, those who turn down offers, and cluster faculty who leave UW-Madison in order to identify areas of concern and opportunities for improving the Cluster Hiring Initiative.

Report of the Provost's Ad Hoc Advisory Committee to Evaluate the Cluster Hiring Initiative

Committee Charge

In September 2002, Provost Peter D. Spear appointed an Ad Hoc Advisory Committee to Evaluate the Cluster Hiring Initiative (Appendix A: Provost's Ad Hoc Committee to Evaluate the Cluster Hiring Initiative). The Chancellor, Provost, and Dean of the Graduate School agreed that the sixth year of this new and nationally innovative interdisciplinary faculty hiring initiative was a good time to determine how well the program is accomplishing its goals, how the campus is reacting to the program, and how the campus can improve the initiative.

The Provost charged the committee to answer the following questions:

- Have we accomplished the goals of the Cluster Hiring Initiative, including enhancing interdisciplinary teaching, research and outreach?
- What are the strengths and successes of the Cluster Hiring Initiative, and how can we build on them?
- What are the weaknesses of the Cluster Hiring Initiative, and how can we correct them? Are there additional steps we can take to help ensure that those goals of the Cluster Hiring Initiative are met?
- How has cluster faculty hiring differed from non-cluster faculty hiring?
- How has the Cluster Hiring Initiative affected our success in achieving our diversity goals?
- Have the faculty hired into specific clusters collaborated on teaching, research and outreach? What can we do to improve the functioning of existing clusters?
- What have been the effects of the Cluster Hiring Initiative on UW-Madison structures such as schools/colleges and departments and on campus processes such as tenure and promotion?
- How should we re-allocate cluster-hire positions when cluster faculty resign or retire?

The Cluster Hiring Initiative Ad Hoc Advisory Committee (hereinafter The Committee) gathered qualitative and quantitative information from the campus. Throughout the spring of 2003, the Committee held a series of formal cross-campus discussions with the following groups to gain qualitative feedback:

- school/college deans
- Graduate School deans
- department chairs
- cluster search and screen chairs
- cluster faculty

Divisional Committee chairs had previously provided feedback to the Provost's Office on the Cluster Hiring Initiative during spring of 2002. Evaluation Committee members also held

dozens of informal conversations with faculty colleagues to gather faculty insights about the initiative, its strengths and weaknesses, and its effects on departments and schools/colleges.

Additionally, the Committee analyzed quantitative data compiled by the Office of Academic Planning and Analysis including:

- cluster faculty and staff hired by gender, ethnicity and rank;
- probationary cluster faculty and year probationary period ends;
- cluster faculty teaching loads;
- cluster faculty research awards; and
- cluster faculty start-up packages.

Finally, the Committee reviewed two reports that were submitted to the Provost's Office in 2003, the *2003 Report of the Provost's Ad Hoc Committee on Faculty in Interdisciplinary Programs*,¹ and the *Cluster Hiring in the College of Letters and Science: Progress Report – July, 2003*.² Both of these reports contain valuable information and perspectives on the Cluster Hiring Initiative.

Cluster Hiring Initiative Background

As a result of the UW-Madison loss of between 250-300 faculty lines due to the budget cuts during the 1990s, increased faculty hiring became a key goal for the institution.³ One initiative in the UW-Madison 1995 strategic plan *Vision for the Future* was the establishment of new interdisciplinary cross-campus programs that foster faculty collaboration on emerging issues. For some time it has been clear that new areas of knowledge and complex societal issues do not always fall neatly into departmental disciplines and structures. Some areas of great potential for developing new knowledge and research span a number of departments as well as schools and colleges. Long standing examples include environmental studies, engineering, astronomy, women studies and African American studies. Collaborative and interdisciplinary approaches have been increasingly pursued in all areas including the biological and physical sciences, the arts and humanities, and the social sciences.

As a result, the campus sought funding for 150 new faculty lines to keep UW-Madison at the forefront of research and knowledge as well as to advance the state's economy. To be successful, this plan required strong public support. Consequently, the campus leadership developed the Madison Initiative, a proposal that linked UW-Madison's strategic plan to the institution's 1999-2001 biennial budget request, in order to generate support from the Governor

¹ The Provost's Ad Hoc Committee on Faculty in Interdisciplinary Programs, chaired by Elizabeth Thomson, was appointed by the Provost to identify potential disparities in responsibilities and rewards between faculty with interdisciplinary responsibilities and those without, submitted its report to the Provost on March 8, 2003.

² The College of Letters and Science report, compiled by Deputy Dean Mary Anne Fitzpatrick and submitted to the Provost on August 5, 2003, examines the opportunities and challenges of the Cluster Initiative for the College of Letters and Science.

³ Appendix C: Table 1 "Patterns in UW-Madison Faculty Hiring." From 1989 to 1993, UW-Madison consistently carried between 2,420 and 2,440 faculty. With budget reductions in the 1990's, faculty numbers declined to 2,171 in 1997 and reached a low of 2,123 in 1999.

and Legislature, the Wisconsin Alumni Research Foundation (WARF), the University of Wisconsin Foundation, and donors and alumni. The Madison Initiative was designed to: improve academic programs via enhancing teaching and learning with technology, strengthening libraries and expanding research opportunities for undergraduates; 2) improve financial assistance for students in need; 3) renovate and repair aging buildings; and 4) improve strategic hiring and retention of faculty and staff. A key component of the Madison Initiative was a strategic initiative that called for hiring clusters of faculty to advance knowledge at interdisciplinary crossroads by establishing a limited number of faculty hiring priorities through a Provost-led competitive process. The Madison Initiative proposed to fund the interdisciplinary hiring initiative through a mix of state tax dollars, tuition increases, and gift funds from the UW Foundation and WARF.

The timing for the initiative was right. The Legislature, the Governor, and the foundations responded well to the proposal to fund groups of new faculty hires or “Clusters”. The proposal also coincided with the excitement associated with the University of Wisconsin-Madison Sesquicentennial and then-prosperous state and national economies. In fact, even before the special Madison Initiative was put forth in the state biennial budget, the University provided good-faith funding for 12 cluster positions, and as part of a budget adjustment bill, Governor Tommy Thompson added eight more new faculty positions in the biosciences. Consequently, with support from the Governor, the legislature passed the initiative in 1998 and Governor Thompson signed its continuation into law for the 1999-2001 biennial budget.

By establishing the Cluster Hiring Initiative, the campus acknowledged that existing curricula demands, departmental traditions, and faculty governance may limit departmental opportunities to pursue new directions in faculty hiring. The challenge is that departments may be unable to hire faculty who pursue important new, more experimental, less established areas of research, or interdisciplinary initiatives that are by definition more distant from the core of a single discipline. The prevailing academic cultures and structures tend to replicate existing areas of expertise, reward individual effort rather than collaborative work, limit hiring input to a single department within a single school/college, and limit incentives and rewards for interdisciplinary and collaborative work. Neither the Provost nor the Chancellor plays a role in the identification of subject areas to be proposed by these new faculty. In addition, existing interdisciplinary teaching or research programs often have no avenue to ensure replacement hiring as faculty resign or retire.

Rather than replicating our strengths through replacement hiring, the Chancellor and Provost initiated a campus-wide proposal process to strengthen and expand interdisciplinary research, teaching and outreach programs. The Provost invited proposals from faculty that identify promising areas for faculty collaboration. Since 1998, faculty have submitted hundreds of proposals to fund faculty lines to pursue and develop new and promising areas of interdisciplinary and collaborative inquiry. These are permanent lines that remain with the hiring department as long as a cluster faculty remains with the University. However, when a cluster faculty position becomes vacant, the faculty line does not remain with the department. Rather, it reverts to the Provost’s cluster funding pool for possible reallocation to new or existing clusters. If the position is essential to the cluster, the Provost may return the position to the cluster.

Cluster Hiring Initiative Objectives

The specific objectives of the Cluster Hiring Initiative are to: 1) enable the campus to devote a critical mass of faculty to an area of knowledge that would not be addressed through existing departmental structures; 2) provide for new research tracks and collaborative opportunities; 3) address complex societal problems; 4) advance the Wisconsin Idea by serving society's needs through interdisciplinary research, learning and service; 5) encourage and foster cooperation within an already strong faculty and staff; 6) create new curricular offerings on the undergraduate and graduate levels; and 7) assist in the fulfillment of other missions of the University, in particular increasing campus diversity.

The Provost's Office coordinates the Cluster Hiring Initiative. The Associate Vice Chancellor (AVC) for Faculty and Staff Programs takes the lead responsibility to oversee the initiative, including the management of the campus wide cluster competitions. During cluster competition Rounds 4 and 5, a Provost appointed 10-person Faculty Advisory Review Committee composed of one person from each of the four divisional and research committees, and two at-large members appointed by the Chancellor. Coordinated by the AVC for Faculty and Staff Programs, the Advisory Committee evaluated pre-proposals and full proposals against five criteria: 1) quality and merits of the initiative; 2) relevance to mission and vision of UW-Madison; 3) timing; 4) potential for success; and 5) potential for faculty diversity. The Faculty Advisory Review Committee also considered comments by deans, department chairs and faculty before recommending a pool of finalists to the Chancellor, Provost and Graduate School Dean.

Upon approval of a cluster, the Provost's Office identifies a Lead Dean for that cluster. The Lead Dean appoints a search and screen committee that represents all of the cluster interests and functions as a department-like search committee. The committee must identify candidates who meet the needs of the cluster as well as the needs of potential tenure home departments. The process is complicated because there may be multiple potential tenure homes for a single candidate, as well as a pool of candidates suitable for appointment in different departments. These potential tenure homes may also reside in different schools and colleges. The Lead Dean oversees the process. When the search committee identifies its choice for the position, the tenure home department must vote in favor of the cluster candidate. After consultation with the Graduate School on start-up package issues, the Lead Dean, the cluster search committee chair, and the department chair develop an offer letter for the candidate. Like non-cluster faculty candidates, cluster faculty candidates may request assistance to ensure a dual-career hire as part of a hiring package. For complete details on the cluster competition and hiring processes see <http://wiscinfo.doit.wisc.edu/Cluster/progrmdesc.html>.

Cluster Hiring Initiative Phases

To date, the campus has conducted five phases of cluster identification and funding (Figure 1 below and Appendix B: UW-Madison Hiring Data for Cluster Hiring Initiative Rounds 1-5).

