

CONSTITUTION OF THE GRADUATE SCHOOL

UNIVERSITY OF MINNESOTA

Central to the University of Minnesota's identity as a top research university, the Graduate School provides leadership in promoting the quality of graduate education throughout the University. The Graduate School functions as an administrative and support unit for the majority of graduate degree programs, including many professional degree programs at the University. This unit adds value to the educational enterprise by

- working with faculty in collegiate units across the University to strengthen and assure the quality of graduate programs;
- promoting and supporting interdisciplinary scholarly activity;
- advocating quality in the graduate student experience;
- providing support for faculty development and scholarship; and
- envisioning and initiating change for the future.

The Graduate School encourages and supports both students and faculty in disciplinary and interdisciplinary research, teaching, and service activities that serve society and contribute to the knowledge base of a broad range of fields of study, from the sciences, to the humanities, to the arts, education, and business and technology.

The Constitution of the Graduate School provides a democratic framework in which the roles of the dean, the graduate faculty (including Directors of Graduate Studies and advisers), and graduate students are defined with regard to the operation and governance of the Graduate School and its programs. This Constitution is not part of the employment contract between the University and its employees. It does not establish terms and conditions of employment. The Graduate School and all of its participants are expected to conduct graduate education in accord with principles embodied in a bylaw that describes the mutual responsibilities in graduate education at the University of Minnesota.

Bylaw 1: ["Mutual Responsibilities in Graduate Education at the University of Minnesota," approved by the Graduate School Executive Committee 5/28/97 and amended 11/28/00.]

Article I. General Principles

1. Responsibilities of the Graduate School

In executing the mission stated in the Preamble the Graduate School shall undertake the following responsibilities and exercise the powers needed for their accomplishment:

a. Academic Programs

The Graduate School will oversee the creation, development, administration, termination, and periodic review of such post-baccalaureate curricula and research training leading to graduate degrees or certificates, or non-degree programs at comparable levels, as may be authorized and placed within its jurisdiction. The Graduate School will also provide support for and promote innovation and high academic standards in all its graduate programs.

b. Research Support

The Graduate School will stimulate improvement in graduate programs, continued development of the professional abilities of members of the graduate faculty and graduate students, and contributions to knowledge and culture by independent research, advanced study, writing, or creative artistry. To promote this goal, the Graduate School will help to plan, coordinate, and support such work by research units or individuals through providing leadership and coordination on campus and with research agencies in developing research programs throughout the University.

c. Faculty

The Graduate School Faculty will be organized for the purposes stated in Clauses a and b of this Section. The Graduate Faculty will be appointed within their academic programs and confirmed by the Graduate School. (See Article III of this Constitution.)

d. Administration

The Dean of the Graduate School shall oversee the administrative management of graduate programs, the policy guidance and review of graduate curricula and the research requirements for graduate degrees, and the review of individual student programs. Committees of the graduate faculty and student body and a central administrative staff directed by the Graduate School Dean carry out these functions.

e. Student Support

The Graduate School will help secure and help allocate financial support for the work of graduate students through graduate assistantships, fellowships, scholarships, and research grants. The Graduate School will help promote adequate funding for students accepted into all its graduate programs.

f. Inter-Institutional Activity

The Graduate School will participate with other institutions in planning and coordinating efforts that may contribute to more innovative and effective graduate programs. Agreements carrying out these relationships under which independent institutions conduct graduate training leading to University degrees shall recognize the institutional autonomy of the University and be compatible with principles and standards expressed in this Constitution.

2. Powers

The powers required to accomplish the missions enumerated in Section 1 of this Article may be delegated by the Board of Regents and the President to the Dean and/or the faculty of the Graduate School, and are subject to modification by subsequent action of the Board of Regents. This Constitution is not part of the employment contract between the University and its employees, and it does not establish terms and conditions of employment.

3. Human Rights

All programs and facilities subject to the authority of the Graduate School shall be administered in accordance with the policies of the Board of Regents to protect human rights and fundamental freedoms, including the policy on equal opportunity.

4. Approval of Graduate School Programs

Approval of Graduate School programs in which students may become candidates for graduate degrees or certificates can be authorized only by the Board of Regents upon recommendation by the Dean of the Graduate School. The Dean's recommendation shall be made only after the appropriate Policy and Review Council(s) and the Graduate School Executive Committee have made an initial recommendation.

5. Administration of Graduate Programs

The voting faculty of a graduate program and its DGS shall have authority to administer and govern that program as specified in Article III.

The responsibilities of the DGS are critically important for developing and maintaining graduate programs of high quality. Consequently, the Graduate School should encourage and otherwise work with departments and colleges in which graduate programs are housed to ensure that they (i) place a high priority on providing adequate support staff and financial resources to the DGS and program and (ii) properly account for the time and effort spent by the DGS in managing the program when assigning faculty duties and conducting annual performance reviews.

Article II. Dean of the Graduate School

1. Office of the Dean

The Dean of the Graduate School shall be the principal executive officer and representative of the Graduate School with general administrative authority over Graduate School affairs. After appropriate consultation, the Dean shall have the authority over Graduate School matters not addressed or specified by any section in this Constitution and the power to delegate duties resulting from such matters.

2. Selection and Appointment

When the position of Dean of the Graduate School becomes vacant, or before if appropriate, the President shall appoint a Search and Screening Committee. (See Bylaw 2.) Following a recommendation made by the Search and Screening Committee and upon recommendation of the President, the Board of Regents shall appoint the Dean of the Graduate School for an initial term not to exceed seven years.

Bylaw 2: The Search and Screening Committee for the Dean of the Graduate School shall consist of faculty, students, Civil Service/union-represented staff, and Professional and Administrative staff that give fair representation to all campuses that have graduate programs.

3. Review

In accordance with University Policy, the Dean shall be reviewed every three years by a Review Committee consisting of representatives as specified in the bylaws. This committee shall review the operations and administration of the Graduate School and report its findings and recommendations to the President.

Bylaw 3: Periodic reviews of the Graduate School Dean shall occur in accordance with Article II, Section 3. The Review Committee shall be appointed by the President, shall give fair representation to all campuses that have graduate programs, and shall be composed primarily of members of the graduate faculty, including at least one from each area represented by a Policy and Review Council, at least two graduate students, and one Civil Service/union-represented and one Professional and Administrative representative of the Graduate School administrative personnel.

