

**Liberal Education and Inclusive Excellence**  
**A Proposal to the Andrew W. Mellon Foundation**  
**William & Mary**  
**March 30, 2017**

**Summary**

The goal of this project is to significantly improve the undergraduate academic experience of three groups of William & Mary students – first-generation college students, and students from lower-income and historically under-represented groups. These students graduate at slightly lower rates than our student body as a whole, but the specific concern we focus on here is their significant under-participation in the undergraduate research opportunities that have become a signature element of a William & Mary liberal arts education. We request a total of \$800,000 from the Andrew W. Mellon Foundation to support a five-year project to strengthen our capacity to engage students from these three groups in faculty-mentored research in the arts, humanities and interpretive social sciences.

Our investigation of both William & Mary data and information from other institutions reveals that there is a substantial overlap between these three under-participating groups, with a strong central axis in the first-generation category. Because of this intersectionality, we conclude that it is better to address this challenge with a single coordinated program, rather than to develop separate initiatives for each group. Our research has also led us to differentiate three approaches to serving this population: a supply-side approach, which aims to increase the overall supply of research opportunities; a demand-centered approach, which funds individual students to incentivize them to seek out these opportunities; and a support program approach, which provides students with mentoring and workshops that will increase their general academic success and specific preparation for research. We conclude that it is desirable to adopt elements of all three of these approaches.

To accomplish these goals we propose to radically augment the William & Mary Scholar Undergraduate Research Experience (WMSURE), which we will staff with a new Associate Director. We will also expand our advising program, fund faculty in the arts, humanities, and interpretive social sciences to conduct research with students from targeted groups, and provide the students themselves with summer research grants. Finally, the under-participation of these students in domestic off-campus research opportunities is particularly dramatic, and we will address this by eliminating the costs that are currently associated with participation in these opportunities.

**Liberal Arts and Inclusion**

This proposal is motivated by a concern for equality and inclusion. How can we make the liberal arts academic opportunities that have the most durable impact on the lives of students available equally to all of our undergraduates? William & Mary has partnered with the Andrew W. Mellon Foundation on several undergraduate research initiatives, including most recently projects in global studies and in our new general education curriculum. But it has become clear to us that there are distinct groups of students that predictably under-participate in research and other transformational liberal arts programs. We ask the Mellon Foundation to partner with us

again, this time in a systematic effort to better understand the causes of this under-participation and to substantially mitigate, if not eliminate, it.

The argument has been eloquently made – for example, in several of the essays in the recent volume edited by Earl Lewis and Nancy Cantor – that the growing diversity of the United States is not just a demographic fact; it also presents us with a unique opportunity to reinvigorate America’s society, culture, politics, and economy. Because of the breadth and depth of its impact, education, and especially higher education, has a critical role to play in helping us achieve the potential inherent in this increased diversity.

Many colleges and universities, William & Mary included, have embraced this mission with enthusiasm. One way they have made progress is by doing a better job of recruiting, retaining, and graduating students from the three groups we will focus on in this initiative – first-generation college students, students from groups that are persistently under-represented in higher education, and students from lower-income families. Research has confirmed that attention to the admission, retention, and graduation of these students is of primary importance to the goal of providing them equal access to well-paying jobs.

But as important as these occupational and economic objectives are, it is the premise of this proposal that they fall short of achieving the full potential inherent in our country’s growing diversity. It is important to also attend to the quality of the education that these students receive, which requires providing them de facto (not just theoretical or potential) access to the same complete liberal arts experience that students from more privileged backgrounds receive. While the most compelling arguments for valuing diversity may start with an emphasis on ensuring equal access to well-compensated employment, they must go on to call attention to the richness and resiliency that diversity brings to the lives of individuals from all racial, ethnic, and economic backgrounds, as well as to our collective lives. To achieve this broader agenda – to achieve the full potential in the demographic changes we are witnessing in the United States – we have to go beyond a focus on admission and graduation rates and attend to the full inclusion of all students in the liberal arts experience. It is our hope that William & Mary’s focus on this broader agenda will make a substantial contribution to the national discourse on inclusion in higher education, and especially at selective liberal arts institutions.

### **The Critical Place for Research Experiences in a Liberal Arts Education**

William & Mary has dedicated significant attention to exploring the hypothesis that research experiences can play a dramatic role in achieving time-honored liberal arts objectives. This, of course, is not an obvious proposition; it is no doubt more customary to associate research with narrow specialization, technical skills, and career preparation than with the broad synthetic and critical capacities and communication skills traditionally associated with the liberal arts. However, we have learned that research questions motivate a systematic pursuit of new connections between domains of knowledge and a blurring of the conventional boundaries between disciplines. In addition, the skills and dispositions that students develop while they are conducting research – forming hypotheses, gathering data, reconciling competing interpretations, and persuasively communicating their findings – are fully consistent with the versatile skills and habits that have long been valued in the liberal arts tradition.