Figure 1: Faculty Hiring by Cluster Round as of September, 2003

Cluster Round	Number of Positions Awarded	Number of Faculty Hired or Undergoing Searches
Cluster Round 1: 7 Clusters	20	24*
Cluster Round 2: 12 Clusters	32	32
Cluster Round 3: 14 Clusters	39	40*
Cluster Round 4: 10 Clusters	30	31*
Cluster Round 5: 6 Clusters	16	16
TOTALS: 49 Clusters *Extra positions due to school/college match	137	143*

Cluster Round 1

Bioethics
Biophotonics
Functional Brain Imaging
Genomics
International Public Affairs
Nanophase
Zebrafish

Entrepreneurism
Ethnic Studies
Global/International Relations
Land Use
Legal Studies
Political Economy
Science Studies
Vitamin D
Women's Health

Cluster Round 2

Chemical Biology
Chemistry
Computer Engineering
Computer Sciences
Cosmology (Astro Physics)
Cultural Studies (Global)
Economic Sociology
Food Safety
Minimally Invasive Med Tech
Religious Studies
Structural Biology
Visiting Artist (Arts Institute)

Cluster Round 4

Agroecology
Expressive Culture/Diversity
Functional Organic Materials
Mathematical Physics
Middle Easter & Islamic Studies
Molecular Biology
Poverty Studies
Symbiosis-Living Together w/Microbes
Neurodegenerative Disease
Visual Culture Studies

Cluster Round 3

African Diaspora
Cognitive Science
Communication Technologies
Computational Sciences
Energy Source & Policy

Cluster Round 5

Advanced Materials By Design
American Indian Studies
Disability Studies
Intl Environmental & Global Security
Stem Cells & Regenerative Medicine
Systems Biology

Rounds 1-3 (Figure 1)

During Round 1 (1997, also called the BioScience Cluster hires), Governor Thompson authorized eight new faculty positions in the Biosciences through a mid-year budget adjustment bill. In addition, the campus established 12 new faculty positions as a gesture of its good faith and commitment to the Madison Initiative as the 1999-2001 biennial budget process began. Besides the eight special Biosciences hires, proposals were encouraged from: 1) campus groups representing at least four academic units to hire a cluster of two to five faculty to work on new and emerging disciplines; and 2) campus units to hire two to five faculty to address reputation needs and/or specific programmatic opportunities.

In Round 1, the Provost approved a total of seven clusters with 20 new faculty positions. Currently, 23 positions are filled and one is in the search stage as schools/colleges have matched and added four cluster positions. Eight of the 23 faculty hired (35%) were hired with tenure.

Round 2 (1998, also called the Sesquicentennial Hires Round 1, Interdisciplinary Strategic Hires) continued the CHI with a focus on faculty clusters and departmental and program reputation hires. In all, the Provost approved 12 clusters for a total of 32 new faculty positions. Currently, 29 of the positions are filled, with two faculty lines allocated for visiting artists through the Arts Institute. The remaining three positions are in the search stage. Ten of the 29 cluster faculty hired (34%) were hired with tenure.

Round 3 (1999, also known as the Sesquicentennial Hires Round 2, Madison Initiative) used some of the proposals from Round 2 as a starting point. But, given the heavy emphasis on the BioSciences in Rounds 1-2, the Provost encouraged faculty to submit Round 3 proposals in the social sciences and humanities. In Round 3, 14 clusters with 39 new faculty positions were approved and a Lead Dean was appointed for each cluster to help in the recruitment and hiring process. Currently, 34 of the 40 positions are filled with six positions in the search stage (includes one school match cluster position). Twelve of the 34 cluster faculty hired (35%) were hired with tenure.

The Accelerated Improvement Process

In March of 2000, the Provost's Office participated in an "accelerated improvement process" launched by the Office of Quality Improvement to address a number of emerging concerns for CHI hiring and administration: 1) the unprecedented complexity of a hiring process involving more than one school/college and numerous departments; 2) the need to manage and coordinate the large number of people involved in the process of establishing each cluster; 3) the emerging questions about the respective roles of faculty, deans and department chairs; 4) the absence of any central source of information on cluster selection or cluster hiring process; and 5) the absence of a central administration CHI coordinator.

The accelerated improvement process clarified both processes and roles. The results included:

- a CHI overview and guidelines document;
- earlier notification of CHI proposal rounds;

- enhanced communications in the cluster proposal, approval, search and hiring processes;
- establishment of cluster coordinators, a faculty advisory committee, and a Lead Dean for each cluster;
- development of a CHI Web site with upcoming cluster competitions, online proposal submission, public viewing and comment periods, and approved cluster descriptions;
- detailed timelines for searching and hiring;
- CHI recruitment and hiring workshops;
- campus-wide dialogues with stakeholders dealing with roles and responsibilities;
- the beginning of data collection and periodic reporting of cluster faculty hires;
- the recommendation to create support for the cluster infrastructure as well as more systematic dissemination of cluster information and products; and
- refined criteria for cluster proposals, including adding faculty diversity as a CHI objective.

These improvements were incorporated into the subsequent cluster practice, including rounds 4 and 5 competitions.

Rounds 4-5 (Figure 1)

In CHI Round 4 (2000, continuation of Madison Initiative), the Provost's Office utilized an on-line proposal submission process, with public viewing of proposals and the solicitation of cross campus and dean commentary on all proposals. In addition, the AVC for Faculty and Staff Programs coordinated a Provost appointed faculty advisory committee that evaluated all proposals and submitted its recommendations to the Provost, Chancellor and Dean of the Graduate School. In this round, 10 clusters were approved with 30 new faculty positions. Currently, 26 of the 30 positions are filled or have pending offers and five are in the search stage. Five of the 22 cluster faculty hired (23%) were hired with tenure.

In Round 5 (2001, continuation of Madison Initiative), the Provost's Office continued the on-line proposal submission process, with public viewing of proposals as well as the solicitation of cross campus and dean commentary on all proposals. In this round, six clusters with 16 new faculty positions were approved. However, the starting dates for these faculty appointments were staggered between 2003 and 2004 because of state budget cuts and uncertainty over funding levels. Currently, five faculty have been hired or have pending offers, with the remaining 11 authorized faculty positions in the search stage. One of the five faculty (20%) was hired with tenure. Three of the approved clusters have one position each on hold due to budget cuts. And, an additional five clusters with 15 new faculty lines were approved, but were put on hold, pending future funding.

Status of the Cluster Hiring Initiative Today

Total Number of Clusters Approved and Authorized

By the end of Round 5, 49 clusters with 137 centrally-funded faculty lines were approved and authorized by the Provost's Office and schools/colleges matched another seven cluster positions for total of 143 cluster faculty. Currently, Graduate School and school/college data show that

117 faculty lines are filled or have offers pending, and 26 positions are authorized for searches. The campus hoped that new funds would become available in the 2003-2005 biennium to support the five Round 5 approved but not authorized clusters (15 faculty lines remain on hold) as well as the three other faculty positions in Round 5 that were approved, but not authorized for hire. As there were no new funds in the state budget allocation to UW-Madison, those five clusters with 15 faculty lines and three other faculty in Round 5 authorized clusters remain on hold.

The Campus Commitment to the Cluster Hiring Initiative

In the current budget climate there is some uncertainty about the future of the CHI. The state has not made a long-term commitment to the CHI. However, the Chancellor, Provost and deans remain committed to the funding and support for the currently authorized 143 CHI faculty lines. The UW Foundation and WARF continue their commitment to provide matching funds for the Cluster Hiring Initiative. Furthermore, the Provost and Chancellor continue to make efforts to strengthen the Cluster Hiring Initiative. The improvement of the CHI has been a constant work in progress.

For example, as of September 9, 2003, the Provost changed the way that UW-Madison handles the disposition of salary savings when a faculty member who is paid with cluster hiring funds goes off budget (e.g., pays a portion of his/her salary from extramural grant funds). Previously, if a cluster faculty went off budget, the school/college could receive only the actual replacement costs for the courses that the cluster faculty would have taught. Today, any salary savings are retained by the school/college through which the appointment is budgeted and can be used in the same way that salary savings from traditional faculty hires are used (e.g., to pay for covering courses, flexible funding for research support, etc). The Provost made this change for two main reasons: 1) to put cluster faculty on the same footing as other faculty in terms of the benefits that accrue to them and their departments when they find extramural salary funding; and 2) to reduce the bureaucracy involved in negotiating funds to pay for teaching replacement when cluster faculty are off budget. Schools and colleges welcomed this change.

However, as has been the case since the establishment of the CHI, if a cluster faculty member resigns from UW-Madison, the position and salary funding return to the campus. The cluster Lead Dean must provide a justification for the replacement of the departing cluster faculty. In addition, if a cluster faculty goes on 100% leave, the funds return to the campus pool while that individual is on leave. Departments and colleges are concerned about these policies. Several cluster faculty that were hired have already left UW-Madison. Currently, the Provost has not assured deans and department chairs that the faculty lines will be replaced within those clusters.

A related question is how remaining cluster faculty will continue the work of the cluster if vacancies persist.

Cluster Hiring Enhancement Grants

In response to the identified need to foster cluster infrastructure, the Provost established a Cluster Hiring Enhancement Grant campus-wide competition in January 2002 with an annual ongoing

commitment of \$200,000 per year to strengthen cluster development. This program is coordinated by the AVC for Faculty and Staff Programs. The grants provide partial support for graduate students, program assistants, laboratory assistants and other expenses related to programmatic activities to help advance cluster objectives. The funds are awarded for up to three years with a maximum of \$20,000 per year per cluster. As a result of two Cluster Hiring Enhancement Grant competitions, the Provost has committed \$653,606 in support of 16 clusters (33% of the authorized clusters).

Enhancement grant examples include:

- technician support for a shared laboratory environment in the Biomedical Engineering cluster;
- a graduate student to work between the laboratories of the Biophotonics Cluster;
- a graduate student and one course per year faculty replacement funds to provide better coordination, build a database and host monthly colloquia and public presentations in the Visual Studies Cluster;
- honorarium costs for participants in annual symposia and editorial support to produced a book on new frontiers in computational sciences (Princeton Press is interested) for the Computational Sciences Cluster; and
- support staff to help coordinate research and curriculum development, help with conferences, and enhance a Web site for the Entrepreneurship/Technology Cluster.