4. Authority and Responsibilities

In carrying out the executive and administrative authority stipulated in Section 1 of this Article, the Dean shall assume the following duties:

a. Direction of Administration

The Dean shall have responsibility for planning, organizing, and directing the administrative structure and staff of the Graduate School and shall make recommendations with respect to administrative and programmatic requirements to the appropriate Vice Presidents, the President, and the Board of Regents.

b. Designation of Director of Graduate Studies

As described in Article III, the Dean shall have authority to appoint and remove the Director of Graduate Studies for each graduate program.

c. Determination of Graduate Faculty Status

The Dean has the authority to modify and terminate membership in the faculty of the Graduate School as well as the duty to confirm proposed future faculty members after recommendation by the nominating graduate program. In making such appointments or in modifying or terminating membership, she or he shall observe the procedures and standards stipulated in Article III of this Constitution and in the bylaws of the Graduate School.

d. Budget

The Dean shall be responsible for managing the annual operating budget of the Graduate School and, in consultation with the Policy and Review Councils, he or she shall be responsible for developing and presenting Graduate School budget proposals to the President.

e. Planning and Support of Academic Activities

The Dean shall provide leadership in formulating policy, in developing educational ideas and programs, and in coordinating periodic reviews and discussing their outcomes with appropriate administrators and faculty. The Dean shall have the responsibility to promote graduate research and scholarly activities of the University; provide fellowships, scholarships, and other research funds equitably to support such activities in all graduate programs; and administer the disbursement of these funds with the advice and counsel of appropriate committees.

f. Degree Programs

The Dean shall have the responsibility of recommending to the President and the Board of Regents the establishment, substantial alteration, or discontinuance of graduate degree or certificate programs upon the advice of the appropriate Policy and Review Council(s) and the Executive Committee.

Bylaw 4: As part of the responsibilities described in II.4.f., the Dean has the authority and obligation to initiate consultation with the appropriate DGSs, chairs or heads, and deans concerning the future status of any graduate degree or certificate program. The Graduate School shall maintain a policy on the merger and discontinuation of programs under its aegis.

g. Appointment of Committees

The Dean shall appoint the standing and *ad hoc* committees of the Graduate School for which provision is made in Article V of this Constitution, proceeding in accordance with constitutional stipulations.

h. Admission and Status of Students

Acting on the recommendation of the graduate faculty and in accordance with the principles and procedures stipulated in this Constitution and bylaws (see Article IV), the Dean

shall serve as the authority on all admissions of students to graduate degree and certificate programs administered by the Graduate School, appointments of graduate advisers, decisions on continuing graduate status, appointments of examining committees and chairs of such committees, admission to candidacy for graduate degrees, or certification of completion of requirements for graduate degrees and certificates.

i. Consultation

The Dean shall promote effective collaboration of the Graduate School with the colleges, schools, and departments in which graduate programs are conducted and also with appropriate Vice Presidents, the President, and the Board of Regents.

j. Community Relations

In concert with the colleges and schools, the Dean shall foster interaction between graduate programs and institutions, services, and persons in the community as may enable these programs to involve community resources and to relate graduate instruction and research to community needs.

k. Periodic Program Review and Non-Periodic Targeted Program Review

The Dean shall have executive responsibility for the review of graduate degree and certificate programs and their faculties, to include annual audit of academic performance data, periodic internal review, and periodic external review. The Dean shall also have the authority to grant or deny a request for a special program review.

Bylaw 5: Internal program review, conducted by the graduate program's own faculty, shall occur periodically in concert with the budget planning process of the college or school in which the program is located administratively. External program review, conducted by the Graduate School, shall occur not less than once every ten years unless the DGS and the Dean of the Graduate School agree otherwise. Non-periodic targeted program review, when granted by the Dean of the Graduate School, shall occur in response to a request from either the graduate program, the Dean(s) of the college(s) that administratively oversee the graduate program, or the respective Policy and Review Council to resolve one or more important problems that cannot be deferred to the next scheduled review.

l. Associate Administrative Officers

The Dean shall appoint Associate and Assistant Deans and other appropriate administrative staff as seem necessary to organize and direct administrative operations of the Graduate School. The Dean shall determine the conditions and duration of their appointments and the delegation of powers and responsibilities to them.

m. Constitutional Assembly

As provided in Article VII, Section 2, the Dean shall have the authority to convene and preside over the Constitutional Assembly.

Article III. The Graduate Faculty

1. Composition

The faculty of the Graduate School shall consist of the President of the University and the Dean of the Graduate School, *ex officio*, and the graduate faculty members of Graduate School programs as defined in Section 2 of this Article.

2. Faculty Membership

a. Privileges and Responsibilities of Members of the Graduate Faculty

Membership in the Graduate Faculty of a Graduate School program carries with it a set of privileges and responsibilities that shall be specified in a bylaw. Upon appointment to the Graduate Faculty, each faculty member will be accorded specific privileges and responsibilities depending on the category of membership to which the faculty member is appointed. Individual faculty members with graduate faculty appointments in multiple Graduate School programs carry all of the privileges and responsibilities associated with their appointment in each program. In such latter case, however, the faculty member is entitled to only one vote on Graduate School matters (such as a Constitutional referendum), not a vote for each program appointment.

b. Categories of membership in the faculty of a Graduate School program

The categories of membership in the faculty of a Graduate School program are Senior Member, Member, Affiliate Senior Member, and Affiliate Member. The privileges and responsibilities of each membership category shall be specified in a bylaw.

Bylaw 6: Graduate faculty membership in a specific graduate program should include the following specific privileges and responsibilities:

- (i) to teach courses for graduate credit within the graduate program.
- (ii) to serve on student examination committees for Minor-Only and Post-Baccalaureate Certificate programs, both for students in these programs and as external examiners for students in other Graduate School programs.
- (iii) to serve on student examination committees for Master's-level degrees and as a thesis reviewer, both for students within the graduate program and as an external examiner for students enrolled in other Graduate School programs.
- (iv) to serve as an adviser for students pursuing Master's-level degrees.
- (v) to serve as a Co-Adviser for Doctoral degrees in the graduate program.