After looking carefully at our experience at William & Mary, as well as at the literature on diversity/inclusion initiatives elsewhere, we have concluded that the most promising approach for this project, and the one that best fits the culture of William & Mary, will be to remain true to our commitment to the value of research experiences and focus on extending these opportunities specifically to undergraduates from groups that currently under-participate in research.

### **What Is the Target Population for this Project?**

Many colleges and universities have developed programs to improve the academic success of students in the groups on which we are focusing here. Many have built distinct programs for the target groups – i.e., separate programs for African American students, Hispanic students, first-generation students, and lower income students. It is tempting to do this for racial or ethnic groups because it is well established that shared identities can help build connections between students, increase attendance at workshops on study skills and other topics, and, in the end, make a distinct contribution to academic success. It is a challenge to establish esprit among first-generation students because they lack a shared identity.

Unfortunately, this fragmented, group-by-group, approach increases costs because each program requires its own administrative overhead, and can undercut the overall coherence of the mission. We have looked carefully at our William & Mary population and come to the conclusion that it is best to focus on the commonalities and overlaps between these groups. This has a significant impact on how we conceptualize the challenge of inclusion and on the single, unified program we plan to build to accomplish our goals.

William & Mary students come disproportionately from economically privileged backgrounds. For example, according to a recent study of the role of colleges in intergenerational mobility published by The Equality of Opportunity Project and cited in the *New York Times* (January 18, 2017), only 12.1% of the College's students come from families that make less than \$65,000, putting them in the bottom 60% of the income scale. Judging from the Project's data, this may be the lowest percentage of any public university in the country. In addition, while 34% of all William & Mary students receive need-based aid, only 11% receive Pell grants.

However, these overall statistics should not be allowed to obscure the fact that William & Mary has many students who come to us from far less privileged backgrounds. For example, there are 160 self-reported first-generation college students in our current freshman class of 1,507, roughly matching the 11% level in our student body as a whole. Focusing just on the 112 first-generation students who entered from Virginia in fall 2016, 51.2% come from families with incomes less than \$60,000 and 32.5% come from families with incomes less than \$40,000. Fully 86.8% of the in-state first-generation students in the current freshman class receive need-based aid. (Note: of the 31 out-of-state first-generation students in our freshman class, 14 are international students, who are not eligible for financial aid.).

It is important to recognize the significant overlap between our first-generation cohort and the other two cohorts on which we are focusing – students from low-income families and students from historically under-represented groups. While 11% of our current freshman class are first-generation students, 37% of our 99 African American freshmen are first-generation, as are 23%

of our 160 Hispanic freshmen. From another perspective, while just 7% of our freshmen are African American, 33% of all of our first-generation students are African American, and while 11% of our freshmen are Hispanic, the same percentage – 33% – of our first-generation population is Hispanic. Similarly, while just 37% of our overall freshman class has demonstrated financial need, 77% of our African American freshmen and 53% of our Hispanic freshmen have need.

Moreover, it is important to recognize that it is artificial to restrict the modifier “historically under-represented” to specific racial and ethnic groups. In fact, our other two groups, students with need and first-generation students, are themselves both historically under-represented in their own right, both at William & Mary and nation-wide.

This overlap, or, intersectionality, to use a term common in the literature, is summarized in Figure 1 (page 5). One implication is that a program that focuses strictly on supporting the academic success of African Americans or Hispanics, for instance, might miss the key role that income and first-generation status play for both of these groups. But Figure 1, and the data from which it is constructed, also goes further and suggests that first-generation status might specifically lie at the center of the story. To a considerable extent, our first-generation population is the ground zero on which race, ethnicity, and family income come together at William & Mary.

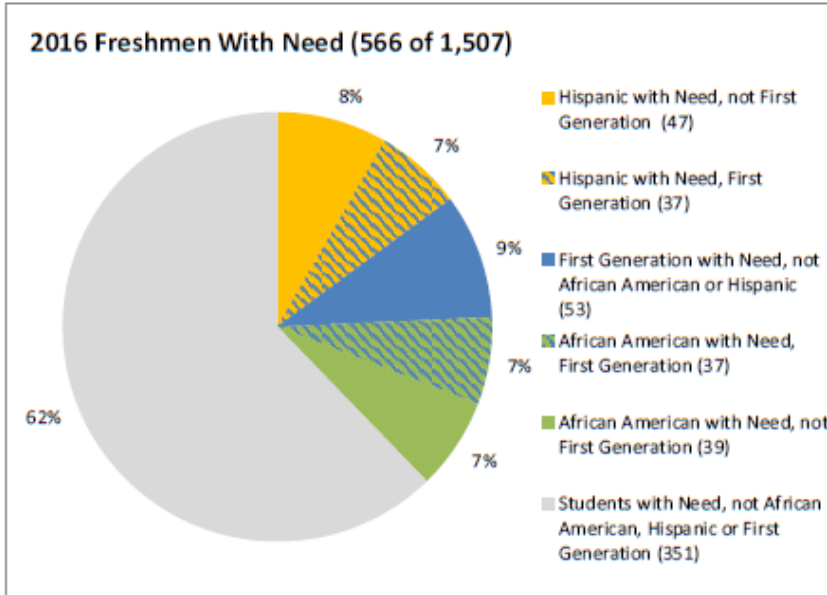
Our target group, then, is all of the students who are first-generation, African American, Hispanic, or lower income. But we plan to focus in particular on students who are in two or more of these groups, which, we have learned, requires paying primary attention to the cohort of first-generation students.