An enhancement grant was also used to help fund the first-ever conference on nanotechnology in Wisconsin in May 2003. More than 400 people from academia and industry, and state and federal government offices attended the conference. The cluster faculty reported they made many new connections around the country, and interactions increased between researchers, educators, businesses and government agencies. The conference focused on impacts of emerging nanotechnology on the regional economy, and emphasized UW-Madison's role as a research catalyst. The meeting included a major exposition for the general public and was covered widely in the state press. A video was also produced to illustrate the research and economic potentials of nanotechnology and to showcase the nanotechnology expertise of UW Madison faculty.

Examples of Clusters Spanning Several Departments and Schools/Colleges

The CHI has created linkages between faculty in various departments both within and across schools and colleges. Some departments have used cluster positions to add to or strengthen their department core disciplines. For example, several departments gained faculty through the initiative including Sociology, Political Science, the La Follette School of Public Policy, English, Communication Arts, Chemistry, Computer Science, Physics, Sociology, Astronomy and Mathematics. In addition, the new cluster faculty created connections between these departments and their counterparts in Engineering, Medicine, and Agricultural and Life Sciences. And, two positions funded early on in the cluster process strengthened Chemistry's links with other units. Similarly, a cluster centered in Zoology strengthened cross-college relationships in developmental biology, clusters focused on Brain Sciences and Women's Health strengthened connections between L&S and the Medical School.

There is also ample evidence that clusters facilitate cross-departmental activities. The College of Letters and Sciences 2003 Cluster Progress Report is rich with detail about such linkages.⁴ For example, the following centers and institutes have emerged from the CHI or have greatly benefited from the Cluster Hiring Initiative:

The Arts Institute (College of Letters and Science, School of Education, School of Human Ecology) annually receives two cluster lines to bring visiting artists to campus. The program provides course credit, strengthens programmatic ties among departments, and helps support public outreach, including the Wisconsin Film Festival and programs in area studies.

The Science Studies cluster faculty found private support to establish a new Robert F. and Jean E. Holtz Center for Science and Technology Studies. The departments of History of Science, Sociology and Philosophy collaborated on the establishment of the Center, which sponsors workshops, conferences, public lectures, and symposia to foster an understanding of how science and technology shape our lives. Faculty affiliated with this center are also developing new undergraduate courses in Science Studies that will comprise a graduate minor.

The UW faculty proposal to the National Endowment for the Humanities to establish a Center for the Study of Upper Midwestern Cultures proposal was greatly strengthened by the addition of three CHI faculty positions. In fact, the proposal included cluster faculty as the UW match in the funding proposal. The Center provides a home for collaborative research and embraces a strong outreach mission through its commitment to the presentation of cultural research to the public through such modes as school curricula, festivals, media and Web productions, museum exhibits, technical assistance workshops and community events.

The addition of two faculty positions in the Very High Energy Astrophysics and Cosmology Cluster increased faculty expertise necessary to prepare for the submission of the ICECUBE grant to build and install an international high-energy neutrino observatory below the South Pole Station. The grant funds to build this observatory hover around \$250 million. This basic science initiative includes the ICECUBE Education Resource Center that shares information with UW and K-12 students, K-12 teachers, and the general public.

Seven clusters with 20 new faculty members were instrumental in the campus receipt of renewed funding for the campus Title VI Area Studies centers. The programs enhanced include International Public Affairs, Global Cultural Studies, Religious Studies, African Diaspora, Middle East and Islam, International Environment and Global Security, and Global Finance. Wisconsin now boasts more Title VI area and international studies centers than any university in the country. Furthermore, strengthening the undergraduate major in International Studies and UW-Madison's cluster emphasis on global security were key reasons for the success of the \$1,425,346 Global Studies Program award. The award also includes partial salary support for a professor in Human Rights.

Three new cluster faculty affiliated with the Institute for Research on Poverty helped that institute gain new external research funding of \$1.5 million. In addition to performing basic and applied research, the faculty regularly consult with state government officials on health and

⁴ Pages 6-17 of the *Cluster Hiring in the College of Letters and Science: Progress Report – July, 2003*.

welfare funding and management issues. The faculty and staff affiliated with the Poverty Institute generate about \$6 million per year in external grant funds.

Strengthening Existing Interdisciplinary Programs

At least three important interdisciplinary undergraduate programs--Legal Studies, Religious Studies, and Ethnic Studies--have been reinvigorated via the CHI. Expanded Legal Studies programs provide undergraduate students in liberal arts an opportunity to study legal ideas, institutions and process from an interdisciplinary perspective. The Religious Studies program now offers an undergraduate major that awarded its first degrees in 2001-02 (58 students are currently declared as majors). In addition, Religious Studies fields an undergraduate certificate and a selection of graduate courses that may be used to fulfill a graduate minor. This program sponsors a number of successful teach-ins and programs about Islam and World Politics, both on and off campus. The Ethnic Studies programs (Afro-American Studies, Chicano/a Studies, Asian American Studies, American Indian Studies) have been strengthened and L&S has provided positions in the programs for three partner hires related to cluster hires made in other departments. Chicano/a Studies has the preliminary approval to begin to develop an undergraduate major, and the Ethnic Studies programs are considering working together to develop a collaborative undergraduate major.

Faculty are also developing undergraduate courses and graduate courses. The new Science and Technology Studies program are developing undergraduate courses in their respective home departments. These courses will fulfill requirements for a graduate minor (currently under consideration by the Graduate School), as well as contribute to the development of a new certificate program. In addition, the faculty host undergraduate and graduate student internships associated with the nanotechnology research community. These interns work on public education projects related to nanotechnology and societal issues. The Expressive Cultures Cluster offers a new undergraduate certificate (approved in 2000), as well as the necessary course work for a graduate minor. With the addition of new faculty lines, the La Follette School of Public Policy re-conceptualized the Development Policy and Public Administration MA program as a new Master's degree in International Public Affairs.

Campus Faculty Hiring

The CHI helped UW-Madison to reverse the downturn in the number of faculty that had occurred in the early to mid 1990s. To date, UW-Madison has committed 143 new CHI faculty lines. In addition, 18 positions were approved as a result of the Round 5 competition, but those 18 positions were not authorized due to budget cuts. As of the date of this report, institutional data show that 111 new faculty hires were made through the CHI initiative from 1999-2000 to 2003-2004 (Appendix C: Table 1 "Patterns in UW-Madison Faculty Hiring").⁵ In all, CHI faculty represent 16% of the total 683 faculty hired during this same time period. Additionally,

⁵ The difference between the 143 authorized positions and the 111 new cluster hire faculty reflects the fact that table does not count 1) faculty positions still in the search phase; 2) CHI appointments that have been made in non-faculty titles, such as "Visiting Faculty" (currently three hires) and "Artist-in-Residence" (currently two hires); and 3) faculty who have accepted positions with starting dates in the future.

and possibly more important in the long run, many of the recent faculty hires are age 40 or under, which is critical to the continued development of a strong and vibrant faculty.

Campus Faculty Ranks

Slightly more cluster faculty than non-cluster faculty were hired as tenured associate or full professors. Of the cluster faculty hired to date, 32% were hired into the tenure rank as associate or full professors. This compares to an average 20% for traditional faculty who are hired with tenure. During Rounds 1-3, a higher percentage of cluster faculty were hired into the tenure rank than during Rounds 4-5. These recent rounds reflect the campus average of hiring about 80% probationary faculty. The earlier recruitment reflects the campus priority at the time. Many cluster faculty recruited in the early rounds were nationally ranked scholars in the BioSciences who were hired with tenure. This hiring pattern was consistent with the expectation that these established faculty would generate large-scale grants to further the growth of biotechnology research as well as biotechnology business in Wisconsin.

CHI Probationary Faculty

The majority of CHI faculty have been hired as assistant professors without tenure (67%) (Appendix C: Table 3 “Faculty and Staff Hired Through the Cluster Hiring Initiative 1999-2000 through 2002-2003”). Beginning in 2005-2006 the first cohort of 13 probationary cluster faculty hired in 1999-2000 will come up for tenure, with groups of 14-18 cluster faculty coming up each year through 2008-2009 Appendix C: Table 4 “Total Probationary Faculty and Probationary Cluster Faculty by Year of Hire”). During these four years two faculty were also promoted to associate professors and three cluster hires have already left the institution.

The Committee heard concern that departments and divisional committees may find it difficult to evaluate a cluster faculty’s interdisciplinary scholarship during the tenure review. While the Interdisciplinary and Letters and Science reports echoed this concern, the Interdisciplinary Report showed “no difference in the likelihood of achieving tenure among probationary faculty with multiple appointments compared to those with appointments in only one department.” In fact, their data showed that “the likelihood of achieving tenure is not lower but in fact higher for candidates with joint appointments or multiple tenure homes.” While the data sets were too small to confirm that there are no extraordinary problems for interdisciplinary faculty in achieving tenure, this finding should be reassuring to those who fear that interdisciplinary scholarship may be difficult to evaluate. A similar concern about documenting scholarship for tenure was expressed recently by the campus clinical faculty. However, a committee that examined this concern found no evidence that clinical faculty were achieving tenure at a lower rate than other faculty in the health sciences.⁶

⁶ *Report of the Health Sciences Division Task Force on the Health Sciences Division Proposal* submitted to the Deans of the Health Sciences Schools, April 23, 2003 (Chair Professor John Mullahy, Dept. of Population Health Sciences) appendix F, pages 75-76 and Appendix I pages 89-90.

Faculty Teaching Loads

Early evidence suggests that cluster faculty teaching loads are similar to the teaching loads of non-cluster instructional faculty. Although the number of cluster faculty is small compared to the overall faculty ranks, data show that the number of group instruction sections per semester that cluster faculty teach is slightly higher than or equal to all faculty teaching loads; 2.5 instruction sections per semester compared to 2.1 for all faculty in fall 2001, and 2.1 instruction sections per semester for both cluster and non-cluster faculty in fall 2002. Additionally, individual instruction numbers of students taught by cluster faculty are comparable with all faculty. Since spring of 2000 cluster faculty group instruction section size has been slightly higher than for all faculty, ranging from three to 12 students higher (Appendix C: Table 5 “Summary of Instructional Activity of Cluster Hires”). However, average group instruction section size varies substantially by semester for cluster faculty, mainly because of the small numbers. Large class sections can have a large impact on the average.⁷

Faculty Extramural Research Awards

Cluster faculty are also successful in obtaining federal and non-federal grants (Appendix C: Table 6, “Cluster Faculty and All Faculty Extramural Research Awards by Year”). Although the CHI program is relatively new and we only have a small amount of data, the data is promising. Cluster faculty are garnering grants in which the average amounts are about equal to all faculty. In 2002-2003, cluster faculty brought in \$16.7 million in federal and other extramural research awards, for an average of \$191,771 per cluster faculty hired. For the university as a whole, faculty brought in \$428.3 million in extramural research awards in that year, for an average of \$192,492 per faculty member (both those with and without grants). An examination of only those faculty with awards in 2002-2003 reveals that CHI faculty grants are slightly below the university average. For example, the average for the 49 cluster faculty with awards in 2002-2003 is \$340,491 compared to the campus average for all 1,184 faculty with awards of \$361,735.