- (vi) to serve on student examination committees for Doctoral degrees and as a thesis reviewer, both for students within the graduate program and as an external examiner for students enrolled in other Graduate School programs.
- (vii) to chair student examination committees for Doctoral degrees.
- (viii) to serve as an adviser for students pursuing Doctoral degrees in the graduate program.
- (ix) to participate in the governance of the graduate program and in the governance of the Graduate School.

RESPONSIBILITY	Membership Category			
	Senior Member	Affiliate Senior Member	Member	Affiliate Member
Teach courses for grad credit	Automatic (A)	A	A	A
Examine Minor Field and PBC	A	A	A	A
Examine Master's & Thesis Rev	A	A	A	A
Advise Master's	A	A	Optional (O)	O
Co-Advise Doctoral	A	A	O	O
Examine Doctoral & Thesis Rev	A	A	O	O
Chair Doctoral Exam	A	A		
Advise Doctoral	A	A		
Participate in governance	A		A	

Senior Membership includes all privileges and responsibilities enumerated in this bylaw (i-ix).

Affiliate Senior Membership may include all privileges and responsibilities as determined by the appointing graduate program and enumerated in this bylaw (i-viii) except governance (ix).

Membership includes the following privileges and responsibilities: teaching graduate-level courses (i); examining post-baccalaureate certificate and master's students, and serving as a thesis reviewer (ii – iii); and participating in governance (ix). Membership may include additionally as determined by the appointing graduate program and stipulated in the appointment document to the Graduate Faculty: advising master's students (iv), examining doctoral students (vi), and co-advising either or both master's and doctoral students.

Affiliate Membership may include all the privileges and responsibilities of Membership except governance (ix) as determined by the appointing graduate program and stipulated in the appointment document.

It is understood that if a faculty member has been accorded participation and voting privileges in the governance of the graduate program (accorded to Senior Members and Members), he or she is thereby entitled to vote in matters of Graduate School governance (ix). In cases of multiple graduate program appointments, the faculty member is entitled to participate in the governance of each, but may only vote once in Graduate School governance matters.

Upon the recommendation of any Policy and Review Council and after consultation with the Executive Committee, the Dean may authorize variants of graduate faculty membership to accommodate special circumstances or specialized classes of faculty.

Faculty members who may not be familiar with University of Minnesota practices and who will chair or serve on examining committees must be advised of program practices and procedures with regard to committee operations by either the DGS of the program or the adviser. In cases where Affiliate Senior or Affiliate Members serve as advisers, programs must establish co-advisers or other mechanisms to assure continued advising support for graduate students should the Affiliate Member leave the University. This mechanism must be in place before the advising appointment is made.

Except in cases of officially approved joint advisership, no faculty member shall advise students for degrees the appointing graduate program does not offer. (See Bylaw 18.)

Bylaw 7: Graduate programs may authorize individuals to teach graduate-level courses without holding membership in the graduate faculty, subject to the corresponding Policy and Review Council's guidelines.

Bylaw 8: Units that offer graduate-level courses but not graduate programs or degrees may authorize individuals to teach graduate-level courses, subject to the corresponding Policy and Review Council's guidelines. Consistent with the Council guidelines, such units may also appoint qualified individuals to Examining (E) status in the Graduate School. Individuals so appointed may serve on student examination committees, representing the disciplinary area of the appointing unit. Appointment to Examining status does not constitute membership in the graduate faculty and does not confer Graduate School governance privileges.

Bylaw 9: Tenure-track and tenured faculty participating in graduate education shall not be excluded from governance except by action of the Dean under Article II Section 4.b. and Article III Section 2.e. and must be appointed as voting members of at least one graduate program associated with their department, school, or unit.

Bylaw 10: In order to be appointed to any category of membership in the graduate faculty, an individual must hold a University (Human Resources) appointment whether with salary or without salary, thereby providing a legal basis for the graduate faculty member's association with the University and graduate program.

Bylaw 11: Faculty who retire from the University of Minnesota relinquish their Graduate Faculty status upon retirement; however, they may choose to complete outstanding examining committee and advising assignments on file with the Graduate School at the point of retirement. The voting faculty of a graduate program may appoint emeritus faculty to Affiliate Membership and Affiliate Senior Membership when such status serves the educational interests of the program and its graduate students.

Bylaw 12: Through their publications and services, the Graduate School and the graduate programs should identify the faculty of each graduate program and their membership category.

Bylaw 13: It is the responsibility of the Dean of the Graduate School to monitor the membership of graduate faculties to ensure that their composition can support the ongoing educational commitment to students in the program. Programs that have or expect to have a majority of faculty who are not University of Minnesota tenure-track or tenured faculty shall submit a plan to the Dean, for review by the appropriate Policy and Review Council, explaining their plans for continuous teaching and advising given their expected faculty composition. The Dean shall review the plan in accordance with the basis upon which the program was established. Upon the Dean's approval of the plan, the program's voting members or oversight committee shall use it in evaluating nominations to the voting membership of the graduate faculty of the program.

c. Qualifications

The Policy and Review Councils shall formulate and recommend to the Dean for approval specific qualifications, guidelines and procedures for approving appointments to each category of membership in the graduate faculty of its programs. In addition, the Policy and Review Councils shall formulate and recommend to the Dean for approval general guidelines for evaluating the contributions of a program's graduate faculty members with respect to their continued appointment. Final authority to judge the appropriateness of applications of these standards, procedural and substantive, shall rest with the Dean.

d. Nominations and Appointments

A Member or Senior Member of a Graduate School program may nominate individuals to any category of membership of that program's graduate faculty. Each such nomination shall indicate the specific privileges as listed in III.2.a. that the individual will hold. The nomination, which shall include appropriate information about the nominee's qualifications (documentation of teaching, advising, research, and service to the Graduate School), is then given to the Director of Graduate Studies, who will present it for review and vote to the voting members of the faculty of the graduate program. Upon approval, the Director of Graduate Studies shall forward notice of the appointment to the Dean of the Graduate School. The appointment shall become effective upon the Graduate School's receipt of this notification.

Bylaw 14: The Dean of the Graduate School is authorized to appoint tenured and tenure-track faculty members as Members or Affiliate Members or Senior Members or Affiliate Senior Members of the graduate faculty of a Graduate School Program that has two or fewer voting members. All direct appointments made by the Dean shall require prior consultation with the Graduate School Executive Committee.

e. Modification or Termination of Graduate Faculty Membership

The privileges and responsibilities of a member of the graduate faculty of a Graduate School program may be increased by nominating that faculty member to a higher level of membership (e.g., nominating a Member for Senior Membership, or for Membership with additional privileges, or nominating an Affiliate Member to a voting membership with the same or greater privileges). Such nominations shall be processed in the same manner as initial membership as specified in (d).