### **Our Target Population and Academic Success**

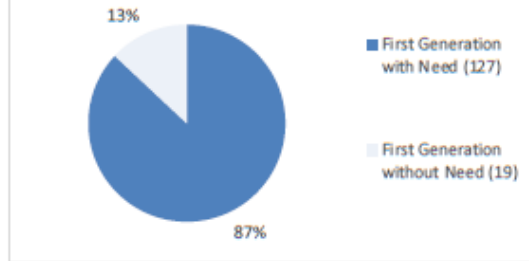
It is not surprising that William & Mary students are academically successful. For example, over 90% of our overall student body graduates, which is a high number considering that so-called “failures” include students who are doing fine academically but decide for any reason to transfer to another institution. The graduation rates of our three target groups are somewhat lower but still quite high by national standards. For example, 85% of William & Mary’s African American students graduate. (This rate is the same for African American males and females, which is striking because it is common for African American males to graduate at far lower rates than females.) Our first-generation graduation rates over the past five cohorts are regularly 6-8% below our overall average. This, of course, is troubling, but it also is far higher than the 40% graduation rate of first-generation students nation-wide.

## William & Mary's Fall 2016 Entering Class

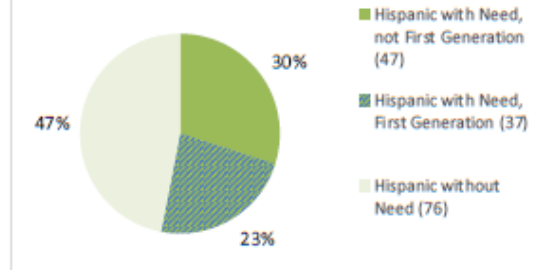
Overlap Between the Students with Need, First Generation, African American, and Hispanic Populations in William & Mary's Fall 2016 Entering Class



### First Generation Students (146)



### Hispanic Students (160)



### African American Students (99)

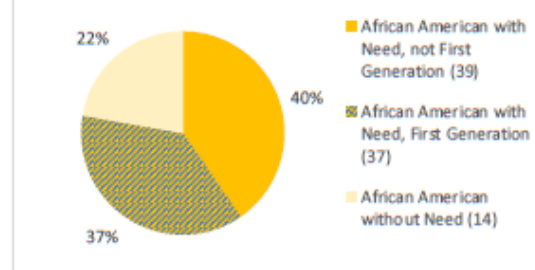


Figure 1: Intersectionality Among Groups

While it is common for institutions to address these four target populations independently, with separate programmatic interventions, it is important to see the large fraction of students in any one of these groups that is also in one or more of the other groups. Over 38% of all freshmen are in two or more of these groups. The program that we plan takes a coordinated approach that reflects this intersectionality.

If the goal of this project were to bring the graduation rates of targeted groups up to the overall William & Mary average, we would certainly have work to do, but far less work than we have with our goal of fully including these populations in undergraduate research. Unfortunately, at present we have incomplete data on student participation in research. One reason is that it is notoriously difficult to operationally define “undergraduate research” with enough precision that we can consistently capture every type of research as a variable in the record of students. In addition, many undergraduate research experiences occur outside of the credit-bearing curriculum, which makes them difficult to track. However, the evidence we do have is not surprising. For example, about 10% of William & Mary students do senior honors thesis research, but data from the past five years indicates that about 5% of self-identified African American students and about 3% of self-identified Hispanic students do honors theses. Our institutional database now includes self-reported first-generation status, but unfortunately we do not have the data to do a historical study of this group. So, while we are confident that students from our targeted groups radically under-participate in research, at this time we are uncertain about the depth (the overall rates of participation) and breadth (differences, for instance, from one major to another) of this under-participation.

Described more fully below, we are instituting a data collection program that will make it possible for us to track the success of our efforts under this grant, and beyond. This process of systematically “naming and counting” is the only way that we can begin to redress the invisibility that now surrounds the undergraduate academic experience of these students.

### **Three Strategies for Achieving the Goals of This Project**

Our research suggests that initiatives at colleges and universities across the United States that are designed with the intention of increasing the academic success of students from our targeted groups fall into three overall categories. Just as we have adopted a holistic approach to identifying our target groups, we will also propose a strategy for this grant project that draws on the insights of all three of these strategies.

#### **1. Demand-Oriented Initiatives**

While we have not seen this term in the literature, some institutions have taken what could be termed a “demand-oriented” approach. The primary way to increase the student demand for research experiences, according to this view, is to give students funding that they can only access to support approved opportunities. An example at William & Mary would be James Monroe Scholars, an academically distinguished group that is promised funding for research as long as they comply with basic requirements (identify a faculty mentor and a project, present their research after the project, etc.). The goal of this approach is to increase the demand for research experiences by empowering individual students, the “consumers” of these experiences.