An analysis of faculty extramural research awards in 2002-2003 by divisional committee affiliation shows that average grants for cluster faculty in the biological division are slightly higher than for all faculty in the biological sciences (\$304,702 compared to \$296,707). Average grants for cluster faculty in the physical sciences division are also higher than for all faculty in that division (\$301,377 compared to \$289,596). On the other hand, grants for cluster faculty in the social studies division were below the average for all faculty in that division (\$53,377 compared to \$122,695). And in the arts and humanities division, there were no grants reported for cluster faculty compared to a campus average of \$8,843 for this division (Appendix C: Table 7, “Cluster faculty and All Faculty Extramural Research Awards by Division, 2002-2003”). However, given the small numbers of cluster faculty and the one-year snap shot, a longer term data set is needed to draw definitive conclusions.

⁷ For example, the exclusion of the fall 2002 Anthropology 104 course from the cluster group would change the average students per instructional section from 47 to 40 students. On the other hand, it would change the instructional section size for all faculty by less than .2% if it were excluded.

Faculty Salary and Start-up Packages

During the campus discussions, the Committee heard the view that salaries and start-up packages of cluster faculty are more lucrative than those of non-cluster faculty. The Committee did find that CHI appointments across school and college lines have increased faculty awareness that courses taught, salaries, and start-up packages differ widely depending on fields and areas of specialization. Some individuals hired into one department within a cluster expressed dissatisfaction with their terms of appointment after discovering that their cluster colleagues with appointments in another school/college/department (particularly the professional schools), make substantially higher salaries or have markedly lower teaching loads. On the other hand, some faculty said they understand that market factors differ among disciplines. Similarly, some department chairs acknowledged the need to pay market salaries to attract new talent. However, equity concerns remain. In the future, non-cluster and cluster faculty may demand “equity” adjustments if they collaborate with cluster faculty and are equally productive. As cross-college and cross-departmental appointments increase, the campus may need to pay more attention to merit processes that involve input from those schools/colleges and departments with which cluster faculty are involved.

In earlier CHI rounds that emphasized science, CHI faculty fared better on start-up packages than non-cluster faculty. There were hefty start-up packages and expensive facilities remodeling efforts (Appendix C: Tables 8-10 Start-up Awards Granted by Amount, Year and Divisional Committee). In fact, 14 cluster faculty start-up awards were in excess of \$500,000 compared to seven for non-cluster faculty. Six CHI start-up awards were in excess of \$750,000 compared to one in excess of \$750,000 for non-cluster faculty. According to a Graduate School Dean, “Start-up packages in the earlier rounds were much larger and would have broken the bank if they had continued at that level.” While there is no evidence that these start-up packages were unjustified, these earlier decisions affected subsequent start-up expectations.

During the four years analyzed (1999-2000 to 2002-2003), cluster faculty averaged higher start-up packages than non-cluster faculty (\$265,390 compared to \$134,749). However, during 2002-2003, the Graduate School and other data show that average CHI start-up awards were virtually identical to the average start-up awards for non-cluster faculty (\$176,590 for cluster faculty compared to \$178,117 for non-cluster faculty). And, in 2002-2003, the median of cluster faculty start-ups (\$75,588) is much lower than the median for non-cluster faculty (\$129,500). When analyzed by divisional committee affiliation and faculty rank, with the exception of associate and assistant professors in the Social Studies Division, average start-up packages from 1999-2000 through 2002-2003 for cluster faculty were larger across the board than for non-cluster faculty.

The ultimate question is what has been and what will be the return on the investment of faculty start-up packages. In that regard, preliminary data on the federal and nonfederal grants and awards received by cluster faculty show that faculty who received the largest start-up packages generated substantial grants and awards. Institutional data, which only records one faculty as a Principal Investigator for a grant, shows that among the cluster faculty hired with the nine largest start-up packages from 1999-2001, the amount of grants and awards received so far totals \$15,469,547. But when those same faculty self-reported awards on which they are either a Principal Investigator or Co-principal Investigator, the amount of awards reported increased to

\$39,663,655 over the same period. The addition of already approved grants through 2008 increases the amount to more than \$69 million. Furthermore, three of the CHI faculty with large start-up packages reported they are involved in start-up companies (Genetic Assemblies Inc., nPoint, vdW Design LLC). In addition, as a result of cluster faculty research, the Wisconsin Alumni Research Foundation has secured at least seven patents from the work of these nine cluster faculty.

Faculty Diversity

The CHI was also evaluated to determine whether it has diversified the faculty. So far, data show that women hires made up 30% of the cluster faculty hires compared to 33% for non-cluster faculty hires from 1999-2000 to 2002-2003. Cluster hiring of all minority faculty is 28% compared to 23% for the faculty as a whole during that time. However, the percentage of non-Asian minority hires (Black, Native American and Hispanic) from 1999-2000 to 2002-03 for all faculty, both cluster and non-cluster, totals 8% (Appendix C: Table 2, “Faculty and Staff Hired Through the Cluster Hiring Initiative 1999-2000 through 2002-2003 by Gender and Race/Ethnicity”). Again, the data sets for cluster faculty are too low to draw any long-term conclusions, but cluster faculty hiring of all minorities is slightly higher than the percentage of minority hires generally, and hires of non-Asian minority faculty is about equal to the campus average. For minority faculty, the recent numbers are far more promising than during 1999-2000 when only 1 of 20 faculty hired was minority (5%). Since then, the percentage of all minority faculty hired into clusters has been from 5-14% higher (years 2000-2001 to 2002-2003) than with all faculty hiring. The College of Letter and Science reports that the clusters have added to campus diversity and strengthened those academic programs that study the difficulties minorities face in majority group environments.⁸ The College also reports that clusters have helped integrate those topics into traditional fields of study, such as religious studies, folklore, international studies, art history, and the ethnic studies programs.

Cluster Hiring Initiative Strengths and Weaknesses

Strengths and Opportunities

Faculty, department chairs, search committees and deans rate the cluster concept high: clusters create excitement, energize faculty, and create new opportunities for collaborative work and faculty hiring. Interdisciplinary departments and centers and traditional departments have used the cluster positions to strengthen core disciplines, and undergraduate and graduate educational programs. Clusters have also facilitated the development of new research centers and institutes, and added vital new outreach programs to serve the citizens of Wisconsin.

Deans and department chairs recognize that new cluster faculty lines have helped to reverse the downward trend in the number of faculty hired over the previous eight years. While faculty hiring may have increased across the country due to the vibrant economy of the late 1990s, the Cluster Hiring Initiative was a brilliant way for the UW to compete for state dollars to hire faculty.

⁸ Pages 7-9 of the *Cluster Hiring in the College of Letters and Science: Progress Report – July, 2003*.

Cluster search committees, department chairs, faculty and deans report that the CHI focuses national attention on UW Madison: Academics nationwide view the Cluster Hiring Initiative as an innovative interdisciplinary faculty program, which has helped in some faculty recruiting efforts.

Some cluster faculty, department chairs and deans believe that the CHI provides departments more hiring flexibility. The CHI has allowed departments to add strengths in areas that were not defined as part of their strategic plan, but were areas of great promise. In their view, these cluster hires have brought not only new areas of specialization but also new methodological talents. Departmental faculty hiring is usually curricular-driven, while early cluster hiring was research driven. In the later CHI rounds, most clusters selected focused on both research and curricular needs.

Cluster faculty, department chairs, search committees and deans believe that some clusters are working at the cutting edge of the advancement of knowledge. Examples include programs in the biological sciences, interdisciplinary programs combining physical, social and biological sciences, and programs in the humanities such as the Institute for the Study of the Abrahamic Traditions, and the Center for the Study of Upper Midwestern Cultures.

Deans, faculty and department chairs also view the Cluster Hiring Initiative as a possible solution to confining departmental structures. They also note that clusters have strengthened departments by devoting a critical mass of faculty to areas of knowledge that would not be addressed through existing faculty departmental structures. Yet, while the number of cluster faculty hired is appreciable, many believe it is still too low to cause long-term departmental change through the substantive integration of collaborative and interdisciplinary work into ongoing departmental activities.

Qualitative data and limited quantitative data show that clusters are enhancing interdisciplinary teaching, research and outreach. For example: 1) cluster hiring has encouraged faculty to develop new courses and sequences and educational experiences for both undergraduates and graduate students, and cluster faculty now teach a robust number of interdisciplinary courses; 2) cluster faculty are engaged in collaborative research and publishing activities; and 3) cluster faculty are engaged in collaborative outreach activities.

Weaknesses and Barriers

Some faculty and department chairs expressed concern about the quality of cluster hires. They believe that if forced, departments may choose less qualified CHI faculty candidates. However, no dean reported that he/she denied a request to recruit replacement faculty because a department already hired a faculty member through the CHI. In fact, the Committee has seen evidence that many departments have used cluster positions to strengthen their departments and core disciplines. Furthermore, some College of Letters and Science departments have benefited from school/college faculty positions that have been added on top of the authorized cluster lines, since the college has made a 17% faculty hiring match to their CHI faculty.