A member of the graduate faculty of a Graduate School program may voluntarily resign that membership, or may voluntarily reduce the membership category from Senior Member to Member or from Affiliate Senior Member to Affiliate Member, or a Member or Affiliate Member may voluntarily give up the ability (and associated privilege) to advise Master's students and/or to examine and/or co-advise Doctoral students.

Continuing active involvement and competency in the graduate program, and the quality of such involvement, of members of the graduate faculty shall be primary considerations in continued membership in graduate program faculties. When there is evidence that established criteria of expectations for graduate faculty performance as set by the Policy and Review Councils and established by each graduate program or in the bylaws are not being met, the Dean may initiate a review of a faculty member's status in a particular graduate program, or in the Graduate School faculty overall. Before terminating or modifying a membership status in the graduate faculty, however, the Dean shall notify the individual affected in writing, offering him or her the opportunity to withdraw voluntarily from the graduate faculty, or to contest the proposed termination or modification of membership status. In the latter instance, the individual shall be afforded the opportunity to be heard and to present witnesses and evidence in support of his or her view. The Dean shall consider any testimony and documentary evidence that may be presented and shall also solicit the views of the graduate faculty and graduate students in the program(s) for which membership is being reviewed.

Bylaw 15: Graduate School programs shall establish criteria for continued membership in their graduate faculty. The voting faculty, or a committee representative of that faculty, is responsible for periodic review of the compliance of graduate faculty with these criteria, and may present evidence to the Dean and recommend review if a faculty member fails to meet the criteria as specified and does not voluntarily resign that membership or reduce the membership category.

3. Faculty Governance and Administration of Graduate School Programs

The voting faculty of a Graduate School program have the responsibility to govern and administer that program in a manner consistent with the rules of the Graduate School, the rules of the appropriate Policy and Review Council, and the rules established by the program itself. To ensure effective administration of Graduate School programs, each program must select a Director of Graduate Studies as specified in Section 4 below. Program faculty may also choose to delegate specific responsibilities to committees of their faculty, to the Director of Graduate Studies, or, in the case of programs that are co-extensive with a department, school, or other budgetary unit, to the Chair or Head of that unit or to a committee of that unit. The supervisory and coordinating functions assigned to the Director of Graduate Studies may not be delegated, however. Any powers in this Section not specifically delegated to an individual or committee shall be exercised by the voting faculty of the program as a whole, with a majority vote deciding issues not resolved by consensus.

If graduate students are included in graduate program governance, their participation shall be confined to matters of general administrative and educational policy and shall not extend to consideration of applications, petitions, or evaluations which relate to the employment status or academic work of individual students, or to the setting of student examinations.

The voting faculty of a Graduate School program shall have the direct responsibility and authority to

- a. determine membership in the graduate faculty of the program, consistent with the corresponding Policy and Review Council's criteria.
- b. review the performance of faculty within the graduate program and, where appropriate, make recommendations to the Dean for the modification or removal of graduate faculty status within the program.
- c. make recommendations on questions of policy in the conduct and administration of graduate programs, on the initiative of the faculty or in response to requests from the Dean or a Policy and Review Council.
- d. establish and publish programmatic criteria for admission to the offered graduate degree programs, subject to the review and approval of the Dean.
- e. conduct annual reviews of graduate students in the program and communicate the results of the review to the student. Any unsatisfactory review should be communicated in writing.
- f. establish and publish eligibility criteria for program-administered awards, fellowships, scholarships, assistantships, and other forms of financial aid. Make such awards.
- g. nominate students for fellowships, scholarships, and awards administered by the Graduate School and other granting bodies when applicable.
- h. review and recommend for approval any proposed 8000-level courses and instructors, prior to submittal to the appropriate Policy and Review Council and, subsequently, the Dean for final approval.
- i. review nominations requesting authorization to teach graduate-level courses without holding membership in the graduate faculty, subject to the corresponding Policy and Review Council's guidelines.
- j. develop and maintain a graduate student handbook, which shall be made available to all graduate students in the program, outlining program requirements, standards, policies and procedures.

Bylaw 16: The graduate student handbook, which shall be made available in print to all graduate students in the program on an annual basis, should consist minimally of the following: program requirements, standards, policies and procedures; criteria and process for termination from the program; eligibility for and forms of financial assistance; and arbitration, appeal and grievance channels for both academic and employment concerns. In addition, each graduate student should be given, at the

time of an offer of a Graduate Assistantship, a written job description and appointment form stating the duties and expectation of the assistantship, the terms (duration, pay, benefits), as well as the general expectations the program has of its Graduate Assistants.

The voting faculty of a Graduate School program shall have the responsibility and authority, subject to review and recommendation by the appropriate Policy and Review Council, to

- k. formulate, subject to review for consistency with Graduate School regulations and policies, the requirements for completion and timely progress of its graduate degree programs within the general Graduate School requirements.
- l. make proposals for the initiation, modification, or termination of graduate courses of instruction.
- m. propose new degrees or degree programs, and substantial alterations of existing degrees (ultimate approval of degrees and degree programs rests with the Board of Regents).

The voting faculty of a Graduate School program shall have the responsibility and authority, subject to review and approval by the Dean, to

- n. establish admissions criteria that reflect the minimum standards as established by the Graduate School. Review and make recommendations with respect to applications for admission as a graduate student to the program.
- o. review and make recommendations with respect to programs of study and research proposed by individual students, including thesis title proposals.
- p. review and evaluate student progress and make any recommendations necessary.
- q. review and make recommendations on student petitions with respect to their status, programs, or degree requirements.
- r. recommend the membership and chairs of examination committees, to which the responsibility is delegated to determine whether students shall be recommended for graduate degrees or certificates.

4. Directors of Graduate Studies

The role of Director of Graduate Studies (DGS) is crucial for the quality of graduate programs and multifaceted support of students enrolled in those programs.

The DGS is the Graduate School's most important link to programs and the program's administrative link to its students. For both the Graduate School and the program, these multiple obligations create legitimate, important stakes in the successful carrying out of the DGS role.