It is not uncommon for schools to promise research funding to academically elite students, in part to lure them to accept offers of admission. It is far less common to see schools guarantee research funding to students coming from under-prepared backgrounds, but it is not hard to see the positive impact that a program like this could have. Many students from our targeted groups have not come from backgrounds that have stressed that research experiences are even possible at the undergraduate level, let alone an important component of academic and career success. In

addition, it is common for students from these groups to assume that they will have jobs in the summer, even if funding for summer research is available. The experience we have had with Monroe Scholars is that the availability of assured funding not only frees students from their concern about summer employment, it also gets them started thinking about research options early in their academic careers. This funding can frame the whole undergraduate experience for students.

## **2. Supply-Oriented Initiatives**

With a few exceptions, it is a simple fact that the available research opportunities for undergraduates at William & Mary are currently taken. Moreover, when the supply of these opportunities is tight, they tend to get taken by the students who are the most self-confident and academically prepared, which almost inevitably means students from more privileged backgrounds. For this reason, we understand that we need to increase our supply of research opportunities, if we are going to increase the participation of students from groups that currently under-participate. Below we will outline a plan for expanding this supply in a way that will significantly benefit the students we are trying to help.

## **3. Support Programs**

This is no doubt the most common intervention intended to increase the academic success of students from challenging backgrounds. Examples include the Meyerhoff Scholars Program at UMBC and the programs that have partnered with the Posse Foundation. It is based on the conviction that support programs are needed for two reasons: to help students who enter the institution with academic deficits (for example, with programs on writing or study skills); and to help students understand the value of research and build the confidence to approach and work effectively with faculty mentors. Monroe Scholars, in our experience, will be aggressive consumers of research opportunities without the assistance of a support program. But will first-generation college students recognize the value of research and have the self-confidence to seek out appropriate mentors, even if they have funding? And if we increase the supply of research opportunities, why would we expect that students who currently under-participate in research won't continue to do so?

For these reasons, it is clear from the literature on this subject and our own experience that we also need a robust support program made up of regular small-group meetings that are led by faculty and near-peers to augment (not replace) our demand- and supply-oriented initiatives.

## **The William & Mary Context of This Proposal**

### **The Quality Enhancement Plan (QEP)**

The College completed its ten-year accreditation with the Southern Association of Colleges and Schools in 2016. A key priority for the next five years will be the project described in our QEP, "Making Excellence Inclusive: Ensuring Student Engagement in High-Impact Practices." This proposal to the Mellon Foundation will greatly increase the extent to which we can accomplish the goals of our QEP and the speed with which we can achieve these goals. Our new general education curriculum includes a senior-level capstone requirement, COLL 400, that expects students to have significant engagement with a project that results in "original material or

scholarship.” This institutionalizes the commitment to undergraduate research that William & Mary has been developing for two decades by requiring all seniors to have a senior research experience in their major.

The emphasis on “inclusion” in our QEP title is grounded in the concern that we seek to address in this proposal, that all students will not be equally prepared to perform at a high level in COLL 400. The methodology of the QEP is to increase the number of research experiences that students have in their first three years at the College to better prepare them to perform at a high level in COLL 400. The QEP describes a plan to use the advising system to increase student awareness of the importance of research and to increase the supply of research-focused “high impact” opportunities by funding project-based study-away courses and an undergraduate teaching fellow program that will make it possible to embed research projects in lower-level courses.

Our QEP, then, is designed primarily to increase the *supply* of research opportunities. This emphasis is necessary as a first step to increasing overall participation in research opportunities at William & Mary. But for the reasons we have suggested, taken alone, this is a poor way to have a major impact specifically on groups that presently under-participate in research. This proposal, then, has the same objectives as our QEP, but it advances a strategy more focused on under-participating groups that is grounded in an overall theory of what is needed to have an impact on their participation levels.

### **An Expanded William & Mary Scholars Undergraduate Research Program (WMSURE)**

The William & Mary Scholars Program is a scholarship/financial aid initiative designed to recruit and support students from the same target groups that are the focus of this proposal. In our current freshman class there are 53 William & Mary Scholars, 35 of whom are first-generation, 18 of whom are African American, and 14 of whom are Hispanic. WMSURE is the support program designed to assist William & Mary Scholars with study skills and other important components of academic success, and to introduce them to the importance of research experiences. At present, William & Mary compensates two co-directors of this program and provides limited funds for lunch/dinner meetings and peer advisors.

WMSURE has had considerable success helping students make the transition to college, but it is limited precisely because it is exclusively a “program,” as defined above. So, while it has been able to inform students about the importance of research, it has not had the funding to incentivize faculty to increase the supply of research experiences that are available to William & Mary Scholars, to make sure that these experiences are available in an appropriate breadth of disciplines, or to fund Scholars to conduct research in the summer. In other words, it has been an effective program but it has not had the capacity to have an adequate impact on the demand or supply sides of the problem. The project described in this proposal is designed to expand WMSURE in a way that enables it to have a comprehensive impact on the lives of students from challenging backgrounds.