Cluster faculty, department chairs, deans and cluster search committees agree that the cluster hiring process consumes more time than ordinary faculty hiring and has been administratively complex and cumbersome. This remains the case even though improvements have been undertaken such as the appointment of a Lead Dean and cluster coordinator. The hiring process is complicated because: 1) departments do not solely control the hiring process; 2) each cluster is a new entity; 3) each cluster hire requires concurrence from a department and the cluster hiring committee; 4) hires may involve several departments and more than one school/college; and 5) approved clusters and departments may have disparate hiring cycles. There have been many cases in which faculty have worked hard but unsuccessfully on cluster proposals or hires. In small schools/colleges cluster search processes can consume a fair amount of senior faculty time with little direct benefit or gain. There has also been much confusion. For example, a dean reported that during negotiations with a cluster committee, where the school had a potential faculty candidate, the school did not know which cluster committee member to contact to make progress on the hire. In addition, it was difficult to get a clear message about the committee's relative interest in the prospect. The result was no hire, and a frustrated staff.

Cluster faculty, department chairs and deans are concerned that cluster faculty with multiple departmental affiliations may not experience a strong connection with a department. This is important since departments bear primary responsibility for the day-to-day life of the faculty including: 1) faculty mentoring, promotions and nominations for awards and honors; 2) recruiting support; 3) developing excellent students; 4) shepherding new curricula through the planning process; and 5) a myriad of other support that allow faculty to function. Cluster faculty members are not only expected to add to the strength of the tenure department, but also to the interdisciplinary area. Departments expect cluster faculty to participate in departmental teaching and service, but each department participating in a cluster cannot reasonably expect cluster faculty to participate in all departmental activities with the same level of commitment as faculty housed solely within that department.

Cluster faculty, department chairs, deans and Divisional Committee chairs share concerns that: 1) salary, start-up packages, and space assignment issues are often difficult to resolve; 2) interdisciplinary cluster faculty activities may not be adequately recognized and rewarded during the annual merit award process; 3) junior faculty who are involved in cluster activities may not be accorded adequate recognition in oversight reviews; and 4) junior cluster faculty may be disadvantaged at the time of tenure review. In the earlier cluster rounds, when many clusters tried to hire faculty at the tenured rank, some Divisional Committees found it harder to judge interdisciplinary scholarship versus traditional scholarship. Cluster faculty can be seen not as specialists in one area, but more as generalists, without specialty expertise.

Cluster faculty and department chairs believe that schools/colleges and departments should pay increased attention to the mentoring of junior cluster faculty. For several years now, all involved with clusters have recognized the importance of a mentoring process sensitive to the multiple duties and responsibilities of cluster faculty. The Provost has advised Lead Deans to pay close attention to the career progress of junior cluster faculty and to develop a specific memorandum of understanding that addresses the duties and responsibilities of cluster faculty. These memoranda are especially important throughout the probationary period and provide a benchmark against which to measure the development of cluster faculty.

Graduate School deans, department chairs and some faculty are concerned that there is a perception that cluster faculty are a privileged class given preferential treatment in which they get better start-up packages and salaries. Even though more recent data show that there is more equity across campus, the perception is still there and contributes to some faculty dissatisfaction with the CHI.

Cluster faculty, department chairs and deans are uncertain about the Chancellor's, Provost's and boards of the UW Foundation and Wisconsin Alumni Research Foundation long-term commitment to support, develop and replace cluster faculty. There is also concern about the ongoing costs of the cluster hires and the long-term impact on the departments, such as with the cost of infrastructure support and how to replace a cluster hire when he/she leaves. There is no assurance of program continuation should someone leave, potentially leaving a school/college, department and the rest of the cluster faculty short.

Conclusions

There is no doubt that the CHI is beginning to achieve its goals. As illustrated by input received during the campus-wide discussions and through the limited data analyzed for this report, campus deans, department chairs and faculty support the continuation of the Cluster Hiring Initiative. In addition, two recent campus reports, the *2003 Report of the Provost's Ad Hoc Committee on Faculty in Interdisciplinary Programs* and the *July 2003 Cluster Hiring in the College of Letters and Science: Progress Report*, show the Cluster Hiring Initiative is succeeding and recommend its continuation. Overall the campus believes we should foster increased interdisciplinary activities. Interdisciplinary cluster faculty are teaching, conducting outreach programs and bringing in extramural awards. Many departments' core areas have also been strengthened. Faculty are developing new areas of inquiry and linkages are being made across departmental lines both within and between schools and colleges.

Across the institution there is enthusiasm for the CHI. Schools/colleges have contributed fiscal, space, and personnel resources to the development of clusters. In the midst of many searches, schools/colleges have tried to be responsive to requests from cluster committees to add faculty lines to clusters to strengthen the initiative, particularly in cases where they have found outstanding candidates. And schools/colleges have hired into tenure track lines, or permanent staff positions, the spouses or partners of cluster faculty in order to insure the successful recruitment of the cluster candidate. We also know that cluster hiring has reversed the downward trend of faculty hires over the past eight years and in recent rounds has helped us hire faculty under the age of 40. It is too early to determine what the ultimate long-term impacts will be in terms of faculty tenure and the overall quality of CHI faculty in comparison with non-cluster faculty.

However, it also is too early to quantitatively determine how well the CHI is meeting its original goals and objectives. The number of cluster faculty is too small and the program too new to generate statistically significant data on new courses taught and new research and outreach programs undertaken in comparison to non-cluster faculty. There are also difficulties in measuring the impact of clusters on the traditional departmental and school/college cultures from

increased interdisciplinary activities, since clusters are not the only way to foster interdisciplinary work.

It is also impossible to know whether the clusters exact opportunity costs. The focus on clusters may pose the risk that we will miss other opportunities to foster interdisciplinary collaborations. The question here is not whether clusters are important. Rather, the question is whether we are paying sufficient attention to current departments, centers and existing programs that foster interdisciplinary and collaborative work.⁹ Equally important is the perceived loss of departmental autonomy in hiring and long-term planning. Euphoria over the Cluster Hiring Initiative is appropriate. But if interdisciplinary collaborative activity is also important, it should also be fostered campus wide through activities that involve existing faculty, departments, and programs.

Recommendations

While the committee heard more enthusiasm than criticism about the Cluster Hiring Initiative, the committee also heard many concerns among faculty and departments that should be addressed. After careful review of the information gathered as well as analyses of campus input, the Committee offers the following recommendations to the Chancellor, the Provost, and campus to strengthen cluster development and improve the cluster process:

- I. The UW-Madison should continue to maintain its support for the currently approved and authorized 143 faculty lines. The Committee believes that the Cluster Hiring Initiative competitive process is one way to identify new faculty hiring priorities that foster collaboration in interdisciplinary research, teaching and outreach.¹⁰ When additional funds are allocated through the state budget process and/or through internal reallocation of resources, and after consultation with campus deans, the Provost should hold additional competitions and new clusters should be funded. The Provost should also offer the unfunded Round 5 clusters with 18 positions an opportunity to request funding.
- II. The Provost should convene an ad hoc committee to conduct a thorough assessment of the Cluster Hiring Initiative in three to five years, at which time clusters should be more fully developed and the institution would be better able to assess whether the initiative is meeting its objectives.
- III. The Chancellor, Provost and deans should create other, less permanent, more flexible opportunities to foster collaboration and interdisciplinary research, teaching and outreach. Possible options for this include:

⁹ The *Report of the Provost's Ad Hoc Committee on Faculty in Interdisciplinary Programs* (page 1) found that there is also a "wide variation in experience among faculty with interdisciplinary responsibilities, variation that makes it difficult if not impossible to make recommendations that will fit all faculty."

¹⁰ The *Report of the Provost's Ad Hoc Committee on Faculty in Interdisciplinary Programs 2003* and the *Cluster Hiring in the College of Letters and Science: 2003 Progress Report* concur with this recommendation.

- a Graduate School-sponsored or Provost-sponsored competition to fund collaborative interdisciplinary research;¹¹
- a Graduate School- or Provost-sponsored competition to fund cross-college faculty collaboration to address issues of mutual concern. These activities might be similar to the “Wisconsin and the Global Economy” project, or the “The Center for Biology Education;” and
- the Chancellor or Provost might sponsor an annual award for outstanding collaborative or interdisciplinary research, teaching and outreach.¹²

IV. The Provost’s Office should continue to coordinate the Cluster Hiring Initiative by:

- continuing to conduct campus-wide competitions to identify new cluster opportunities;
- continuing to conduct cluster faculty recruitment and hiring workshops for search committees, departmental chairs and deans;
- conducting workshops designed to improve administration of clusters;
- organizing periodic campus-wide symposia, seminar series and other opportunities to share the results of cluster research, education and outreach;
- improving and maintaining a Provost’s Office Web site on the Cluster Hiring Initiative for submission of proposals, comments and reviews of proposals, for providing background information on all clusters, and data and other information on cluster accomplishments;
- developing mechanisms for improved cluster-related communication among deans, department chairs and cluster faculty;¹³
- continuing to provide Cluster Enhancement Grants to support the coordination of cluster activities or disseminate the work of the clusters to the campus and beyond;
- collaborating with the Executive Committees of the Faculty Divisions to develop guidelines and criteria for the preparation of tenure dossiers that document collaborative and interdisciplinary teaching, research and outreach scholarship;¹⁴
- working with the Lead Deans to identify the school/college cluster data needed to successfully monitor, evaluate and improve the CHI;¹⁵ and
- working with Lead Deans to develop a campus-wide policy to address how to replace a cluster faculty position when that position becomes vacated.

V. Lead Deans, department chairs and cluster coordinators should continue to be responsible for oversight of the clusters¹⁶ by:

¹¹ The *Report of the Provost’s Ad Hoc Committee on Faculty in Interdisciplinary Programs 2003* agrees with this recommendation.

¹² The *Report of the Provost’s Ad Hoc Committee on Faculty in Interdisciplinary Programs 2003* agrees with this recommendation.

¹³ The *Report of the Provost’s Ad Hoc Committee on Faculty in Interdisciplinary Programs 2003* and the *Cluster Hiring in the College of Letters and Science: 2003 Progress Report* agree with this recommendation.

¹⁴ The *Report of the Provost’s Ad Hoc Committee on Faculty in Interdisciplinary Programs 2003* agrees with this recommendation.

¹⁵ The *Cluster Hiring in the College of Letters and Science: 2003 Progress Report* agrees with this recommendation.