Each Graduate School program shall have a Director of Graduate Studies who shall supervise and coordinate the administration of the program, serve as a point of contact for graduate students enrolled in the program, provide administrative linkage between the graduate faculty and the department or departments contributing to its programs, and act as the liaison between the program and the administration of the Graduate School.

a. Qualifications and Appointment

Each Graduate School program shall designate a nominee as Director of Graduate Studies. The DGS shall be a tenure-track or tenured, voting member of the graduate faculty of the program. Any exceptions to this policy must be approved by the Dean, and documentation substantiating the request for exception must be filed with the Graduate School. Because the position of DGS requires close collaboration with, and the allocation of resources from, the chair(s) or head(s) of involved budgetary units, programs are encouraged to involve those persons in the nomination process.

The Dean of the Graduate School shall appoint the DGS. Program faculty shall submit to the Dean the name of a nominee as voted by the Members and Senior Members in the graduate program. The nomination form should also carry the signature of the chair or head of the nominee's budgetary unit. The graduate program's choice for DGS is presumptive, and the Dean must provide written explanation for rejection of the program's nomination.

In the absence of the DGS for less than one semester, program faculty shall designate an Acting DGS and so notify the Dean. For an absence longer than one semester, program faculty should follow the above procedures for nominating a DGS. In special cases where program faculty have no nominee names to submit, the Dean may appoint a DGS to serve until such time as a nomination is forthcoming.

The DGS is required to place on file with the Graduate School the program's procedure for choosing the name(s) in nomination for DGS and the length of term in office. Typically this information will be entered into the Program Profile on-line. The unit head(s) of the DGS's budgetary home(s) is required to endorse the final appointment by the Dean and to specify the support that the DGS will have during the term of the appointment.

b. Removal

The Director of Graduate Studies may be removed by a two-thirds majority vote of the voting faculty of the program or by the Dean of the Graduate School, after appropriate consultation.

c. Responsibilities

The Director of Graduate Studies shall supervise and coordinate the administration and governance of graduate studies within the graduate program or programs for which she or he is responsible. In addition to such duties in the administration of graduate studies as the faculty of the graduate program may assign, the DGS shall

- (i) serve as the program's representative on the appropriate Policy and Review Council.

- (ii) serve as a liaison between the program faculty and the Graduate School administration, referring matters to the faculty or its committees as needed; informing the faculty of Graduate School policies, deadlines, and programs as appropriate; and forwarding recommendations, nominations, and other information from the faculty to the Dean.
- (iii) provide written criteria to each student, upon entry, of what constitutes acceptable progress through and termination of the student from the program.
- (iv) receive, arrange for the review of, and monitor the progress of student applications and petitions.
- (v) orient and counsel graduate students with respect to program and degree requirements until a permanent adviser is selected and assist in that selection as necessary. Enforce regulations of the Graduate School and the degree program. Oversee the maintenance of graduate student records and the annual student evaluation process.
- (vi) provide periodic reports on the program and data to the appropriate Policy and Review Council and to the Dean as requested by the Council or Dean.
- (vii) carry out such other responsibilities as specified in the bylaws.
- (viii) facilitate a program of professional development activities for graduate students within the program.

5. Graduate Advisers

By admitting a student, the faculty of the graduate program is thereby obligated to provide an adviser for that student. The Director of Graduate Studies may serve as the initial adviser until such time as the student and/or the program identifies a permanent adviser. The individual advisee-adviser relationship is a voluntary process and must rest upon mutual agreement. Students may obtain help from the DGS in identifying appropriate advisers or assisting in a change of advisers. The graduate adviser must be a member of the graduate faculty of the program in which the student is pursuing studies except in special cases as approved by the Graduate School (see Bylaw 18). When appropriate, one adviser may counsel the student during the period of graduate course work, and another may supervise the student's thesis or dissertation research; the latter shall have special competency in the area of the student's concentration. In the discharge of these functions, the graduate adviser is responsible to the faculty of the program and to the Dean of the Graduate School.

The duties and obligations of the adviser are to

- a. assist the student in formulating a program of study and research that culminates in the timely filing of the program of study (which the adviser must sign) and completion of the degree.

- b. review and attach a recommendation to any petition the student may make with respect to graduate status or requesting a waiver of normal requirements affecting graduate studies, examinations, or research.
- c. direct the student's research for and writing or creative activity involved in the graduate thesis or dissertation.
- d. provide the student with (at minimum) an annual written evaluation of his or her academic progress, as measured against the published performance expectations of the graduate degree program and the Graduate School.

In the discharge of these functions the graduate adviser is responsible to the faculty of the program and to the Dean of the Graduate School.

Bylaw 17: The adviser shall be a member of the student's committees for approval of the dissertation and final oral examinations, and shall be responsible for having the reports signed by the members of the examination committee and returned to the Graduate School. The adviser may not chair the final doctoral thesis committee but may chair the master's thesis committee and the doctoral preliminary orals committee.

Bylaw 18: Upon consultation with program faculty, a student may choose to have two advisers who would be recognized as Co-Advisers by the Graduate School. The relationship of the Co-Advisers with regard to their roles in advising student coursework, developing research objectives, and supervising the thesis would be detailed in a letter that would accompany the filing of the program. At least one of the Co-Advisers must be from the program in which the student is enrolled. The Co-Advising relationship would be listed on the student's records, and both faculty members would be credited for their work. Final arbitration of any disputes arising between Co-Advisers would be settled by the DGS of the student's home program. Administratively, the Graduate School would require the signatures of both Co-Advisers on all forms requiring an adviser signature and would send all communications regarding the advisee to both Co-Advisers. In the case of Co-Advisers on a doctoral dissertation committee, a third Senior Member or Affiliate Senior Member would be needed to chair the defense.

Article IV. Graduate Students

1. Composition of the Student Body

Graduate students shall be persons admitted to the Graduate School by the Dean for post-baccalaureate study programs who have enrolled and continue in good standing, as defined in bylaws and Graduate School policy. Maximum periods may be prescribed during which students who have been admitted to graduate degree or certificate programs will be permitted to re-register for study or research without the necessity of readmission to the Graduate School.