### **Initiatives Under This Proposal and Budget Overview**

This project is designed to bring our three strategies together. First, it embeds research in a program that will provide the advice and support that is needed by our target population. Second, it will radically increase the supply of research opportunities that are available exclusively to these students. Third, while entering students will not be guaranteed research funding, the likelihood will be so great, and students will have assurance of support so early in their undergraduate careers, that we expect to achieve many of the positive outcomes that we have learned to associate with demand-side programs. The national literature also tells us that having such a large number of students paired in a sustained relationship with faculty mentors will have positive outcomes that are not specific goals of this initiative, including improved grades and increased graduation rates.

As noted here and elsewhere in the proposal, Mellon grant funds will be restricted to supporting faculty advisors from the arts, humanities, and interpretive social sciences, and faculty-student research teams conducting research in these domains. This emphasis will in fact result in a more balanced overall capacity for research support at William & Mary by providing a counterweight to our considerable success securing funding for undergraduate research in the sciences and more positivistic, “harder,” social sciences. Since 1989 we have used \$8 million in continuous funding from the Howard Hughes Medical Institute to build a strong faculty-student research program in Biology, Chemistry, and affiliated fields, supplemented by research support from federal sources, such as NSF and NIH. We have also secured research funding from private and government sources in the harder social sciences, including a large, multi-year project funded by USAID. Since there are far fewer sources of major funding for research in the arts, humanities, and interpretive social sciences, a substantial grant in these areas from the Mellon Foundation will reinforce an overall balance across the full range of disciplines.

#### **1. Data Collection Initiative**

As part of our QEP effort, William & Mary has already begun the process of operationalizing the definition of “undergraduate research” and initiating a systematic data collection effort in our Office of Institutional Accreditation and Effectiveness (OIAE). Demonstrated need is objectively determined for all students who seek financial aid; in addition, we now also systematically collect detailed self-reported information on race, ethnicity, multi-race/ethnicity identities, and first-generation status for all students.

This will make it possible for us to study the profiles of undergraduates from targeted groups in considerable detail, and hence to evaluate what efforts are having an impact and what efforts might need modification. As we have noted, data collection is key to overcoming invisibility.

Budget Note: William & Mary has already budgeted for this initiative, so we will not need to ask the Mellon Foundation for help with this item.

#### **2. WMSURE Associate Director**

At present WMSURE has a modest programmatic scope and no administrative leadership. The initiatives under this proposal will dramatically expand WMSURE’s scope. As a result it will be necessary to create a new administrative Associate Director position to work closely with the

WMSURE faculty director to design and implement a broad array of WMSURE programs and activities relevant to this grant. These will range from workshops on time-management, study skills, and research ethics, to faculty-led seminars on strategies for conducting community-engaged scholarship. This model – a faculty director and a professional associate director – has worked well for us in other academic contexts, including the Center for the Liberal Arts, which administers many of the COLL Curriculum activities funded by the Mellon Foundation.

At present there is no centrally coordinated mechanism for informing students about potential research opportunities in the arts, humanities or interpretive social sciences. The Associate Director will lead efforts to build a web-accessed database that will serve as a central hub for this information and encourage freshman-sophomore (pre-major) advisors and academic departments to adopt more inclusive messaging about research opportunities for all students. The Associate Director will work with the WMSURE faculty director to develop materials for faculty advisors and conduct faculty workshops on both the importance of research experiences to an undergraduate education at William & Mary and on concrete strategies that will help students get started.

The new Associate Director will be a face-to-face advisor/mentor for students, and he or she will provide WMSURE with institutional memory and organizational continuity over time. The person in this position will coordinate with several other programs on campus, including the Charles Center, the QEP Coordinating Committee, the Office of Academic Advising, and OIAE, which will be gathering and tracking data for this initiative. It will be particularly important for the Associate Director to coordinate with our Office of Admission so that newly admitted students experience a well-supported transition to college.

### 3. WMSURE Faculty Fellows

The core of this initiative will be five WMSURE Faculty Fellows, each of whom will serve a two-year term. Fellows will be recruited from disciplines in the arts, humanities, and interpretive social sciences. It will be important to recruit Fellows from a wide range of disciplines within these domains so that the program can accommodate the fullest range of student academic interests. For example, it is not always clear to faculty in the visual and performing arts how they can participate in “undergraduate research,” not recognizing that (for instance) music composition, choreography, and public art projects are exactly what constitutes research in their domain. Finally, the WMSURE Program will collaborate with directors of research programs in the sciences and positivistic social sciences to ensure that all of the students in our targeted populations are finding appropriate research placements.

Each Fellow will have three roles. First, he or she will serve as an advisor within the WMSURE program, helping with workshops focused on academic success, career paths, and especially research opportunities in his or her area of specialty. Faculty Fellows will serve on an advisory board that helps plan and coordinate these activities. Second, each WMSURE Faculty Fellow will work specifically with three research students drawn from our targeted populations. In some cases the student will participate for two years (including two summers), but in many cases students will participate for one year (and one summer). So, in a two-year term, each Faculty

Fellow will supervise the research of between three and six students. Third, each Fellow will be expected to be an ambassador for this initiative back to his or her department and domain.