- providing fiscal and administrative support to strengthen clusters;
- overseeing cluster faculty hiring, mentoring and development¹⁷ including the:
 - determination of cluster faculty tenure homes;
 - development of memoranda of understanding that detail the roles and responsibilities of new and existing cluster faculty;
 - creation of appropriate mentoring committees and vigorous oversight of cluster faculty mentoring;
 - review of the annual merit exercise and how cluster faculty fare;¹⁸ and
 - management of merit processes that involve input from the schools/colleges and departments within which cluster faculty are involved.
- collaborating on the development of present and future clusters;
- preparing and submitting data to the Provost's Office by May 1 of each year that may include, but not be limited to such measures as:
 - the number and names of cluster faculty interviewed, and hired by department, rank, gender and race/ethnicity;
 - the number and names of cluster faculty who are promoted to associate or full professor;
 - cluster faculty who have been granted and denied tenure;
 - cluster faculty teaching loads and new courses that were developed;
 - cluster faculty annual grants and research awards;
 - assessments of how departments are evaluating the quality of clusters;
 - cluster faculty outreach activities;
 - cluster related patents and start-up companies, and other cluster-influenced business or economic activity; and
 - other qualitative measures, such as the number of scholarly articles, awards and citations that indicate cluster advances in research, teaching and outreach.
- interviewing faculty who accept cluster positions, those who turn down offers, and cluster faculty who leave UW-Madison in order to identify areas of concern and opportunities for improving the Cluster Hiring Initiative.

¹⁶ The *Report of the Provost's Ad Hoc Committee on Faculty in Interdisciplinary Programs* and the *Cluster Hiring in the College of Letters and Science: 2003 Progress Report* agree with this recommendation.

¹⁷ The *College of Letters and Science: 2003 Progress Report* agrees with this recommendation.

¹⁸ The *Report of the Provost's Ad Hoc Committee on Faculty in Interdisciplinary Programs* agrees with this recommendation.

Appendix A:
Provost's Ad Hoc Advisory Committee to Evaluate the Cluster Hiring Initiative

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11/11/03

Appendix B: Hiring Data for Cluster Hiring Initiative Rounds 1-5

Cluster Name	Lead Dean / College	Round #	# of Positions Awarded	# of Faculty Hired or with Offers	# Not Yet Authorized	FY 03-04 Authorized Searches
Round I						
Bioethics	Medicine	1	1	1		
Biophotonics	L&S	1	3	3		
Functional Brain Imaging	Medicine	1	2	2		
Genomics	CALS	1	5	7		
International Public Affairs (La Follette)	L&S	1	3	3		1
Nanophase Inorganic Materials & Devices	ENG	1	3	4		
Zebrafish Biology	L&S	1	3	3		
		7 total clusters	20	23	0	1
Round II						
Chemical Biology	CALS	2	3	3		
Chemistry	L&S	2	2	2		
Computer Engineering	ENG	2	2	2		
Computer Sciences	L&S	2	2	2		
Cultural Studies in Global Context	L&S	2	3	3		
Economic Sociology	L&S	2	2	2		
Food Safety	CALS	2	4	4		
Minimally Invasive Medical Technology	Medicine	2	3	3		
Religious Studies	L&S	2	4	3		1
Structural Biology	CALS	2	3	2		1
Very High Energy Astrophysics & Cosmology	L&S	2	2	1		1
Visiting Artist Program	L&S	2	2	2		
		12 total clusters	32	29	0	3
Round III						
African Diaspora	L&S	3	3	3		
Cognitive Sciences	L&S	3	3	1		2
Communication Technologies	L&S	3	3	2		1
Computational Sciences	ENG	3	3	3		
Energy Sources & Policy	ENG	3	4	2		2
Entrepreneurship/Technology	BUS	3	4	4		
Ethnic Studies	L&S	3	4	5		
Global Governance & International Finance	INT STUDY	3	2	2		

Numbers taken from Lead Deans and Jim Knickmeyer as of September 4, 2003.

Appendix B: Hiring Data for Cluster Hiring Initiative Rounds 1-5

Cluster Name	Lead Dean / College	Round #	# of Positions Awarded	# of Faculty Hired or with Offers	# Not Yet Authorized	FY 03-04 Authorized Searches
Land Use	CALS	3	2	1		1
Legal Studies	L&S	3	3	3		
Political Economy	L&S	3	2	2		
Science Studies	L&S	3	2	2		
Vitamin D	CALS	3	1	1		
Women's Health/Biology of Sex and Gender Differences	Medicine	3	3	3		
Round III TOTAL		14 total clusters	39	34	0	6
Round IV						
Agroecology	CALS	4	3	3		
Expressive Culture & Diversity in the Upper Midwest	L&S	4	3	3		
Functional Organic Material	L&S	4	3	2		1
Mathematical Physics - String Theory	L&S	4	3	3		
Middle Eastern & Islamic Studies	L&S	4	2	2		
Molecular Biometry	CALS	4	3	2		1
Poverty Studies	L&S	4	3	3		
Symbiosis	CALS	4	3	2		1
Translational Research - Neurodegenerative Diseases	Medicine	4	4	3		2
Visual Culture Studies	SoHE	4	3	3		
Round IV TOTAL		10 total clusters	30	26	0	5
Round V						
Advanced Materials by Design: Theory and Computation	ENG	5	3	0		3
American Indian Studies	L&S	5	2	0		2
Disability Studies	L&S	5	3	2		1
International Environmental Affairs and Global Security	IES	5	3	2		1
Stem Cells and Regenerative Medicine	Medicine	5	2	1		1
Systems Biology	Medicine	5	3	0		3
Round V TOTAL		6 total clusters	16	5	0	11
GRAND TOTAL *		49 total clusters	137	117	0	26
Total Positions Filled, Faculty Hired and Hires Pending *			143			

Numbers taken from Lead Deans and Jim Knickmeyer as of September 4, 2003.

Appendix B: Hiring Data for Cluster Hiring Initiative Rounds 1-5

Cluster Name	Lead Dean / College	Round #	# of Positions Awarded	# of Faculty Hired or with Offers	# Not Yet Authorized	FY 03-04 Authorized Searches
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* Includes Cluster Faculty with partial percentage appointments and with school/college matching-fund appointments.

Round V On-Hold Approved Clusters. These clusters were approved, but the faculty positions are on hold pending future budget allocations (Please refer to *Cluster Hiring Initiative Round 5 and Budget Cuts* Memo from Provost Spear Aug. 1, 2002)

American Indian Studies**	L&S	5	1	0	1	0
Biology and Management of Invasive Species	CALS	5	3	0	3	0
Family Policy and Law	SoHE	5	3	0	3	0
International Environmental Affairs and Global Security**	IES	5	1	0	1	0
International Gender Policy Studies	L&S	5	3	0	3	0
Stem Cells and Regenerative Medicine**	Medicine	5	1	0	1	0
Transportation Management and Policy	ENG	5	3	0	3	0
Urban Ecology and Ecosystem Dynamics	CALS	5	3	0	3	0
Round V TOTAL ***		5 total clusters	18	0	18	0

** These three clusters have already been authorized to hire other positions, but have one position each on hold as a result of legislative budget cuts for the Madison Initiative funding. *** These five clusters have been approved, but are not yet authorized as a result of legislative budget cuts for the Madison Initiative funding.

Appendix C: Data Tables

(Prepared by the Office of Academic Planning and Analysis)

- Table 1:** Patterns in UW-Madison Faculty Hiring
- Table 2:** Faculty and Staff Hired Through the Cluster Hiring Initiative: 1999-2000 through 2002-2003 by Gender and Race/Ethnicity
- Table 3:** Faculty Hired Through the Cluster Hiring Initiative: 1999-2000 through 2002-2003 by Rank
- Table 4:** Total Probationary Faculty and Probationary Cluster Faculty by Year of Hire
- Table 5:** Summary of Instructional Activity of Cluster Hires
- Table 6:** Cluster Faculty and All Faculty Extramural Research Awards by Year
- Table 7:** Cluster Faculty and All Faculty Extramural Research Awards by Division, 2002-2003
- Table 8:** Start-up Awards Granted to Cluster and Non-Cluster Faculty Hired 1999-00 through 2002-03
- Table 9:** Cluster and Non-Cluster Faculty Start-up Awards by Year
- Graph I:** Start-up Awards by Cluster/Non-Cluster Hires
- Graph II:** Start-up Award Levels for Cluster Hires and All Hires, 1999-2002
- Table 10:** Cluster Faculty and Non-Cluster Faculty Start-up Awards by Divisional Committee Affiliation and Rank at Hire, for Those Hired 199-00 through 2002-2003

TABLE 1

Patterns in UW-Madison Faculty Hiring

YEAR	Number of New Hires	Number of Cluster Hires	Cluster Hires as % of New Hires	Total Number of Faculty in October	
				Headcount	FTE
1982-83	106			2,289	1,954
1983-84	138			2,314	1,982
1984-85	146			2,328	1,979
1985-86	129			2,416	2,176
1986-87	92			2,400	2,120
1987-88	117			2,370	2,118
1988-89	197			2,407	2,161
1989-90	148			2,435	2,205
1990-91	145			2,444	2,227
1991-92	128			2,421	2,221
1992-93	112			2,430	2,225
1993-94	94			2,419	2,220
1994-95	70			2,371	2,156
1995-96	76			2,285	2,078
1996-97	70			2,210	2,013
1997-98	86			2,171	1,986
1998-99	98			2,135	1,957
1999-00	134	20	15%	2,123	1,939
2000-01	157	22	14%	2,174	2,004
2001-02	155	28	18%	2,213	2,047
2002-03	124	19	15%	2,225	2,060
2003-04	113 *	22 *	19% *	2,233 *	

(*) indicates preliminary data, based on estimates of offers made and accepted.

Source: UW-Madison tenure file, IADS appointment system, and cluster hires data: September 2003.

Notes: New hires are counted from May 16 to May 15 in each year. Total number of faculty are counted as of October of each year. Headcount totals include faculty on leave and those with administrative titles such as Dean. FTE counts include only those paid as faculty on the October payroll. In 1985-86, faculty were transferred from UW-Extension and are not counted as new hires. The legislature authorized over 100 additional faculty positions in the 1987-89 Biennial Budget.