2. Admission

a. Qualifications and Procedure

Applicants with the necessary background for advanced training in their chosen major fields, excellent undergraduate scholastic records or other appropriate qualifications, may be admitted for graduate work on recommendation by the graduate faculties in the proposed major fields. In cases where programs wish to admit students who do not satisfy program standards, the application is subject to review and approval by the Dean of the Graduate School. The Dean, taking account of any recommendations concerning admissions standards made by the Policy and Review Councils, shall scrutinize the recommendations on admission made by the faculties of major programs with a view to assuring observance by all of them of suitable minimum standards. All programs are responsible for having their stated operational standards for admission on file with the Graduate School. Decisions on admission to and continuation of graduate student status shall be based upon all evidence available as to the probability that the applicant has the qualifications to succeed in his or her chosen graduate program. Standards of admission shall be applied to all applicants in an equal, impartial manner in accordance with the provisions of Article I, Section 3 of this Constitution. The procedures for processing applications shall be specified in bylaws. The faculty of a graduate degree or certificate program may specify test data or other supporting evidence needed as a basis for its recommendations on admission, and the Graduate School will when appropriate assume responsibility for the collection of these data. The Dean has the authority to suspend admissions to the program after appropriate consultation.

b. Interpretation of Admissions Policies

The Dean of the Graduate School shall consult on the interpretation of admissions policies with the Directors of Graduate Studies, the Policy and Review Councils, the Executive Committee, and appropriate members of the staff of the Graduate School; however, final authority to decide shall rest with the Dean.

3. Termination

The Dean of the Graduate School may terminate a student's graduate status because of the student's failure to maintain minimum standards of achievement or progress as stipulated in print by the Graduate School and the faculty of the degree or certificate program in which the student is enrolled. The degree program is obligated to publish its standards and criteria either in the form of a Handbook for students or on its website (or both). The Dean shall act after reviewing the student's academic record and the recommendation of the graduate adviser and the faculty of the graduate program, or of any committee charged by that faculty with the evaluation of student progress.

4. Council of Graduate Students

(See Article V, Section 6 of this Constitution.)

5. Graduate Degrees and Certificates

a. Requirements

To satisfy requirements for graduate degrees or certificates students must complete the program requirements in training and research, and examinations, as stipulated by the Graduate School and the faculty of the degree or certificate program selected.

Each graduate program is responsible for supplying the incoming student with a handbook/guide of the rules and regulations governing the procedures for successfully completing a degree in the field and those criteria that would cause either probation or termination from the program. Where possible, this information should also be replicated on the program's website.

b. Certification

Certification of completion of the requirements for degrees or certificates within the jurisdiction of the Graduate School shall be made by the Dean upon the basis of the students' scholastic records and the reports of the Directors of Graduate Studies or examining committees giving evaluations of preliminary written examinations, oral examinations, and dissertations.

Article V. Constituent Organs and Committees

1. Executive Committee

a. Composition

There shall be an Executive Committee of the Graduate School. Membership shall be described in a bylaw. The Dean of the Graduate School shall chair the Executive Committee.

Bylaw 19: The voting membership of the Executive Committee shall consist of the Dean; two administrative officers of the Graduate School designated by the Dean; the Chairs of the General Research Advisory Committee, the Biomedical Research Advisory Committee, the Fellowship Committee, and each Policy and Review Council; the Chair of the Duluth Graduate Council; one representative of the Graduate School Civil Service/union-represented administrative staff selected annually by election; one representative of the Professional and Administrative appointed staff selected annually by election; and five graduate students. The graduate student members shall be the President of the Council of Graduate Students, the President of the Duluth branch of the Council of Graduate Students, and one student selected annually in a manner to be determined by the Council of Graduate Students from each of three of the Policy and Review Councils, with the Councils represented to be selected in a rotation established by the Council of Graduate Students. When unable to attend a meeting, a member may designate an alternate.

b. Responsibilities

The responsibilities of the Executive Committee shall include the following: (1) review programs of graduate study and recommend their approval, modification, or discontinuance; (2) consider proposals for and recommend policy, implementation of policy, and changes in programs or administration of the Graduate School; (3) continually review the effectiveness of the structure and performance of the Graduate School in discharging its missions; (4) provide guidance and counsel to the Dean on any matters relating to graduate education at the University of Minnesota.

2. Policy and Review Councils

a. Constituent-Base Divisions

There shall be a Policy and Review Council for each of the major academic divisions within which fields of graduate study are grouped on the basis of customary working relationships. These divisions are initially established as follows: (1) Education and Psychology; (2) Language, Literature and the Arts; (3) Health Sciences; (4) Engineering, Physical and Mathematical Sciences; (5) Biological Sciences; (6) Social Sciences. The assignment of programs of study to a division shall be made by the Dean after consultation with the Executive Committee on the basis of recommendations made by the faculties of graduate programs. Each program shall have voting representation on only one Policy and Review Council. Any modifications in the divisions initially established shall be made by the Dean after consultation with the Executive Committee on the basis of recommendations from the Policy and Review Councils affected by the changes.

b. Composition

Each Policy and Review Council shall be composed of: (1) the Director of Graduate Studies from each constituent major degree granting program of graduate study within the division, chosen by the graduate faculty of that program from among its membership; (2) graduate student members in the ratio of one student to three faculty members, with a minimum number of three students, whom the Council of Graduate Students shall choose in accordance with its bylaws. When unable to attend a meeting a member may designate an alternate. The Dean of the Graduate School shall appoint the chair of each Policy and Review Council, for a term of two years, from a slate of three names submitted by and selected from among the faculty members of the Council. It is desirable that the Council chair will have completed at least one year's service as a Council member. Operating procedures of the Policy and Review Councils shall be regulated in bylaws of the Graduate School.

c. Responsibilities

The members of the Policy and Review Councils as a whole shall constitute a voting assembly for any purpose, except the amendment of this Constitution, requiring the collective action of the graduate faculty and student body. The responsibilities of each Policy and Review Council shall include the following:

- (1) review and recommend policy for graduate programs in the division within its jurisdiction;
- (2) review proposals for new graduate courses of instruction, or for modification or termination of existing courses, and make recommendations to the Dean on such proposals;
- (3) establish and review criteria for membership in the faculty of the Graduate School;
- (4) monitor the quality of graduate education in the programs within its jurisdiction, including: (a) substantive review of applications for the establishment, major modification or withdrawal of graduate programs in the division under the Council's supervision and recommendations to the Dean with respect to such proposals; (b) systematic and periodic reviews of existing degree and certificate programs within the Council's jurisdiction; (c) non-periodic targeted program reviews as requested by individual graduate program faculties;

Bylaw 20: The Policy and Review Councils shall conduct systematic and periodic reviews of responsible conduct of research and scholarship and student professional development activities within graduate programs.