#### 4. WMSURE Student Fellows

These are the students who will conduct research with the Faculty Fellows in arts, humanities, and interpretive social science fields. There will be 15 total at any one time and, depending on whether students work for one or two years, there will be at least 30, and as many as 60, in every four-year cohort. From experience, we anticipate that about half of the students will continue for two years, in which case the total number in a four-year cohort would be about 45. This is a significant fraction of our core targeted group. By creating research opportunities specifically for our student population and embedding them in a comprehensive support program, we will be combining the best elements of a demand-side, supply-side, and programmatic strategy.

#### 5. WMSURE Study Away Funding

Over the past ten years William & Mary has made impressive progress toward our goal of bringing off-campus academic experiences under the umbrella of our overall undergraduate research program. In particular we have encouraged the growth of domestic off-campus opportunities that augment on-campus course work and research. For example, students studying in the field of linguistics have had the opportunity to travel to Oklahoma over spring break to gather information for a new Native American dictionary, and to work with K-12 educators in Virginia on African American English and school achievement. Other domestic research opportunities take place in the summer, including full summer session initiatives. For example, a faculty member in Anthropology led a five-week archeological dig in a remote area of Hawaii to gather materials from a site that is being considered for national park status.

While we do not have comprehensive evidence, it is clear from information gathered from a sample of these programs (including the dig in Hawaii) that students from our targeted groups dramatically under-participate in domestic study away. No doubt this is a result of both financial considerations and cultural factors that may lead students to see off-campus study as an opportunity reserved for students from more privileged backgrounds. We propose to make \$30,000 available each year to students from our targeted groups to fund their participation in study away. In some cases existing financial aid helps cover the cost of student participation in these initiatives, but there are always additional costs that can range from several hundred dollars to about \$3,000 depending on the location and duration of the program. Funds from the grant will be used to eliminate costs to students from targeted groups.

#### **Project Time-line and Responsibilities**

Overall responsibility for this grant will fall to Kate Conley, Dean of the Faculty of Arts & Sciences. The project will be administrated by the College's Roy R. Charles Center, which coordinates the WMSURE program and has significant experience managing all aspects of large and complex grant projects, including implementation, budget oversight, and reporting. This time-line assumes that the project will begin in the 2017-18 fiscal year beginning on July 1, 2017. This allows us to coordinate the project with the 2017-18 academic year. (Note: numbers refer to budget categories described on pages 9-11; the titles of people responsible for implementing, overseeing or coordinating specific elements are in parentheses.)

**Year 1: 2017-18**

1. Baseline databases and data tracking plan initiated (Director, OIAE and Director, Charles Center)
2. Recruit and hire WMSURE Associate Director, with the goal of this person starting in spring, 2018 (Dean of the Faculty, Arts & Sciences and Director, Charles Center)
3. Five WMSURE Faculty Fellows recruited/selected. They will conduct research with students in summer 2018 and summer 2019 (Director, Charles Center)
4. First cohort of WMSURE Student Fellows recruited/selected (Director, Charles Center)
5. Recruitment and selection of recipients of WMSURE Study Away Funding (Director, Charles Center)

**Year 2: 2018-19**

1. Study of baseline and Year 1 data completed (Director, OIAE and Director, Charles Center)
2. WMSURE Associate Director's first full academic year completed (Director, Charles Center)
3. Five WMSURE Faculty Fellows conduct research in summer 2018 and begin second year of term (Dean of Undergraduate Studies and Director, Charles Center)
4. First cohort of WMSURE Student Fellows conducts research in summer, 2018 (Director, Charles Center)
5. Recruitment and selection of recipients of WMSURE Study Away Funding (Director, Charles Center)

**Year 3: 2019-20**

1. Study of baseline and Years 1-2 data trends completed (Director, OIAE and Director, Charles Center)
2. WMSURE Associate Director's second full academic year completed (Director, Charles Center)
3. First cohort of Faculty Fellows conducts research for the last time in summer, 2020 and second cohort of five WMSURE Faculty Fellows recruited/selected (Dean of Undergraduate Studies and Director, Charles Center)
4. First cohort of WMSURE Student Fellows conducts second year of research in summer, 2019 and second cohort of WMSURE Student Fellows recruited/selected (Director, Charles Center)
5. Recruitment and selection of recipients of WMSURE Study Away Funding (Director, Charles Center)

**Year 4: 2020-21**

1. Analysis of Years 1-3 data completed (Director, OIAE and Director, Charles Center)
2. WMSURE Associate Director's third full academic year completed (Director, Charles Center)
3. Second cohort of five WMSURE Faculty Fellows begins first year and conducts research for the first time in summer, 2020 (Dean of Undergraduate Studies and Director, Charles Center)
4. Second cohort of WMSURE Student Fellows conducts research for the first time in summer 2020 (Director, Charles Center)
5. Recruitment and selection of recipients of WMSURE Study Away Funding (Director, Charles Center)