Prepared by: Margaret Harrigan, Office of Academic Planning and Analysis

11/11/03

Table 2

Faculty and Staff Hired through the Cluster Hiring Initiative: 1999-00 through 2002-03
by Gender and Race/Ethnicity

Headcount	Gender		Race/Ethnicity							Minority as % of Total	Non-Asian Minority as % of Total		
	Total	Male	Female	Female as % of Total	Black	Asian	Native American	Hispanic	White/Other				
Total Faculty Hired													
1999-00	134	91	43	32%	3	14	2	4	111	17%	7%		
2000-01	157	100	57	36%	9	28	0	6	114	27%	10%		
2001-02	155	108	47	30%	7	27	2	3	116	25%	8%		
2002-03	124	81	43	35%	3	17	1	3	100	19%	6%		
Total	570	380	190	33%	22	86	5	16	441	23%	8%		
Faculty Hired through Cluster Hire Initiative													
1999-00	20	15	5	25%	1	0	0	0	19	5%	5%		
2000-01	22	16	6	27%	0	5	0	2	15	32%	9%		
2001-02	28	20	8	29%	1	9	1	0	17	39%	7%		
2002-03	19	11	8	42%	1	4	1	0	13	32%	11%		
Total	89	62	27	30%	3	18	2	2	64	28%	8%		
Faculty and Staff Hired through Cluster Hire Initiative													
1999-00	24	18	6	25%	2	1	0	0	21	13%	8%		
2000-01	25	18	7	28%	1	6	0	2	16	36%	12%		
2001-02	31	23	8	26%	1	9	1	1	19	39%	10%		
2002-03	20	11	9	45%	1	4	1	0	14	30%	10%		
Cluster Round 1	22	17	5	23%	0	3	0	1	18	18%	5%		
Cluster Round 2	38	27	11	29%	3	5	0	2	28	26%	13%		
Cluster Round 3	28	19	9	32%	2	9	1	0	17	43%	11%		
Cluster Round 4	12	8	4	33%	0	3	1	0	7	33%	8%		
Total	100	70	30	30%	5	20	2	3	70	30%	10%		

NOTES: In addition to faculty positions, Cluster Hire funds are used to hire visiting faculty, fellows and artists-in-residence who are included in the Total Faculty and Staff hired through Cluster Hire Initiative numbers above. The Visiting Artists Cluster includes each of the artists hired (about one per semester, for a semester-long appointment). Individuals who choose not to report race are shown as White/Other.

SOURCE: Graduate School list of Cluster Hires who accepted appointments, IADS appointments information system as of September 2003.

Prepared by: Margaret Harrigan, Office of Academic Planning and Analysis

11/11/03

Table 3

**Faculty Hired through the Cluster Hiring Initiative:
1999-2000 through 2002-2003**

	Professor	Associate Professor	Assistant Professor	Instructor	Total Faculty	Tenured As % of Total
Total Current Faculty (Oct 2002)	1,367	351	507	0	2,225	77%
Total Faculty Hired 1999-2000 through 2002-2003						
1999-2000	13	13	108	0	134	19%
2000-2001	22	11	124	0	157	21%
2001-2002	19	18	117	1	155	24%
2002-2003	18	13	93	0	124	25%
Total	72	55	442	1	570	22%
Total Cluster Faculty Hired 1999-2000 through 2002-2003						
1999-2000	5	2	13	0	20	35%
2000-2001	4	4	14	0	22	36%
2001-2002	8	2	18	0	28	36%
2002-2003	3	1	15	0	19	21%
Total	20	9	60	0	89	33%

NOTES: Numbers reported are headcounts, not FTES. Faculty who were hired at one rank and have since been promoted are shown in the rank at the time of hire. In addition to tenured and tenure-track faculty positions, Cluster Hire positions were used to hire visiting faculty, artists-in-residence and fellows who are not counted above.

SOURCE: Graduate School list of Cluster Hires, IADS appointment information system, June 2003.

Prepared by: Margaret Harrigan, Office of Academic Planning and Analysis

11/11/03

Table 4

Total Probationary Faculty and Cluster Probationary Faculty by Year of Hire

Year Hired	Total Probationary Faculty Hired	Total Promoted to Associate Professor	Total Left Without Promotion	Probationary Cluster Faculty Hired	Cluster Hires Promoted to Associate Professor	Cluster Hires Left Without Promotion	Year Probationary Period Ends
1999-2000	108	21	13	13	0	1	2005-2006
2000-2001	124	7	10	14	1	0	2006-2007
2001-2002	117	4	3	18	1	2	2007-2008
2002-2003	93	0	1	15	0	0	2008-2009
Total	442	32	27	60	2	3	

NOTES: Includes Probationary faculty only. Individuals may be considered for tenure prior to the end of the probationary period. Year probationary period ends makes no adjustment for time on tenure clock outside UW or for extensions to the tenure clock.

SOURCE: IADS appointment data system, October 2003

Prepared by: Margaret Harrigan, Office of Academic Planning and Analysis

11/11/2003

Table 5
Summary of Instructional Activity of Cluster Hires

	Academic Term							
	Fall 1999	Spring 2000	Fall 2000	Spring 2001	Fall 2001	Spring 2002	Fall 2002	Spring 2003
Number of Sections Taught per Instructional FTE								
Group Instruction	1.4	1.4	1.7	2.2	2.5	2.5	2.1	2.4
Cluster Faculty	2.1		2.2		2.1		2.1	
Total Faculty								
Individual Instruction	0.3	1.4	1.8	2.8	2.3	3.0	2.6	2.6
Cluster Faculty	2.4		2.3		2.3		2.3	
Total Faculty								
Average Group Instruction Section Size								
Cluster Faculty	17	40	40	31	37	21	47	27
Total Faculty	35		34		34		35	

Notes: Sections with multiple instructors are divided equally between the instructors. Sections in crosslisted courses are consolidated. Group instruction sections include lecture, discussion, laboratory and seminar sections. Individual instruction sections include conference sections and field sections. Professional schools (law, medicine, veterinary medicine) are excluded.

Sources: UW System Instructional Analysis Information System (IAIS) for average group instruction size, UW Madison Data Digest reports of number of instruction sections for fall semesters.

Table 6
Cluster Faculty and All Faculty Extramural Research Awards by Year

	Total Awards (millions)		Average Award Total Per All Faculty		Number of Faculty with Awards		Average Award Per Faculty with Awards		Total Number of Faculty	
	Cluster	All Faculty	Cluster	All Faculty	Cluster	All Faculty	Cluster	All Faculty	Cluster	All Faculty
1999-00	\$ 6.3	\$ 322.6	\$313,132	\$151,881	13	1,100	\$481,742	\$293,268	20	2,123
2000-01	8.4	371.5	201,071	170,806	28	1,145	301,606	324,457	42	2,174
2001-02	15.3	415.1	221,617	187,583	42	1,139	364,085	364,462	69	2,213
2002-03	16.7	428.3	191,771	192,492	49	1,184	340,491	361,735	87	2,225

NOTES: Statistics shown in the table represent new awards in that year. Includes both Federal and Non-Federal Extramural Research funds awarded to faculty. Awards exclude WARF funds and awards to deans and directors. Awards are assigned to the Cluster Faculty column if the Principal Investigator on the award was hired under the Cluster Hire Initiative.

SOURCE: Extramural Support Information System, Oct. 2003 and University of Wisconsin Data Digest.

Table 7

Cluster Faculty and All Faculty Extramural Research Awards by Division, 2002-2003

Divisional Committee Affiliation	Total Awards (millions)		Average Award Total Per All Faculty		Number of Faculty with Awards		Total Number of Faculty	
	Cluster	All Faculty	Cluster	All Faculty	Cluster	All Faculty	Cluster	All Faculty
2002-03								
Biological Sciences	\$7.0	\$206.7	\$304,702	\$296,707	16	512	23	701
Physical Sciences	8.4	145.4	301,377	289,595	24	359	27	506
Arts & Humanities	-	3.7	-	8,843	0	78	17	423
Social Studies	1.3	72.4	53,377	122,695	9	235	20	595
Total	\$16.7	\$428.3	\$191,771	\$192,492	49	1,184	87	2,225

NOTES: Statistics shown in the table represent new awards in that year. Includes both Federal and Non-Federal Extramural Research funds awarded to faculty. Awards exclude WARF funds and awards to deans and directors. Awards are assigned to the Cluster Faculty column if the Principal Investigator on the award was hired under the Cluster Hire Initiative. Faculty with no current divisional committee affiliation are assigned to the most likely division, based on others in their department.

Prepared by: Office of Academic Planning and Analysis

11/11/03

Table 8

**Start-up Awards Granted to Cluster and Non-Cluster Faculty
Hired 1999-00 through 2002-03**

Award amount	Cluster Hires	% of Total	Non-Cluster Hires	% of Total	All Hires	% of Total
\$1- \$25,000	6	7%	85	19%	91	17%
25,001 - 50,000	10	11%	89	20%	99	18%
50,001 - 100,000	20	22%	74	17%	94	18%
100,001 - 200,000	13	15%	72	16%	85	16%
200,001 - 300,000	12	13%	85	19%	97	18%
300,001 - 500,000	14	16%	35	8%	49	9%
500,001 - 750,000	8	9%	6	1%	14	3%
Over \$750,000	6	7%	1	0%	7	1%
Total with Start-up Awards	89	100%	447	100%	536	100%

SOURCE: Graduate School Start-up Awards data bases, June 2003.

NOTES: Graduate School records on start-up packages may not be complete, particularly for department contributions. 35 individuals whose faculty appointments started during this period and who have no records relating to start-up funds are excluded from this table. Of these, 12 were hired as administrators (e.g., dean) with faculty back-up appointments. Several other new faculty had held CHS faculty positions immediately prior to the tenured or tenure-track faculty appointment.