- (5) formulate and submit to the Dean evaluations and recommendations concerning graduate education at the University of Minnesota as the members of the Council deem appropriate;
- (6) review and make recommendations with respect to matters submitted to the Council by the Dean of the Graduate School

Bylaw 21: The Policy and Review Councils shall meet at least twice each year as individual Councils and once as an Assembly of all Councils. When unable to attend a meeting, a member may designate an alternate.

3. Duluth Graduate Council

a. Composition

There shall be a Duluth Graduate Council that represents all of the fields of graduate study through which graduate students may register on the Duluth campus. Operating procedures of the Duluth Graduate Council shall be consistent with the principles of this Constitution, and the composition of the Council shall be described in a bylaw.

Bylaw 22: The Duluth Graduate Council shall be composed of (1) the Director of Graduate Studies or Associate Director of Graduate Studies from each constituent major degree-granting program of graduate study and (2) four graduate students with full voting rights, chosen by the Duluth branch of the Council of Graduate Students. When unable to attend a meeting, a member may designate an alternate. The Dean of the Graduate School shall appoint the chair of the Duluth Graduate Council,

for a term of two years, from a slate of names submitted by and selected from among the faculty members of the Council.

b. Responsibilities

The Duluth Graduate Council shall constitute a voting assembly for any purpose requiring the collective action of the graduate faculty and graduate student body on the Duluth campus. The responsibilities of the Duluth Graduate Council shall include the following:

- (1) review and recommend policy for graduate programs within its jurisdiction;
- (2) review and make recommendations on course proposals submitted for graduate credit by the various academic disciplines at Duluth. Recommendations of graduate course proposals will be submitted to the relevant Policy and Review Council. The Duluth Graduate Council shall be guided in its recommendations by the formal criteria in current use by each Policy and Review Council;
- (3) formulate and submit to the Dean of the Graduate School, the Associate Dean of the Graduate School at Duluth, and the Vice Chancellor for Academic Administration of the Duluth campus, evaluations and recommendations concerning graduate education at the University of Minnesota Duluth as the members of the Council deem appropriate. The Duluth Graduate Council shall be advisory to the office of the Dean concerning the addition, alteration, or deletion of graduate programs at Duluth;
- (4) review and make recommendations with respect to matters submitted to the Council by the Dean of the Graduate School, the Associate Dean of the Graduate School at Duluth, and the Vice Chancellor for Academic Administration of the Duluth campus as they affect the operation of the Graduate School at Duluth.

4. Research Advisory Committees

There shall be a General Research Advisory Committee and a Biomedical Research Advisory Committee, each of which shall be appointed by the Dean of the Graduate School after consultation with deans of other colleges and the chairs of the Policy and Review Councils. The composition and responsibilities of each committee shall be defined in the bylaws.

Bylaw 23: The General Research Advisory Committee and the Biomedical Research Advisory Committee shall each consist of at least twelve faculty members, and together shall represent the majority of Policy and Review Council disciplinary groupings. The term of office of members shall be four years, with gradual turnover of the members. Members shall be eligible for reappointment, but consecutive terms shall not exceed two. The Dean shall appoint a committee chair from among the members.

Bylaw 24: The responsibilities of the General Research Advisory Committee and the Biomedical Research Advisory Committee shall include the following: (1) advise the Dean concerning the

development and support of faculty research and research programs; (2) review requests for allocation of faculty research funds, and make recommendations to the Dean concerning such allocations.

5. Fellowship Committee

There shall be a Fellowship Committee whose composition and responsibilities shall be defined in the bylaws.

Bylaw 25: The Fellowship Committee shall consist of members of the graduate faculty appointed by the Dean of the Graduate School, who shall endeavor to assure broad distribution and rotation in the representation of graduate programs. The Director of the Fellowship Office shall be a member *ex officio*. The Dean shall appoint one of the members to serve as chair.

Bylaw 26: The responsibilities of the Fellowship Committee shall include the following: (1) advise the Dean and Executive Committee on policies and procedures to be followed in securing funds for and in allocating them to graduate students of the University in the form of fellowships, scholarships, and other financial supports; (2) review applications for fellowships, scholarships, or other financial aids, and make recommendations to the Dean concerning awards.

6. Council of Graduate Students

a. Organization

There shall be a Council of Graduate Students, representative of the entire body of graduate students registered in programs administered by the Graduate School, with a branch chapter on the appropriate coordinate campuses. The voting membership of the Council of Graduate Students on each campus shall include one graduate student chosen by the students within each graduate program on that campus, the graduate student representatives in each Policy and Review Council, and all graduate student members of the University Senate, its committees, and other University committees as designated within the Council's constitution. Officers of the Council shall be designated and chosen in accordance with the provisions of the Constitution of the Council of Graduate Students. Governance of the branch chapters will be specified in the Constitution of the Council of Graduate Students. Meetings of the Council or its branch chapters shall be held at least two times each semester during the academic year.

b. Governance

The Council of Graduate Students shall have the authority to conduct its own affairs, consistent with its constitution and bylaws and with University and Graduate School policies, regulations, and procedures.

c. Responsibilities

The Council of Graduate Students shall be the official organization representing graduate students of the University of Minnesota within the structure of the Graduate School and the University governance system. The Council's responsibilities shall include the following:

- (1) It shall serve as the official channel whereby recommendations from the graduate student body as a whole are brought to the Dean and the constituent organs and committees of the Graduate School. This is not intended in any way to limit the access of any individual student or student group to the administration or faculty of the Graduate School.
- (2) It shall be the chief instrumentality for achieving graduate students' participation in the affairs of the Graduate School and shall nominate graduate student representatives to all appropriate councils and committees of the Graduate School and to other University groups.
- (3) It shall assimilate, coordinate, and disseminate pertinent information to graduate students.
- (4) It shall seek to promote appropriate academic, social, professional and economic aims of graduate students.