**Year 5: 2021-22**

1. Analysis of Years 1-4 data completed (Director, OIAE and Director, Charles Center)
2. WMSURE Associate Director's fifth year, now funded by W&M (Director, Charles Center)
3. Second cohort of five WMSURE Faculty Fellows conducts research for the last time in summer, 2021. Third cohort of five WMSURE Faculty Fellows recruited/selected (Dean of Undergraduate Studies and Director, Charles Center)
4. Second cohort of WMSURE Student Fellows conducts research for the second time, in summer, 2021. Third cohort of Student Fellows selected (Director, Charles Center)
5. Recruitment and selection of recipients of WMSURE Study Away Funding (Director, Charles Center)

**Summary of Expected Project Outcomes**

As we have explained, this project will begin with a systematic data collection effort that will establish a baseline from which we can track growth in the research participation of students from targeted groups. Our goal is certainly to double the number of participating students, but we are not now in a position to put a specific number on this goal. We will be able to provide details in our first annual grant report.

This project will have an impact on diversity and inclusion at William & Mary in three contexts.

1. First, the breadth and depth of WMSURE programming will increase significantly, especially as a result of the efforts of our new WMSURE Associate Director. Our plan is to at least double our programming in two areas – support for general academic success (for example, workshops on study skills and time management) and workshops that illuminate the pathway to research experiences in the arts, humanities and interpretive social sciences.
2. Second, with a combination of supply- and demand-side initiatives, we will significantly increase the number of students from targeted groups conducting mentored research in the arts, humanities and social sciences. Each year eighteen students from our target population will conduct on-campus research under the supervision of our Faculty Fellows. Because of the extensive work we will be doing with WMSURE students, it is our goal to identify faculty research mentors for at least 8 additional students each year.
3. We are particularly excited about the potential of our WMSURE Study Away Funding initiative because it will provide research-centric opportunities for students from targeted groups to fulfill COLL 300, the cross-cultural component of our new general education program. We are planning for about twelve students to receive this funding each year, but anticipate that our programming will recruit even more students from targeted groups to participate in off-campus research.

**Sustainability**

The budget table that follows this narrative shows our plan to move costs from the grant to William & Mary funds starting in year four of this project. In the fourth and fifth years, we will co-fund the Faculty Fellows and the Student Research Fellows. We will fully fund the WMSURE Associate Director position beginning in Year 5 and thereafter. Our data collection effort will make it possible for us to fully evaluate the impact of the elements of this proposal, as

the project unfolds. William & Mary commits to sustaining these elements at levels justified by this evaluation. For example, we anticipate increasing the number of WMSURE Student Fellows and the level of Study Away Funding beyond the levels that these are supported in the proposal, if these initiatives are as successful as we anticipate that they will be.

### **Conclusion**

There are, of course, many colleges and universities that have student bodies that are made up primarily of students from first-generation, lower income, and historically under-represented backgrounds. The primary mission of these institutions is to meet the unique needs of this population and it is unlikely that these students and their challenges will get overlooked. In contrast, we have learned that it is quite easy for students from these groups to get overlooked at William & Mary and other liberal arts institutions with student bodies made up primarily of high achieving students from privileged backgrounds. The fact that students from our targeted groups achieved admission means that they are strong students, and we see that in the data indicating that they graduate at only slightly lower rates than our student body as a whole. But they also are the students who are not engaged with our extensive on-campus research program, not participating in our research-centric domestic study away courses – not, that is, getting what we have come to think of as the full liberal arts experience. William & Mary would like to shed a light on this problem of invisibility, which is a unique challenge of elite colleges.

The timing of this proposal could not be more perfect for William & Mary. We are just in the second year of the launch of our new curriculum, which includes a heavy emphasis on engaged learning and a specific capstone research requirement. In addition we are in the first year of a five-year QEP that is focused on increasing research opportunities in the freshman, sophomore, and junior years so as to improve the performance of all students in COLL 400, a capstone project completed in their senior year. Unfortunately, while we have been able to elevate the aspirations of our liberal arts program, this has only expanded the risk that we will leave students from our targeted groups behind. The goal of this proposal is to make a significant and targeted investment in the academic success of these students at this critical time.

### **Grant Administration and Reporting**

If a grant is awarded in response to this proposal, William & Mary will provide the Mellon Foundation with interim and final reports according to the schedule specified in the Foundation's award letter. Annie Davis, Executive Director, Corporate and Foundation Relations, will have responsibility for working with Kate Conley, Dean of the Faculty, Arts & Sciences, who will serve as Principal Investigator for this grant, and Joel Schwartz, the Director of the Charles Center, to ensure that all reports on the progress and success of the project follow Mellon guidelines and are submitted to the Foundation in a timely way.

## **Budget Narrative**

We respectfully request that the Mellon Foundation consider a grant of \$800,000 to be used to embed undergraduate research in the arts, humanities and interpretive social sciences in a program that will provide the comprehensive advice and support needed by our target population. Funds will be used over five years to increase the supply of research opportunities available exclusively to these students and pair students in a sustained relationship with faculty mentors. The bulk of the grant funds will support undergraduate research opportunities for up to 60 WMSURE Research Fellows and more than 60 WMSURE Study Away grants, and will provide stipends for five faculty per year working as mentors to WMSURE students.