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Table 9

Cluster Faculty and Non-Cluster Faculty Start-up Awards by Year

Year Hired as Faculty	Number of Faculty Hired		Median Start-up Award		Average Start-up Award	
	Cluster Faculty	Non-Cluster Faculty	Cluster Faculty	Non-Cluster Faculty	Cluster Faculty	Non-Cluster Faculty
1999-00	20	104	\$ 299,852	\$ 74,056	\$ 365,706	\$126,849
2000-01	22	131	286,500	55,565	342,332	102,051
2001-02	28	122	113,029	90,000	193,539	144,598
2002-03	19	90	75,588	129,500	176,590	178,117
Total with Start-up Awards	89	447	177,000	83,500	265,390	134,749

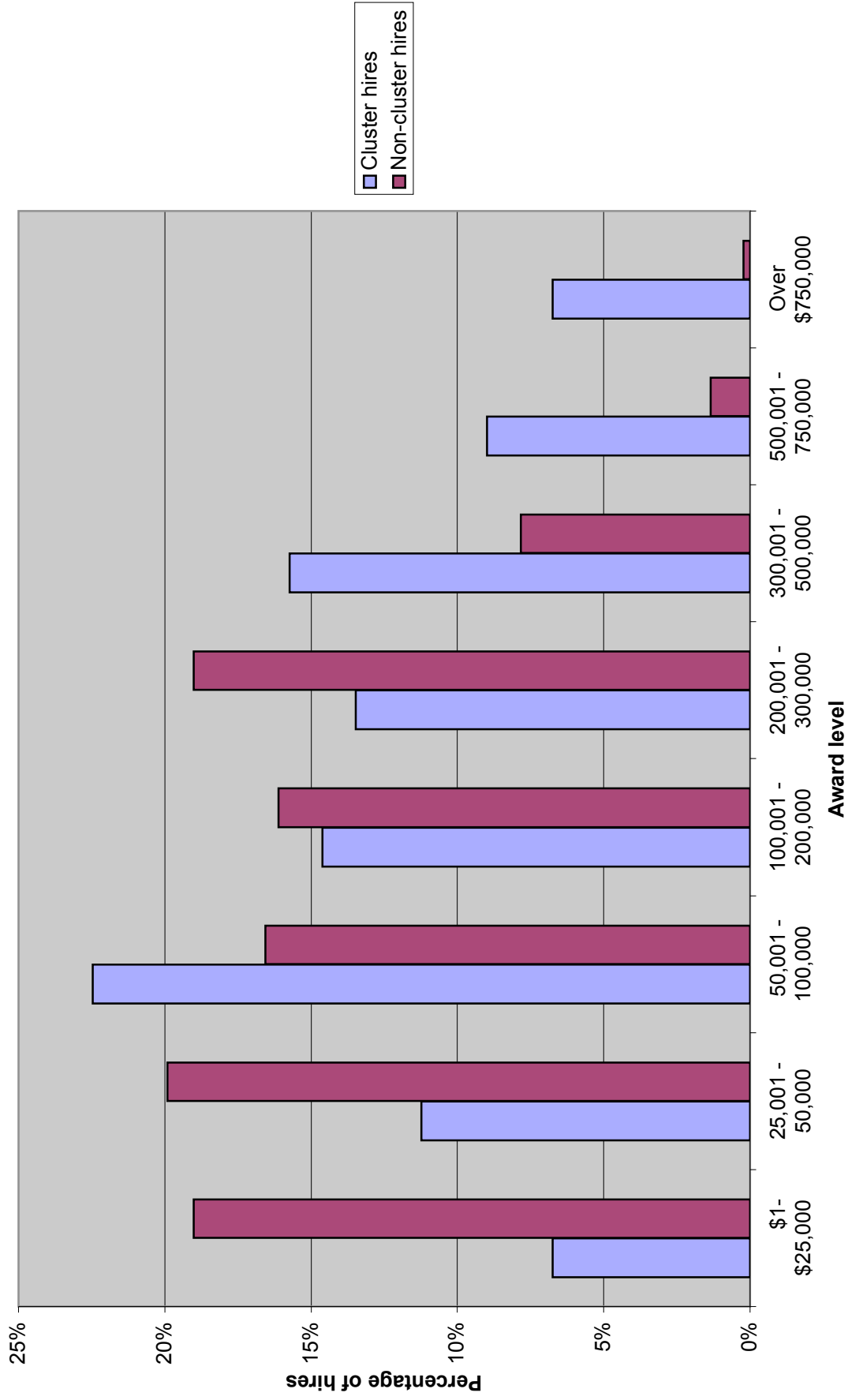
SOURCE: IADS personnel data system and Graduate School Start-up Awards data bases, June 2003.

NOTES: Graduate School records on start-up packages may not be complete, particularly for department contributions. 35 individuals whose faculty appointments started during this period and who have no records relating to start-up funds are excluded from this table. Of these, 12 were hired as administrators (e.g., dean) with faculty back-up appointments. Several other new faculty had held CHS faculty positions immediately prior to the tenured or tenure-track faculty appointment.

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11/11/03

Start-up Awards by Cluster/Non-cluster Hires



Start-up Award Levels for Cluster Hires and All Hires, 1999-2002

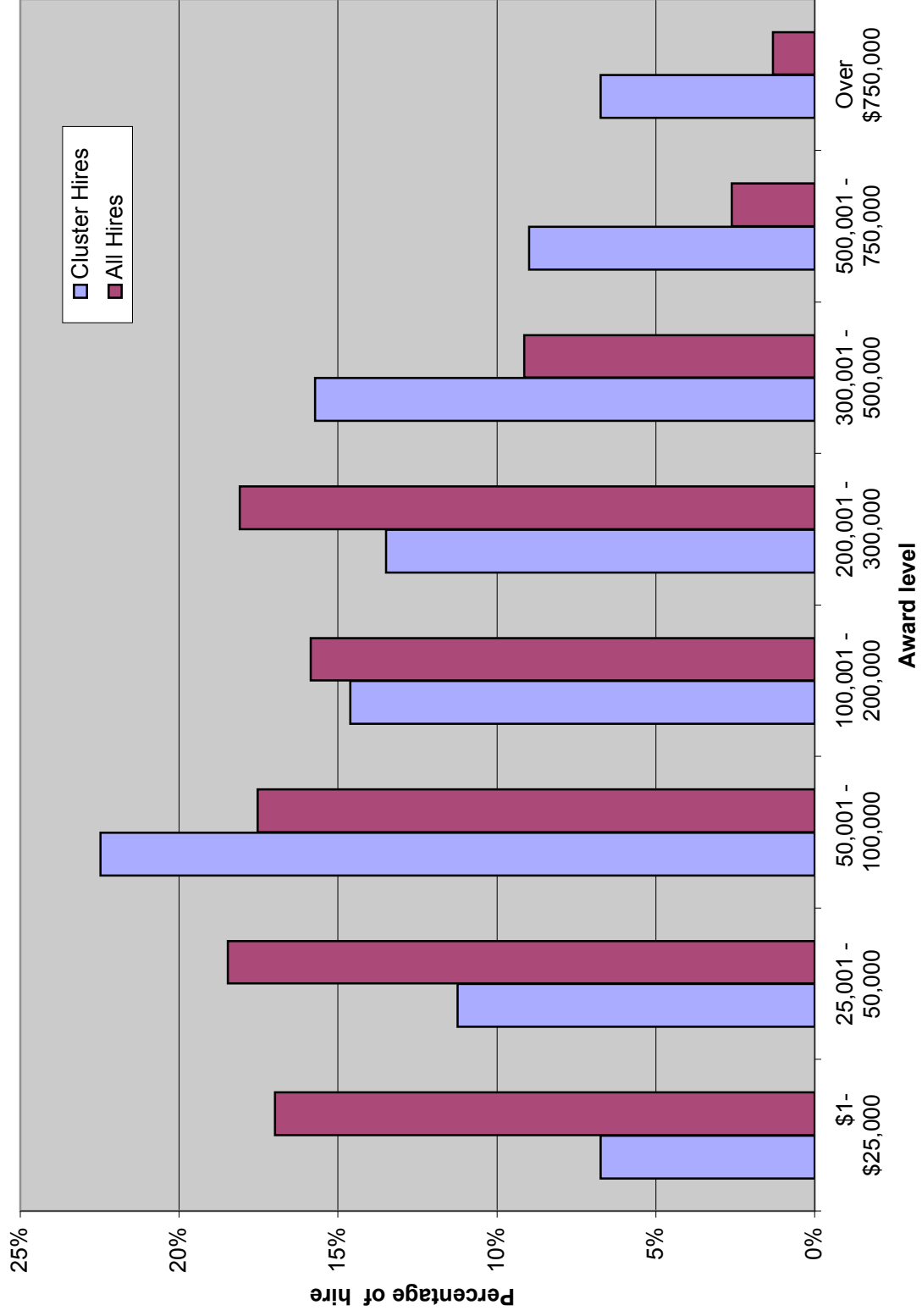


Table 10

Cluster Faculty and Non-Cluster Faculty Start-up Awards by Divisional Committee Affiliation and Rank at Hire, for Those Hired 1999-00 through 2002-03

Divisional Committee Affiliation	Number of Faculty Hired		Median Start-up Award		Average Start-up Award	
	Cluster Faculty	Non-Cluster Faculty	Cluster Faculty	Non-Cluster Faculty	Cluster Faculty	Non-Cluster Faculty
Biological Sciences	23	127	\$320,000	\$225,000	\$320,135	\$233,290
Professor	3	11	385,000	270,000	368,333	308,636
Associate Professor	2	8	455,000	265,500	455,000	250,325
Assistant Professor	18	108	300,000	218,584	297,117	224,354
Physical Sciences	27	89	\$398,311	\$172,670	\$506,696	\$218,440
Professor	6	6	722,902	222,300	610,314	186,248
Associate Professor	3	12	950,000	77,716	900,482	175,709
Assistant Professor	18	71	309,285	186,820	406,525	228,383
Arts & Humanities	17	94	\$50,000	\$21,389	\$47,980	\$29,748
Professor	6	10	77,875	46,601	75,458	58,275
Associate Professor	1	6	52,390	40,876	52,390	41,313
Assistant Professor	10	78	28,328	19,834	31,053	25,201
Social Studies	22	137	\$65,798	\$44,700	\$80,007	\$61,075
Professor	5	11	70,002	88,750	107,106	124,983
Associate Professor	3	14	66,253	55,940	59,447	86,750
Assistant Professor	14	111	65,296	36,475	74,734	51,491
Instructor	0	1	-	62,490	-	62,490
Total with Start-up Awards	89	447	\$177,000	\$83,500	\$265,390	\$134,749

SOURCE: IADS personnel data system and Graduate School Start-up Awards data bases, June 2003.

NOTES: Graduate School records on start-up packages may not be complete, particularly for department contributions. 35 individuals whose faculty appointments started during this period and who have no records relating to start-up funds are excluded from this table. Of these, 12 were hired as administrators (e.g., dean) with faculty back-up appointments. Several other new faculty had held CHS faculty positions immediately prior to the tenured or tenure-track faculty appointment. Faculty may belong to only one divisional committee. Faculty who have not yet chosen a divisional committee affiliation are assigned one for this analysis, based on the committee with which most of the faculty in that department are affiliated.