7. Special Committees

a. Composition

In consultation with the Executive Committee of the Graduate School, the Dean may appoint special *ad hoc* committees. Also in consultation with the Executive Committee of the Graduate School, the Dean shall choose membership appropriate to the purpose for which each committee is formed and shall in each case designate a member of the committee as chair.

b. Responsibilities

Special committees shall study, review, and formulate recommendations to the Dean on those topics the Dean assigns them.

8. Procedures of Constituent Organs and Committees

The constituent organs and standing *ad hoc* committees for which provision is made in Article V shall observe the following rules of procedure:

a. Rules of Order

Normal rules of parliamentary procedure observed by deliberative bodies shall be followed except as special rules may be adopted.

b. Open and Closed Meetings

Meetings shall be open when matters of general policy or administration are under discussion, but closed when open discussion of matters on the agenda might infringe upon individual rights of privacy.

c. Subcommittees

Each body may by majority vote authorize the creation of committees or subcommittees to deal with designated problems within the mission of the principal body. Unless specified to the contrary, subcommittee membership may include persons who are not members of the committee to which the subcommittee is responsible.

Article VI. Grievances Relating to Academic Freedom and Responsibility

1. Graduate School Grievance Jurisdiction

Student grievances arising from alleged violations of academic freedom or alleged failures in academic responsibility as defined in policies of the University Senate fall within the jurisdiction of the appropriate agencies of the Graduate School when they relate to the conduct of Graduate School programs and activities. Presentation of such grievances must observe the provisions of the Board of Regents Student Academic Grievance Policy.

a. First Instance Jurisdiction

Grievances that arise from the alleged misfeasance or nonfeasance of the Dean of the Graduate School or employees of the Graduate School to whom he or she has delegated powers, and which the person responsible has declined after request by the complainant to correct, may be presented directly to the Graduate School Grievance Review Officer for procedures in accordance with Section 2 of this Article.

b. Appellate Jurisdiction

Grievances in areas of academic freedom or responsibility that arise from alleged discrimination or unfairness within departments or instructional units in the application of graduate requirements or regulations, or which relate to the rights of graduate students, should in the first instance be submitted for resolution by grievance procedures established by the appropriate departments or other instructional units. In the event that no departmental procedures exist or the complainant feels he or she has been denied justice in departmental proceedings, the complainant may then appeal to the Graduate School Grievance Review Officer and the Graduate School Grievance Committee in accordance with the provisions of the Board of Regents Student Academic Grievance Policy.

2. Graduate School Academic Grievance Committee

There shall be a standing Graduate School Academic Grievance Committee authorized to hear student grievances alleged to arise from alleged violations of academic freedom or alleged failures in academic responsibility in accordance with the jurisdictional limitations stated in Section 1 of this Article. The Committee, composed in accordance with the bylaws, shall conduct formal hearings on complaints which cannot be informally settled, receive evidence concerning the charges made, make findings of fact, and recommend appropriate settlements. Faculty grievances are normally addressed through the Regents' Grievance Procedure.

Bylaw 27: The Graduate School Academic Grievance Committee shall be composed as follows: (1) a faculty chair, appointed by the Dean; (2) a roster of additional members consisting of two student and two faculty members from each Policy and Review Council, selected by the respective Council chair in consultation with the Dean.

Ad hoc panels to review individual cases should consist of three faculty and two students. The Chair of the Committee shall appoint appropriate panels as need arises and instruct the members of the panel on procedures. Each panel shall elect one faculty member as the non-voting chair of the panel for the duration of the proceedings.

Article VII. Implementing Provisions and Amendments

1. Promulgation

The provisions of this Constitution shall be put into effect in the academic year following approval by the Board of Regents. Incumbent officers, constituent organs, and committees of the Graduate School shall continue to discharge their functions until their successors shall have been chosen under the terms of the Constitution. By the end of the Fall semester of the first academic year in which this Constitution is in effect, graduate programs must submit a list of their graduate faculty indicating the membership status of each. Faculty members who hold graduate faculty membership under the provisions of the previous Constitution shall be eligible to vote on graduate faculty membership status in the program(s) in which they hold membership. Faculty members who hold graduate faculty membership under the provisions of the previous Constitution as of the Fall semester in which this Constitution takes effect shall be permitted to complete outstanding examining committee and advising assignments on file with the Graduate School at the end of that Fall semester. Termination or modification of a membership status in the graduate faculty by the Dean of the Graduate School during the Fall semester in which this Constitution takes effect shall rest on evidence that the faculty member has not met performance expectations as established in the bylaws, or on evidence that the faculty member's contributions in the areas of teaching and examining committee service, and, if appropriate, advising students, fall below the program's normal expectations for such contributions.

2. Amendments

Amendments to this Constitution may be initiated by the Dean, by a majority vote in any one of the Policy and review Councils, or by petition of at least 100 members of the graduate faculty. Normally, faculty and graduate students would initiate the process in the appropriate Policy and Review Council. Such proposals shall be communicated for discussion to all graduate faculties through the Directors of Graduate Studies. After at least thirty days following the date of initiation, but in not more than forty-five, a Constitutional Assembly shall be convened for the sole purpose of considering such proposed amendments. The voting membership of the Assembly shall consist of the members of the Policy and Review Councils. The Dean shall preside over the Assembly.

A majority vote of the Assembly shall be required for approval and transmittal of any amendment to the President and the Board of Regents. The Dean may submit a separate recommendation of his or her own, or of a minority of the Assembly.

3. Bylaws

After consultation with the Executive Committee, the Dean of the Graduate School may promulgate bylaws consistent with this Constitution, if they have first been approved by a majority vote of the entire membership of the Policy and Review Councils.

4. Interpretation

After consultation with the Policy and Review Councils and the Executive Committee, the Dean of the Graduate School shall resolve uncertainties and differences of opinion about the proper construction or application of a provision of this Constitution. The Dean may then issue an official interpretation of the provision in question.

Approved by the Graduate School Constitutional Assembly,
March 26, 2002

Approved by the Executive Vice President and Provost,
May 13, 2002

[The Constitution was originally approved by the Graduate School on June 12, 1975, and ratified by the Board of Regents on October 10, 1975. It was amended in a Constitutional Assembly on June 9, 1978, to recognize a Graduate Faculty Committee at Duluth. The Board of Regents approved this amendment to the Constitution on July 7, 1978.]