For budget items that include both salary and benefits, our budget presentation distributes costs to project/fiscal years depending on the specific number of pay periods and their dates. For example, the WMSURE Faculty Fellows will receive “summer grants” to support their participation, but part of this compensation will fall at the end of one fiscal year (in May and June) and part in the beginning of the next fiscal year (July and August).

The breakdown of Mellon Foundation funding during the five-year grant period is shown in the attached Budget Summary, is described below, and presented in the project’s Budget and Financial Report. Note that William & Mary will assume responsibility for co-funding two of the budgeted categories (WMSURE Faculty Fellows and WMSURE Student Fellows) in the fourth and fifth years of the grant. In the fifth year of the grant, William & Mary will also co-fund Domestic Study Away and fully fund the Associate Director. William & Mary will sustain all budget categories at appropriate levels after Mellon funding ends.

### **Personnel:**

#### WMSURE Associate Director salary @ \$60,000 + benefits (46%)

The WMSURE Associate Director position will start at \$60,000 (12-month salary) and benefits (estimated at 46%), with a 3.25% salary increase on average each year. In the fifth year of the grant, William & Mary will fully fund the salary and benefits of this permanent position.

### **Faculty Stipends for Student Advising:**

#### 5 WMSURE Faculty Fellows @ \$6,000 stipend per Fellow + benefits (7.65%)

Each of the five WMSURE Faculty Fellows will receive a summer stipend of \$6,000 and benefits (7.65%). There will be a total of 15 two-year Fellows appointed over the five-year duration of the grant. In the fourth and fifth years of the grant, W&M will co-fund half the cost of the Fellows’ stipends and benefits.

### **Student Research Fellowships:**

#### 15 WMSURE Research Fellowships @ \$4,000 per student = \$60,000 annually

Each of the WMSURE Student Fellows will receive a summer research grant of \$4,000 for each year that he or she participates (i.e., one or two years each). In addition, William & Mary will provide free summer housing for all students who are conducting their research in Williamsburg.

In the fourth and fifth years of the grant, W&M will co-fund half the cost of the students' stipends.

WMSURE Study Away Funding @ \$30,000 annually

Awards will vary depending on individual students' needs; we expect at least 15 students to participate in domestic study away annually. In the fifth year of the grant, W&M will co-fund half the cost of the students' stipends.

**William & Mary's Investment Strategy:**

Grant funds will be invested in accordance with the College's cash management investment policy, as amended from time to time by the Board of Visitors, and which complies with laws and regulations applicable to qualified public entities in Virginia. The objectives of the policy are to ensure the safety of funds held in the short-term and intermediate investment portfolio, and to maximize investment return within the constraints of safety of principal and of maintaining sufficient liquidity to meet all operating needs and obligations that may be reasonably anticipated. The policy lists approved investments, diversification guidelines detailing allowable ranges, limits to the amount of the portfolio that can be invested in specifically held securities of a single issuer, and prohibited investments. Interest will be allocated quarterly to the grant funds using the actual net income rate (including realized gains/losses) for that quarter applied to the average balance of the fund. The College has experienced no noteworthy financial difficulties or deficits in the last two years.



**Liberal Education and Inclusive Excellence  
WMSURE Budget Summary**

Budget Item	Year 1 Mellon 2017-18	Year 2 Mellon 2018-19	Year 3 Mellon 2019-20	Year 4 Mellon 2021-22	Year 4 W&M 2021-22	Year 5 Mellon 2022-23	Year 5 W&M 2022-23	<b>Mellon TOTALS</b>	<b>W&amp;M TOTALS</b>
2. Associate Director (salary)	\$25,000	\$60,900	\$63,032	\$65,130	-	-	\$67,084	\$214,062	\$67,084
2. Associate Director (benefits)	\$11,202	\$27,927	\$28,912	\$29,863	-	-	\$31,212	\$97,905	\$31,212
3. Faculty Fellows (stipend)	\$15,000	\$30,000	\$30,000	\$15,000	\$15,000	\$15,000	\$15,000	\$105,000	\$30,000
3. Faculty Fellows (benefits)	\$1,148	\$2,295	\$2,295	\$1,148	\$1,148	\$1,148	\$1,148	\$8,033	\$2,295
4. Student Support - Research Fellows	\$60,000	\$60,000	\$60,000	\$30,000	\$30,000	\$30,000	\$30,000	\$240,000	\$60,000
5. Student Support - Study Away	\$30,000	\$30,000	\$30,000	\$30,000	-	\$15,000	\$15,000	\$135,000	\$15,000
<b>TOTALS</b>	<b>\$142,350</b>	<b>\$211,122</b>	<b>\$214,239</b>	<b>\$171,141</b>	<b>\$46,148</b>	<b>\$61,148</b>	<b>\$159,444</b>	<b>\$800,000</b>	<b>\$205,591</b>



